

KENTUCKY PYS 2024-2027

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## OVERVIEW

Under the Workforce Innovation and Opportunity Act (WIOA), the Governor of each State must submit a Unified or Combined State Plan to the Secretary of the U.S. Department of Labor that outlines a four-year strategy for the State's workforce development system. The publicly-funded workforce development system is a national network of Federal, State, regional, and local agencies and organizations that provide a range of employment, education, training, and related services and supports to help all job-seekers secure good jobs while providing businesses with the skilled workers they need to compete in the global economy. States must have approved Unified or Combined State Plans in place to receive funding for core programs. WIOA reforms planning requirements, previously governed by the Workforce Investment Act of 1998 (WIA), to foster better alignment of Federal investments in job training, to integrate service delivery across programs and improve efficiency in service delivery, and to ensure that the workforce system is job-driven and matches employers with skilled individuals. One of WIOA's principal areas of reform is to require States to plan across core programs and include this planning process in the Unified or Combined State Plans. This reform promotes a shared understanding of the workforce needs within each State and fosters development of more comprehensive and integrated approaches, such as career pathways and sector strategies, for addressing the needs of businesses and workers. Successful implementation of many of these approaches called for within WIOA requires robust relationships across programs. WIOA requires States and local areas to enhance coordination and partnerships with local entities and supportive service agencies for strengthened service delivery, including through Unified or Combined State Plans.

### OPTIONS FOR SUBMITTING A STATE PLAN

A State has two options for submitting a State Plan— a Unified State Plan or a Combined State Plan. At a minimum, a State must submit a Unified State Plan that meets the requirements described in this document and outlines a four-year strategy for the core programs. The six core programs are—

- the Adult program (Title I of WIOA),
- the Dislocated Worker program (Title I),
- the Youth program (Title I),
- the Adult Education and Family Literacy Act program (Title II), and
- the Wagner-Peyser Act Employment Service program (authorized under the Wagner-Peyser Act, as amended by title III),
- the Vocational Rehabilitation program (authorized under Title I of the Rehabilitation Act of 1973, as amended by Title IV).

Alternatively, a State may submit a Combined State Plan that meets the requirements described in this document and outlines a four-year strategy for WIOA's core programs plus one or more of the Combined State Plan partner programs. When a State includes a Combined State Plan partner program in its Combined State Plan, it need not submit a separate plan or application for that particular program. If included, Combined State Plan partner programs are subject to the "common planning elements" (Sections II-IV of this document) where specified, as well as the program-specific requirements for that program where such planning requirements exist separately for the program. The Combined State Plan partner programs are—

- Career and technical education programs authorized under the Carl D. Perkins Career and Technical Education Act of 2006, as amended by the Strengthening Career and Technical Education for the 21st Century Act (Perkins V) (20 U.S.C. 2301 et seq.)
- Temporary Assistance for Needy Families program (42 U.S.C. 601 et seq.)
- Employment and Training programs under the Supplemental Nutrition Assistance Program (programs authorized under section 6(d)(4) of the Food and Nutrition Act of 2008 (7 U.S.C. 2015(d)(4)))
- Work programs authorized under section 6(o) of the Food and Nutrition Act of 2008 (7 U.S.C. 2015(o))
- Trade Adjustment Assistance for Workers programs (Activities authorized under chapter 2 of title II of the Trade Act of 1974 (19 U.S.C. 2271 et seq.))
- Jobs for Veterans State Grants Program (programs authorized under 38, U.S.C. 4100 et seq.)
- Unemployment Insurance programs (programs authorized under State unemployment compensation laws in accordance with applicable Federal law)
- Senior Community Service Employment program (programs authorized under title V of the Older Americans Act of 1965 (42 U.S.C. 3056 et seq.))
- Employment and training activities carried out by the Department of Housing and Urban Development
- Community Services Block Grant (Employment and training activities carried out under the Community Services Block Grant Act (42 U.S.C. 9901 et seq.)) <sup>1</sup>

[1] States that elect to include employment and training activities carried out under the Community Services Block Grant (CSBG) Act (42 U.S.C. 9901 et seq.) under a Combined State Plan would submit all other required elements of a complete CSBG State Plan directly to the Federal agency that administers the program. Similarly, States that elect to include employment and training activities carried out by the Department of Housing and Urban Development that are included would submit all other required elements of a complete State Plan for those programs directly to the Federal agency that administers the program.

#### HOW STATE PLAN REQUIREMENTS ARE ORGANIZED

The major content areas of the Unified or Combined State Plan include strategic and operational planning elements. WIOA separates the strategic and operational elements to facilitate cross-program strategic planning.

- The **Strategic Planning Elements** section includes analyses of the State's economic conditions, workforce characteristics, and workforce development activities. These analyses drive the required vision and goals for the State's workforce development system and alignment strategies for workforce development programs to support economic growth.
- The **Operational Planning Elements** section identifies the State's efforts to support the State's strategic vision and goals as identified in the Strategic Planning Elements section. This section ensures that the State has the necessary infrastructure, policies, and activities to meet its strategic goals, implement its alignment strategy, and support

ongoing program development and coordination. Operational planning elements include:

- State Strategy Implementation,
- State Operating Systems and Policies,
- Assurances,
- Program-Specific Requirements for the Core Programs, and
- Program-Specific Requirements for the Combined State Plan partner programs. (These requirements are available in a separate supplemental document, Supplement to the Workforce Innovation and Opportunity Act (WIOA) Unified and Combined State Plan Requirements. The Departments are not seeking comments on these particular requirements).

When responding to Unified or Combined State Plan requirements, States must identify specific strategies for coordinating programs and services for target populations.<sup>2</sup> States must develop strategies that look beyond strategies for the general population and develop approaches that also address the needs of target populations. Use of links to external websites and documents is permitted within the State Plan narrative submission, if such links remain active and adhere to Section 508 accessibility requirements.

**Paperwork Reduction Act:** The Paperwork Reduction Act of 1995 (PRA) provides that an agency may not conduct, and no person is required to respond to, a collection of information unless it displays a valid OMB control number. Public reporting burden for this information collection is estimated to be 86 hours per state; including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Responding to this collection is required to obtain or retain the Federal grant benefit. In addition, responses to this information collection are public, and the agencies offer no assurances of confidentiality. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Investment, and reference OMB control number 1205-0522. Note: Please do not return the completed plan to this address.

[2] Target populations include individuals with barriers to employment, as defined in WIOA Sec. 3, as well as veterans, unemployed workers, and youth.

## I. WIOA STATE PLAN TYPE AND EXECUTIVE SUMMARY

### A. WIOA STATE PLAN TYPE

**Unified or Combined State Plan.** Select whether the State is submitting a Unified or Combined State Plan. At a minimum, a State must submit a Unified State Plan that covers the six core programs.

**Unified State Plan.** This plan includes the Adult, Dislocated Worker, Youth, Wagner-Peyser Act, Adult Education and Family Literacy Act, and Vocational Rehabilitation programs.

**Combined State Plan.** This plan includes the Adult, Dislocated Worker, Youth, Wagner-Peyser Act, Adult Education and Family Literacy Act, and Vocational Rehabilitation programs, as well as one or more of the optional Combined State Plan partner programs identified below.

This is a combined plan

## COMBINED PLAN PARTNER PROGRAM(S)

Indicate which Combined Plan partner program(s) the state is electing to include in the plan.

Career and technical education programs authorized under the Carl D. Perkins Career and Technical Education Act of 2006, as amended by the Strengthening Career and Technical Education for the 21st Century Act (Perkins V) (20 U.S.C. 2301 et seq.)

No

Temporary Assistance for Needy Families program (42 U.S.C. 601 et seq.)

No

Employment and Training programs under the Supplemental Nutrition Assistance Program (programs authorized under section 6(d)(4) of the Food and Nutrition Act of 2008 (7 U.S.C. 2015(d)(4)))

No

Work programs authorized under section 6(o) of the Food and Nutrition Act of 2008 (7 U.S.C. 2015(o))

No

Trade Adjustment Assistance for Workers programs (activities authorized under chapter 2 of title II of the Trade Act of 1974 (19 U.S.C. 2271 et seq.))

Yes

Jobs for Veterans State Grants Program (programs authorized under 38, U.S.C. 4100 et. seq.)

Yes

Unemployment Insurance programs (programs authorized under State unemployment compensation laws in accordance with applicable Federal law)

Yes

Senior Community Service Employment program (programs authorized under title V of the Older Americans Act of 1965 (42 U.S.C. 3056 et seq.))

No

Employment and training activities carried out by the Department of Housing and Urban Development

No

Community Services Block Grant (Employment and training activities carried out under the Community Services Block Grant Act (42 U.S.C. 9901 et seq.))

No

## B. PLAN INTRODUCTION OR EXECUTIVE SUMMARY

The Unified or Combined State Plan may include an introduction or executive summary. This element is optional.

The Commonwealth of Kentucky is entering the Workforce Innovation and Opportunity Act (WIOA) 2024-2027 State Planning period after securing the best four-year period of economic growth in the state's history. Over the last four years, more than \$28.7 billion dollars in private investments have flowed into the state, creating more than 51,200 new jobs for Kentuckians. Most importantly, these are high-quality, good-paying jobs that sustain families and communities. In 2023, Kentucky reached the highest average incentivized wage of \$26.67/hour, plus benefits. These historic investments include building two of the world's largest electric vehicle battery plants, securing Kentucky's position as the global EV battery capital. A wide and diverse set of additional economic investments complemented this growth, as private businesses continued to trust and believe in Kentucky's ability to provide a skilled and ready workforce to fill these jobs of the future.

To ensure the Commonwealth continues to be successful in meeting these new demands, as well supporting the needs of existing businesses in the commonwealth, the workforce development system must serve as an ecosystem with strategic direction from the Kentucky Workforce Innovation Board (KWIB) in collaboration with the Department of Workforce Development (administrators of WIOA). The opportunity to build equitable pathways to good quality jobs in a wide array of industries is better now than at any time in Kentucky's history. The established partnerships across the workforce development system are well-positioned to serve all Kentuckians – including untapped talent pools WIOA was designed to serve, such as disconnected youth, justice-involved individuals, citizens with disabilities, veterans and their families, adults of limited literacy or those for whom English is not their primary language, and many others.

To accomplish these tasks, Kentucky Governor Andy Beshear's charge for all of Team Kentucky to embrace a "Forward, Together" model, working collaboratively to provide the highest level of support to Kentucky job-seekers, workers, and businesses through a collective team approach. This call to action directly aligns with KWIB's vision to "create a workforce development system that is value driven for employers, aligns education with industry demands, prepares Kentuckians for the future of work, and drives economic development." This North Star is supported by the four goals of Kentucky's Workforce Strategic Plan: employer engagement, education attainment, workforce participation, and resource alignment.

In this 2024-2027 WIOA State Plan, Kentucky's strategic and operational activities are outlined with the overarching theme of continuous improvement to enhance alignment, collaboration, and partnerships to better serve the needs of individual customers, businesses, and workforce system staff in a rapidly evolving economy. From highlighting successful local programs executed by the 10 Local Workforce Development Areas (LWDA), to showing how the Department of Workforce Development is innovating to meet business and individual customer needs; all are accomplished through the enterprise-wide branding of the Kentucky Career Centers (KCC).

Furthermore, this WIOA State Plan is informed by various stakeholders essential to the execution of the Commonwealth's strategic and operational direction. This was accomplished through localized and statewide listening sessions, as well as input from individuals representing businesses, elected officials, community-based organizations, government, and individual consumers, all of whom contributed their unique perspectives on a reimagined workforce development system. This state plan is meant to be a living document that encourages the workforce development ecosystem to continue to work collaboratively to best meet the needs shared by the stakeholders.



This plan also takes into consideration the historic investments that will be powering up the national economy via the Bipartisan Infrastructure Law (BIL), Inflation Reduction Act (IRA), and CHIPS and Science Act, which present opportunities for workforce development partnerships that support physical infrastructure construction, and also provide innovative vehicles to address equitable access to good jobs, such as rural connectivity via broadband expansion and improved digital equity across the Commonwealth. The key is to align and leverage new resources to expand, grow, and innovate existing programs, such as career pathways and sector strategies.

To create a workforce development system that is value driven for employers, we must align educational opportunities and training with industry demands to prepare Kentuckians for the future of work while also driving economic development. The 2024-2027 WIOA State Plan embraces the collaborative spirit of Team Kentucky to move the Commonwealth Forward, Together.

## II. STRATEGIC ELEMENTS

The Unified or Combined State Plan must include a Strategic Planning Elements section that analyzes the State’s current economic environment and identifies the State’s overall vision for its workforce development system. The required elements in this section allow the State to develop data-driven goals for preparing an educated and skilled workforce and to identify successful strategies for aligning workforce development programs to support economic growth. Unless otherwise noted, all Strategic Planning Elements apply to Combined State Plan partner programs included in the plan as well as to core programs. Where requirements identify the term “populations”, these must include individuals with barriers to employment as defined at WIOA Section 3. This includes displaced homemakers; low-income individuals; Indians, Alaska Natives, and Native Hawaiians; individuals with disabilities, including youth who are individuals with disabilities; older individuals; ex-offenders; homeless individuals, or homeless children and youths; youth who are in or have aged out of the foster care system; individuals who are English language learners, individuals who have low levels of literacy, and individuals facing substantial cultural barriers; farmworkers (as defined at section 167(i) of WIOA and Training and Employment Guidance Letter No. 35-14); individuals within 2 years of exhausting lifetime eligibility under the Temporary Assistance for Needy Families program; single parents (including single pregnant women); and long-term unemployed individuals. Additional populations include veterans, unemployed workers, and youth, and others that the State may identify.

### A. ECONOMIC, WORKFORCE, AND WORKFORCE DEVELOPMENT ACTIVITIES ANALYSIS

The Unified or Combined State Plan must include an analysis of the economic conditions, economic development strategies, and labor market in which the State’s workforce system and programs will operate.

#### 1. ECONOMIC AND WORKFORCE ANALYSIS

##### A. ECONOMIC ANALYSIS

The Unified or Combined State Plan must include an analysis of the economic conditions and trends in the State, including sub-State regions and any specific economic areas identified by the State. This must include—

## I. EXISTING DEMAND INDUSTRY SECTORS AND OCCUPATIONS

Provide an analysis of the industries and occupations for which there is existing demand.

## II. EMERGING DEMAND INDUSTRY SECTORS AND OCCUPATIONS

Provide an analysis of the industries and occupations for which demand is emerging.

## III. EMPLOYERS' EMPLOYMENT NEEDS

With regard to the industry sectors and occupations identified in (A)(i) and (ii), provide an assessment of the employment needs of employers, including a description of the knowledge, skills, and abilities required, including credentials and licenses.

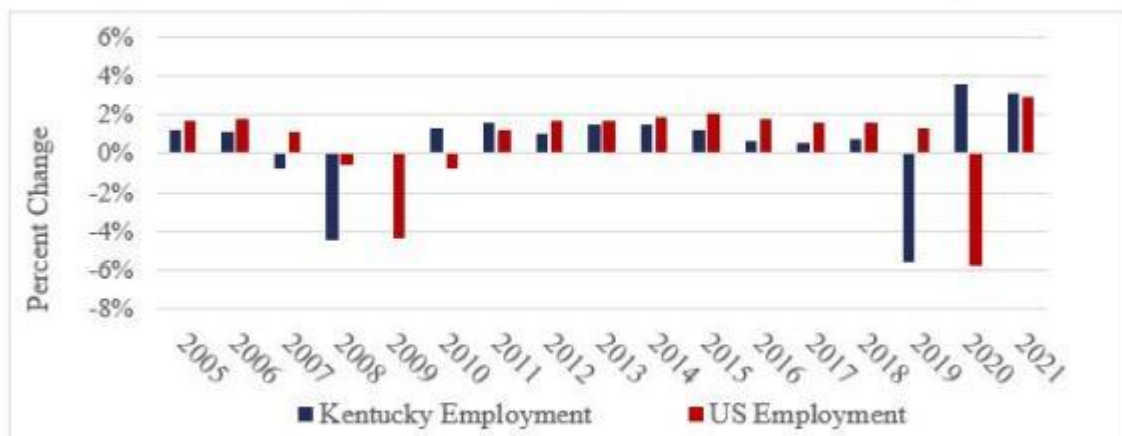
Like the rest of the nation, Kentucky has experienced a tight labor market and strong economic growth since the end of the pandemic. Higher wages and inflation have encouraged many Kentuckians who left the labor force during the pandemic to return. The prime-age labor force participation rate is higher than its pre-pandemic level, but the overall labor force participation rate has continued to decline. Demographic characteristics such as age, disability status, and educational level all affect labor force participation.

Non-farm employment has grown 4 percent compared to January 2020. There have also been a number of announced projects projected to create jobs in the manufacturing, service technology, and agribusiness sectors. Kentucky needs a growing and skilled labor force to meet this growing demand for workers. Understanding the current population and labor market is a critical step to fostering a healthy future labor force.

### **Growth in Nonfarm Employment**

Figure 1 shows the annual growth rate of Kentucky and US total nonfarm employment from 2005 to 2022. Kentucky employment grew 0.47 percent annually during this period, and US employment grew 0.82 percent, on average. During this period, there were two recessions, the Great Recession and the COVID recession. On average, Kentucky employment grew 0.75 percent, and US employment grew 1.3 percent annually from the official end of the Great Recession until January 2020. The COVID recession ended in April 2020. Since then, Kentucky employment has grown 18.5 percent, a nearly 6.2 percent annual growth rate, and is 4.9 percent higher than Kentucky's pre-pandemic employment level. Nationally, employment has grown 17.2 percent, 5.7 percent yearly on average, but is only 3 percent higher than pre-pandemic employment.

Figure 1  
Percent Change in Nonfarm Employment in the US and Kentucky

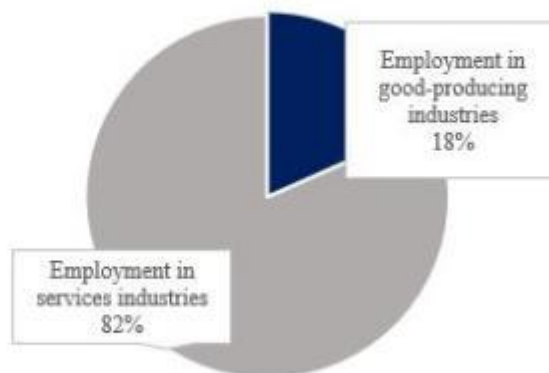


Source: Local Area Unemployment Statistics and Current Populations Survey, Bureau of Labor Statistics (BLS), 2023

1. Existing Demand Industry Sectors and Occupations

While Kentucky is often considered a manufacturing state, only 18 percent of the state’s total nonfarm employment in 2022 was in goods-producing sectors (Figure 2). The remaining 82 percent of Kentucky’s nonfarm employment was in service industries such as medical care, transportation, and personal care services.

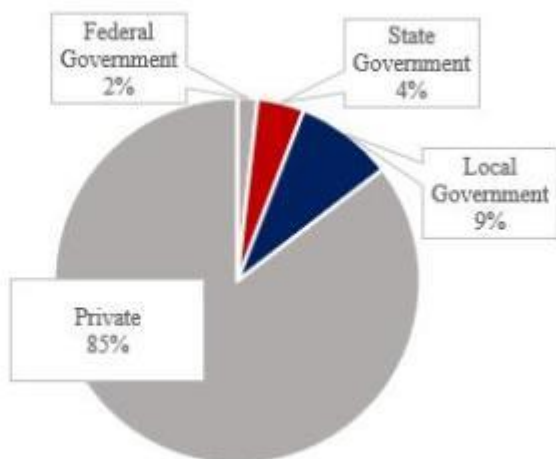
Figure 2  
Kentucky Employment by Product Type in 2022



Source: Bureau of Labor Statistics, Current Employment Statistics (CES), 2022

Figure 3 shows employment by type of employer. Most Kentucky jobs are in the private sector; only 15 percent are public sector jobs

Figure 3  
Kentucky Employment by Sector in 2022



Source: Bureau of Labor Statistics, Current Employment Statistics (CES), 2022

### Employment by Industry

Table 1 shows the number of jobs by sector and the median annual pay in each sector in 2022. Median annual pay indicates that 50 percent of jobs in this industry pay more than the reported amount, and 50 percent of jobs pay less than that wage. This wage data is specific to Kentucky and not a national average.

Table 1  
Kentucky Employment by Sector and Median Annual Pay

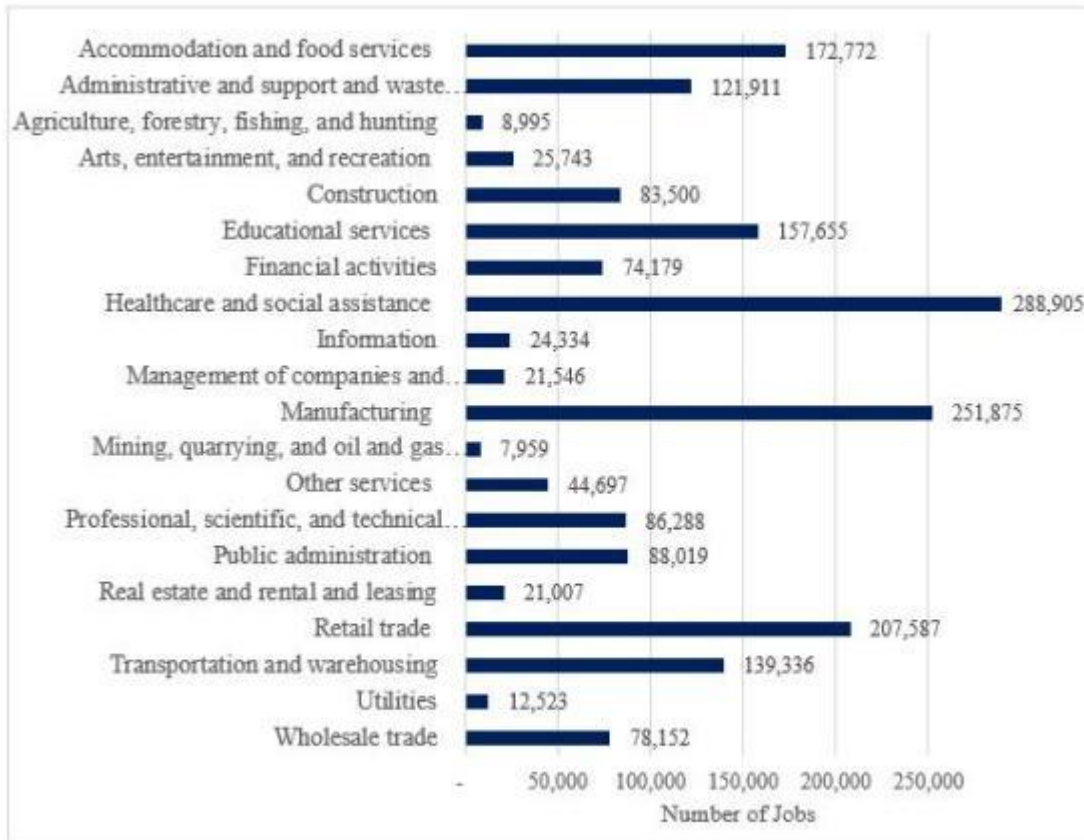
Industry	Employment	Share of total employment	Median annual wage
Accommodation and food services	172,772	9.0%	\$24,000
Administrative and support and waste management and remediation services	121,911	6.4%	\$35,000
Agriculture, forestry, fishing, and hunting	8,995	0.5%	\$33,000
Arts, entertainment, and recreation	25,743	1.3%	\$28,000
Construction	83,500	4.4%	\$49,000
Educational services	157,655	8.2%	\$48,000
Financial activities	74,179	3.9%	\$58,000
Healthcare and social assistance	288,905	15.1%	\$42,000
Information	24,334	1.3%	\$48,000
Management of companies and enterprises	21,546	1.1%	\$60,000
Manufacturing	251,875	13.1%	\$47,000
Mining, quarrying, and oil and gas extraction	7,959	0.4%	\$50,000
Other services	44,697	2.3%	\$37,000
Professional, scientific, and technical services	86,288	4.5%	\$54,000
Public administration	88,019	4.6%	\$46,000
Real estate and rental and leasing	21,007	1.1%	\$37,000
Retail trade	207,587	10.8%	\$29,000
Transportation and warehousing	139,336	7.3%	\$48,000
Utilities	12,523	0.7%	\$76,000
Wholesale trade	78,152	4.1%	\$45,000
<b>Total employment</b>	<b>1,916,983</b>	<b>100.0%</b>	<b>\$40,000</b>

Source: Quarterly Census of Employment and Wages (QCEW) and State Occupational Employment and Wage Estimates (OEWS), Bureau of Labor Statistics (BLS), 2022

Figure 4 shows the number of jobs in the 20 major industries. The five largest sectors in Kentucky based on employment are:

- Healthcare and social assistance
- Manufacturing
- Retail trade
- Accommodation and food services
- Educational services

Figure 4  
Number of Jobs by Industry



Source: Quarterly Census of Employment and Wages (QCEW), Bureau of Labor Statistics (BLS), 2022

Employment in Kentucky’s healthcare and social assistance industries was nearly 289,000 jobs, about 15 percent of Kentucky’s total nonfarm employment. In 2022, individuals who worked in this sector earned an average of \$42,000 annually. Jobs in these industries include doctors, nurses, home health aides, and social workers.

Employment in Kentucky’s manufacturing industry averaged 252,000 jobs, accounting for approximately 13 percent of Kentucky’s total employment. In 2022, jobs in the manufacturing sector paid about \$47,000 annually. Machinists, production workers, assemblers, and inspectors are all included in this sector.

Retail trade was responsible for 207,000 jobs in Kentucky during 2022. Individuals who worked in this industry earned an average annual salary of \$29,000. Gas station attendants, stock clerks, and cashiers are all considered part of this industry.

The fourth largest industry in Kentucky is Accommodation and food services, which consists of nearly 173,000 jobs (9 percent of Kentucky’s employment). Many individuals work less than full-time in this industry. On average, individuals in this industry earned \$24,000 annually in 2022. Jobs such as hotel clerks, waiters, line cooks, and kitchen managers are all part of this industry.

Lastly, employment in educational services was nearly 158,000 in 2022, approximately 8 percent of Kentucky’s total employment. This industry includes public and private elementary

and secondary schools, colleges, trade schools, and businesses that provide educational support. Jobs in this industry include teachers, teacher’s assistants, tutors, and professors. On average, jobs in this industry paid approximately \$48,000 in 2022.

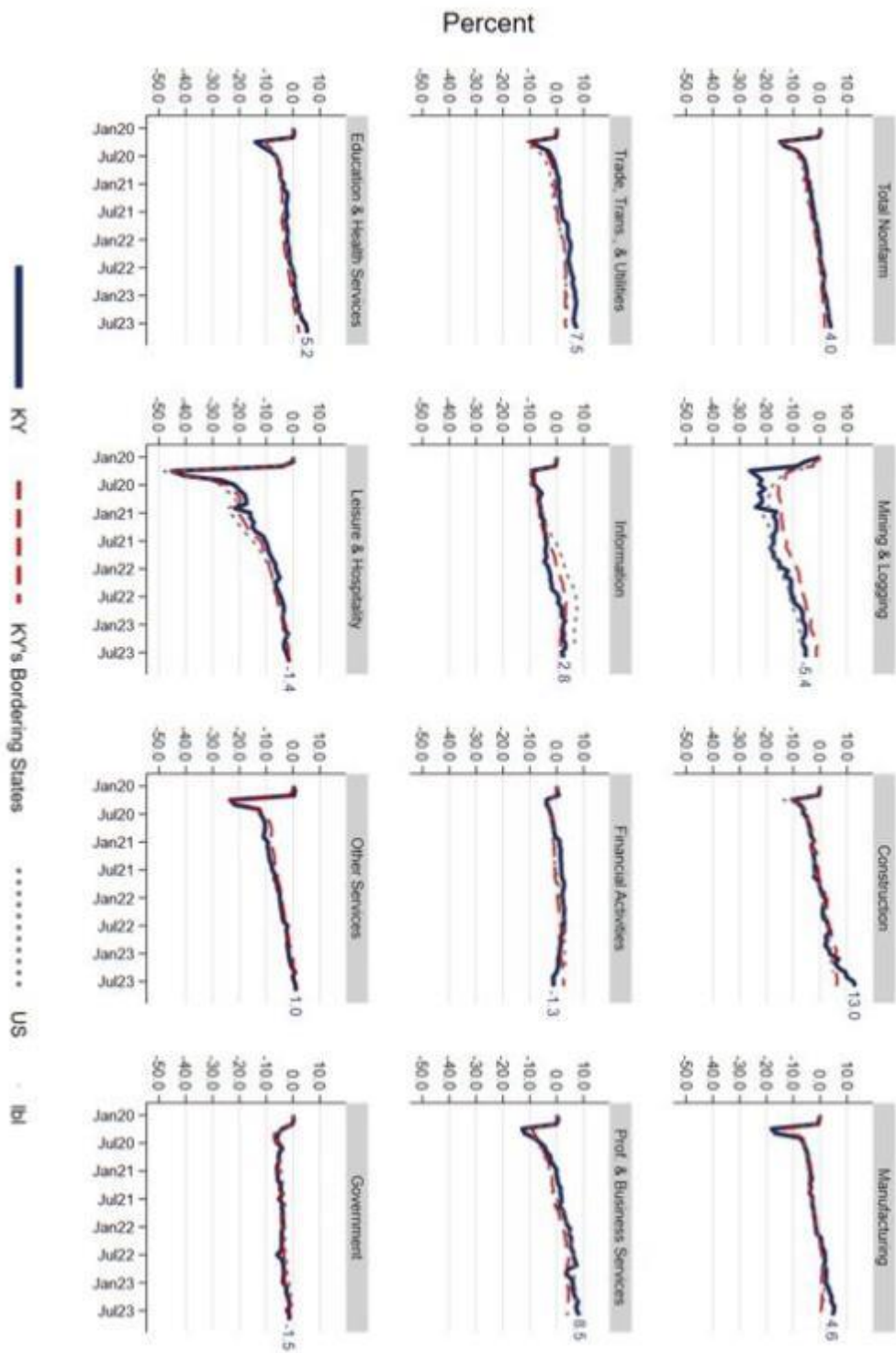
*2. Emerging Demand Industry Sectors and Occupations*

**Recovery and Growth by Industry Since the COVID-19 Pandemic**

Figure 5 shows how employment in the different sectors has changed since January 2020 for Kentucky, its surrounding states, and nationally.

Change in number of jobs by industry for Kentucky, US, and Bordering States

Figure 5



The Census of Employment Statistics (CES) was utilized to present the most timely information. This dataset classifies employment sectors more broadly than the Quarterly Census of Unemployment (QCEW), so the employment categories in this figure differ slightly from what is used throughout most of this report.

Most industries in Kentucky have recovered to their pre-pandemic employment levels. Industries lower than their pre-pandemic level include:



- Mining and logging (-5.4)
- Government (-1.5%),
- Leisure and hospitality (-1.4%)
- Financial activity (-1.3)

Kentucky has also seen notable employment growth in industries since 2020. Industries that are larger than their pre-pandemic levels include:

- Construction (+13.0%)
- Trade, transportation, and utilities (+7.5%)
- Professional and business services (+8.5%)
- Manufacturing (+4.6%)

### Anticipated Growth of Kentucky Industries

Over the years, the Kentucky Cabinet for Economic Development has announced new economic development projects and expansions among many existing companies in manufacturing, service and technology, and agribusiness sectors. These announcements often include employment projections. Table 2 shows the projected employment and the average hourly wage associated with projects that received economic incentives from the state from 2020-2023.

Table 2  
Projected Industry Employment and Hourly Wage Associated with Projects that Received Economic Incentives Announced 2020-2023

Sector	Estimated number of new jobs	Estimated median annual wage
Manufacturing	27,983	\$40,000
Service & Technology	4,698	\$47,000
Non-Retail Service & Technology	3,088	\$51,000
Headquarters	1,342	\$69,000
Agribusiness	851	\$49,000
Service	200	\$29,000
Tourism	56	\$38,000
Alternative Fuel or Gasification	11	
<b>Total jobs/ average hourly pay (weighted)</b>	<b>38,229</b>	<b>\$43,000</b>

Source: Kentucky Cabinet for Economic Development, Financial Incentives Database, 2023.

Note: The estimated annual wage is calculated using the estimated hourly wage provided by the companies and assuming full-time employment of 2000 hours a year.

The companies provide the Cabinet with these estimates. The actual employment realized from these projects might differ from the initial projections. In addition, while a project may be planned and even started, it is possible that these projects will not all be completed. Even with these caveats, these announcements indicate where Kentucky may see additional employment growth in the future.

### Projected Emerging Industries

Suppose state and local agencies can accurately identify emerging sectors and the skills these sectors will need from their employees. In that case, these agencies can allocate resources to help meet these needs as they develop. Identifying emerging sectors is difficult because their growth rate often begins to level off a few years after a new sector's establishment.

In an analysis designed to identify emerging industries using past labor market data, of the emerging industries identified, only 58 percent continued to grow faster than overall employment in Kentucky for the next three years[1].

[1] This analysis examines changes in employment across 3-digit NAICS codes in Kentucky to identify potentially emerging industries. The WIOA act does not provide a formal definition of an emerging sector. So, this analysis used three criteria to define emerging sectors. First, employment in a 3-digit sector must be less than two percent of Kentucky's total nonfarm employment. Second, employment in the sector must have grown faster over the past three year than the state's total employment. Finally, employment in the sector must have grown in two of the past three years. This was to remove sectors that experienced a one-time large increase.

Using data from 2014 – 2017 of the 31 emerging sectors identified, 58 percent grew faster than Kentucky employment on average over the next three years. Employment growth slowed for the remaining 13 sectors. Slight alterations to the criteria resulted in similar results.

These results suggest that accurately identifying emerging sectors is difficult to do reliably. A reliable workforce investment may be to put resources towards improving the labor force's general skills, such as general education, which will allow them to move between a broader set of industries.

### *3. Employers Employment Needs*

It is difficult to identify "emerging sectors" reliably; therefore, investing in skills training that is only applicable to specific industries and is not transferable may not be advisable. A reliable workforce investment may be to put resources towards helping individuals develop a portfolio of transferable skills created by educational programs and real-world experiences.

Focusing on meeting the future labor demands of sectors already established in Kentucky may do more to ensure long-run economic growth and avoid labor shortages. In particular, ensuring that Kentucky has a workforce that allows them to work in large, and growing, employment sectors, such as healthcare and manufacturing, may be more effective than attempting to identify emerging sectors.

O\*Net identifies cross-functional skills, which it defines as "developed capacities that facilitate performance activities that occur across jobs". They identify four broad transferable skill sets: 1) Complex Problem-Solving Skills, 2) Resource Management Skills, 3) Social Skills, 4) Systems Skills, and 5) Technical Skills. A few examples of the skills in these transferable skill sets are provided in Table 3 below.

Table 3  
Cross-Functional Skills

<b>Complex Problem Solving</b>	<b>Resource Management</b>	<b>Social</b>	<b>Systems</b>	<b>Technical</b>
<b>Redesigning and improving systems</b>	Managing financing and expenditures	Coordinating with others	Identifying actions to improve performance	Equipment maintenance and repair
<b>Adaptable responses to novel situations</b>	Managing equipment and facilities	Negotiating and reconciling with others	Evaluating how changes affect outcomes	Selecting appropriate equipment
<b>Creating learning strategies</b>	Developing and directing employees	Identifying and understanding the emotions of others	Considering the costs and benefits of actions	Generating and adapting technologies
				Quality control analysis

Source: Compiled by the author using the information provided by O\*NET, 2024.

## B. WORKFORCE ANALYSIS

The Unified or Combined State Plan must include an analysis of the current workforce in the State and within various state regions. Provide key analytical conclusions in aggregate as well as disaggregated among populations to identify potential disparities in employment and educational attainment and understand labor force conditions for items (i)-(iii) below. Populations analyzed must include individuals with barriers to employment described in the first paragraph of Section II. Analysis must include—

### I. EMPLOYMENT AND UNEMPLOYMENT

Provide an analysis of current employment and unemployment data, including labor force participation rates, and trends in the State.

### II. LABOR MARKET TRENDS

Provide an analysis of key labor market trends, including across existing industries and occupations.

### III. EDUCATION AND SKILL LEVELS OF THE WORKFORCE

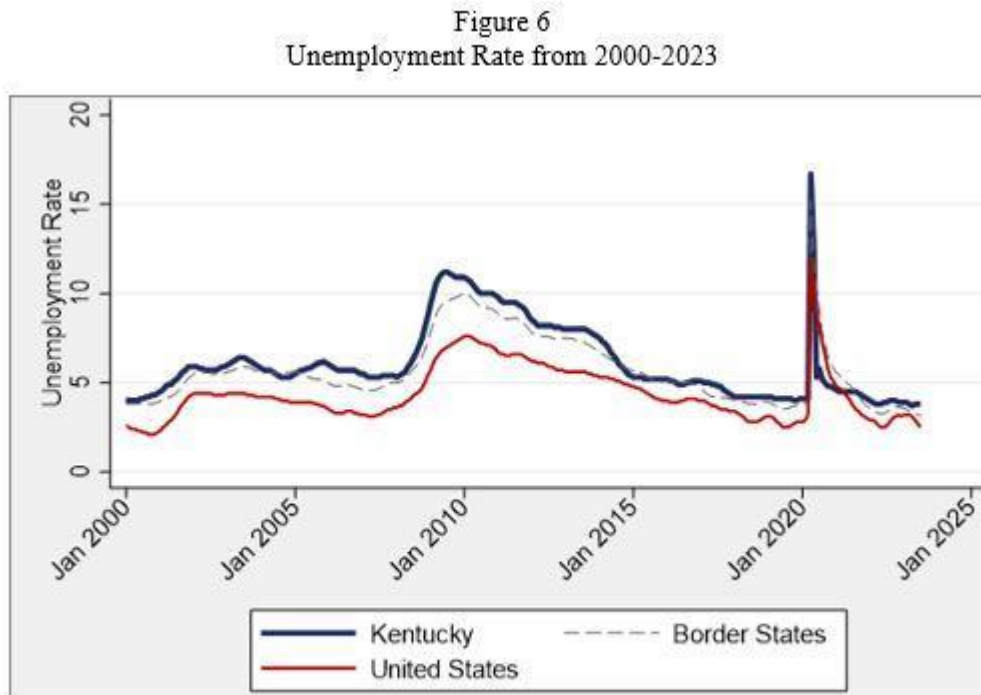
Provide an analysis of the educational and skill levels of the workforce.

#### *I. Employment and Unemployment*

Economists commonly use the unemployment and labor force participation rates to measure labor market health. The labor force comprises people who are either employed or looking for work. The labor force participation rate is the percentage of an area's population in the labor force compared to the population that could participate in the labor market (over the age of 16 and not institutionalized). The unemployment rate is the percentage of people in the labor force who do not have a job but are looking for work. Understanding these metrics is key to understanding how the labor market is performing.

## Unemployment Rate

Figure 6 shows how Kentucky's unemployment rate has changed compared to national trends and those of Kentucky's bordering states (Indiana, Illinois, Missouri, Ohio, Tennessee, Virginia, and West Virginia).

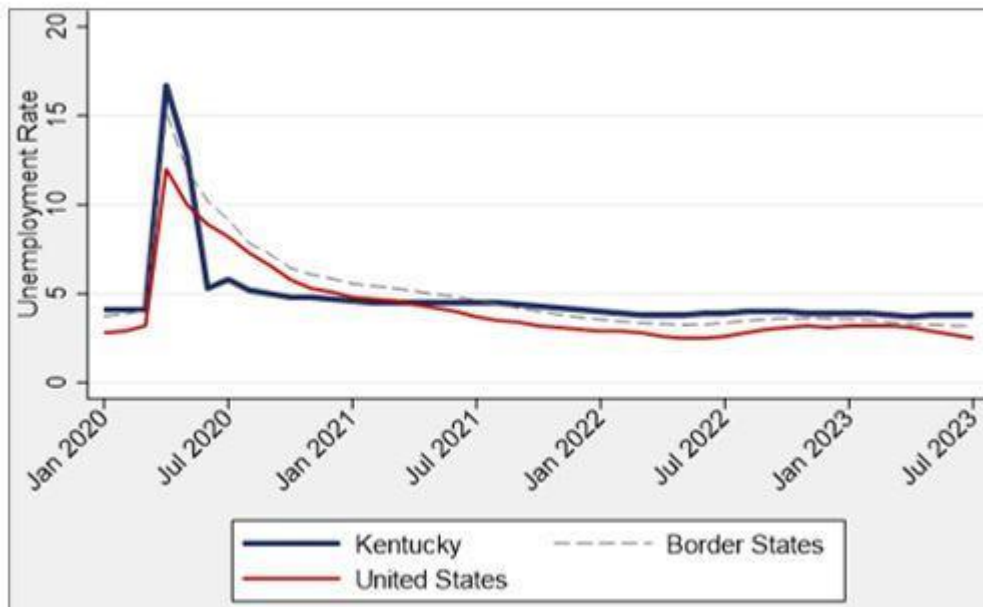


Source: Local Area Unemployment Statistics (LAUS) and Current Populations Surve (CPS), Bureau of Labor Statistics (BLS), 2023.

Kentucky's unemployment rate is typically higher than its surrounding states and the national average but follows similar trends. Kentucky's unemployment rate increased during the 2001 recession and stayed relatively constant until the Great Recession. As the US economy stalled in 2008, unemployment rates across the nation began to increase. Kentucky's unemployment rate increased to 11.9 percent in February 2010. This was 2.1 percentage points higher than the national unemployment rate. During the subsequent labor market recovery, unemployment rates for the US and Kentucky slowly decreased to their pre-recession level by 2015. The national and state unemployment rates continued to decline steadily, reaching a seasonally adjusted pre-pandemic low of 4 percent unemployment for Kentucky in November 2019.

After spiking during the initial months of the pandemic, Kentucky's unemployment rate quickly dropped below the national rate. The national and average rates of Kentucky's surrounding states also fell, again below Kentucky's rate. Figure 7 shows how the unemployment rate has changed since 2020. Both Kentucky and the US saw historically low unemployment rates in 2023. While rates increased somewhat during the summer of 2023, they remain low.

Figure 7  
Unemployment Rate from 2020-2023



Source: Local Area Unemployment Statistics (LAUS) and Current Populations Surve (CPS), Bureau of Labor Statistics (BLS), 2023.

Care should be taken when interpreting changes to unemployment rates. Changes during the first few months of the pandemic illustrate how simple changes to a state’s unemployment rate might not tell the complete story about current labor market conditions.

Shortly after the pandemic began, Kentucky’s unemployment rate jumped sharply to 16.7 percent in April 2020. By June 2020, the rate had fallen to 5.3 percent, approximately one percentage point higher than Kentucky’s prepandemic unemployment rate. While the unemployment rate returned to pre-pandemic levels, the drop did not signal labor market recovery.

The unemployment rate reflects the number of people in the labor force who do not have a job but are actively searching for work compared to the total labor force. Individuals who are not employed either voluntarily (choosing to not work because they retired, care for children, or other reasons) or involuntarily (not able to work due to a disability or other reason).

To avoid classifying labor market nonparticipants as unemployed, for an individual to be considered unemployed, they must have actively looked for work within the past four weeks. The BLS considers submitting job applications to employers and attending job interviews as an “active search.” It also includes contacting a recruiter or using any available social networks for job leads (directly or via social media announcements). If an individual has not searched for work within the past month, they are no longer considered part of the labor force.

Normally, an individual must be actively looking for work to receive unemployment benefits, but the job search requirement was suspended in response to the State of Emergency declared on March 6, 2020. Many individuals stopped looking for work, likely because there were very few employment opportunities or they could not work due to caretaking duties or health concerns. Because they were not looking for work, many people who had jobs before the pandemic were not classified as being “unemployed.” Instead, they were classified as “out of the

labor force” and were no longer included in the calculation of the official unemployment rates. Figure 8 shows how the steep drop in the unemployment rate occurred concurrently with a large decline in the number of individuals classified as part of the labor force.

Figure 8  
Kentucky Unemployment Rate and Labor Force from 2020 to 2023



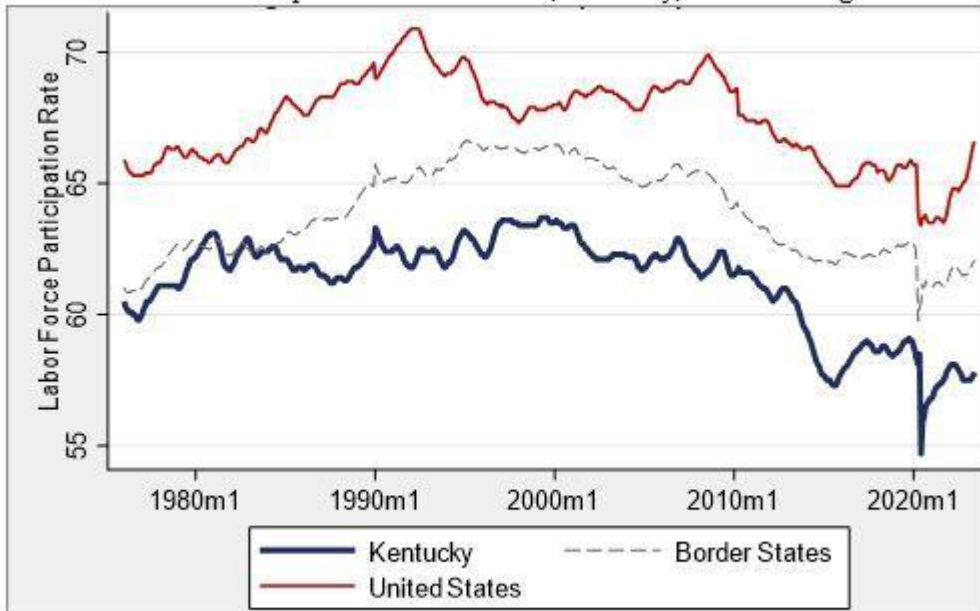
Source: Local Area Unemployment Statistics (LAUS), Bureau of Labor Statistics (BLS), 2023.

### Labor Force Participation Rate

The labor force participation rate is the ratio of individuals participating in the labor market compared to the civilian noninstitutionalized population aged 16 and over. This counts most people in the population but does exclude those serving in the military, are incarcerated, or living in mental facilities or homes for the aged. Over the past five years, the average labor force participation rate was 62.3 percent for the US and 58 percent for Kentucky (2018-2022).

The labor force participation rate has declined since 2000. The long-term decline in the labor force participation rate corresponds to the baby boomer generation (age 58-77) reaching retirement age. Because this age group makes up a large portion of the adult population, the number of people exiting the labor force has been greater than the number of new labor force entrants.

Figure 9  
Labor Force Participation Rate for the US, Kentucky, and Bordering States



Source: Local Area Unemployment Statistics (LAUS) and Current Populations Surve (CPS), Bureau of Labor Statistics (BLS), 2023

The labor market has been tight since the end of the pandemic. As of August 2023, Kentucky had a labor force participation rate of 57.6 percent. This means that 57.6 percent of individuals over the age of 16 are either employed or looking for work. In Kentucky, the number of job openings has been greater than that of people unemployed since January 2021. The prime-age (25-54 years old) labor force participation rate has been higher than its 2019 average since December 2022 (BLS, 2023).

While prime-age individuals have increased their labor force participation, participation has declined overall, and businesses have reported challenges attracting workers. As a result, employers have increased wages over the past two years to attract workers.

With employers struggling to find workers and wages increasing, businesses may begin investing in capital to reduce their reliance on labor. A Chicago Federal Reserve recent research paper stated that “what is restraining growth in the labor market now is the long-run trend in labor supply, already known before the pandemic” (Ahn et al., July 2023, p.16).

It is worth examining the labor market of smaller geographic areas rather than only reporting the statistics at the state level. Kentucky’s labor market varies greatly with geography – and is affected by the businesses and demographics of individuals living there.

### Kentucky’s Local Workforce Development Areas

The Kentucky Workforce Innovation Board advises the Governor, develops workforce development and training plans, and addresses labor force issues. Administratively, this Board oversees the ten different Local Workforce Development Areas (LWDAs) and addresses the unique needs of the population in each area (Figure 10). It is helpful to examine the labor market and population demographics of these LWDAs individually.

The 2021 American Community Survey (ACS), published by the US Census Bureau, allows researchers to examine the demographic characteristics of different areas. These statistics

reflect what was occurring in these areas in 2021. To recreate more recent labor force statistics for the LWDA, a combination of BLS labor force data and Census Bureau population and demographic data was utilized.

Figure 10  
Kentucky's Local Workforce Development Areas (LWDA)

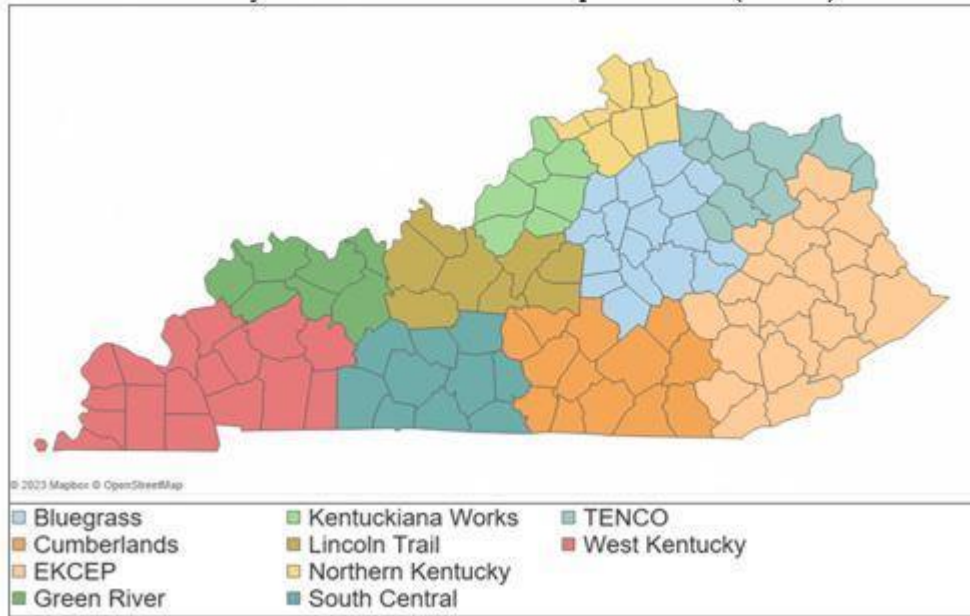
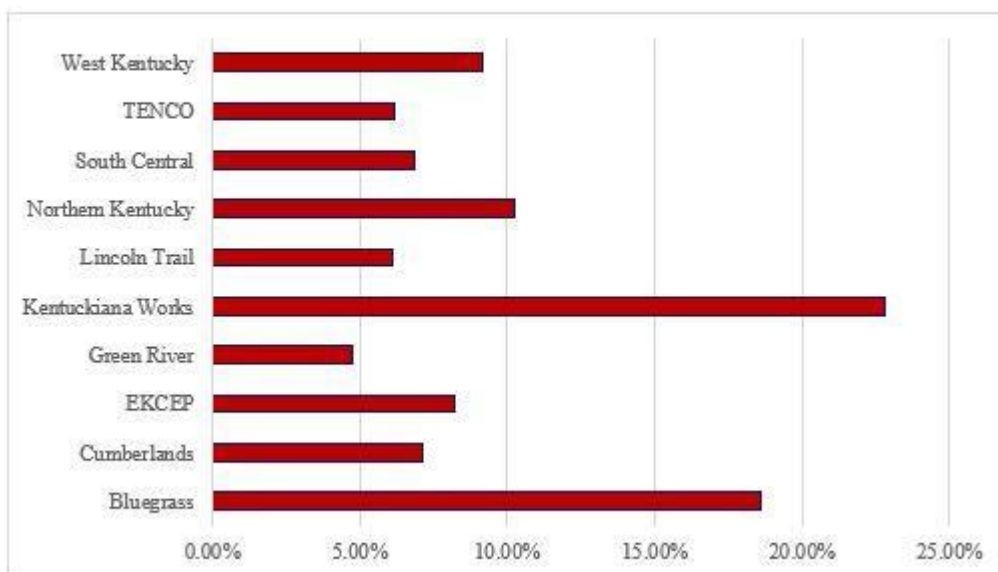


Figure 11 shows the percentage of total Kentucky jobs by LWDA. Nearly half of Kentucky jobs are in the three largest LWDAs - Bluegrass, KentuckianaWorks, and Northern Kentucky.

Figure 11  
Percent of Kentucky Jobs Located in Each LWDA



Source: Quarterly Census of Employment and Wages, Bureau of Labor Statistics (BLS), 2022

Table 4 shows the percentage of the population who are employed, unemployed, and not in the labor force for each LWA. For example, the EKCEP area accounts for 9.2 percent of Kentucky's



population over the age of 16. In this area, 58.2% of the population is not in the labor force; 3.9 percent of the population is unemployed, and 37.9 percent of individuals are employed. Note that the percentage of the population unemployed is a slightly different measure than the unemployment rate.

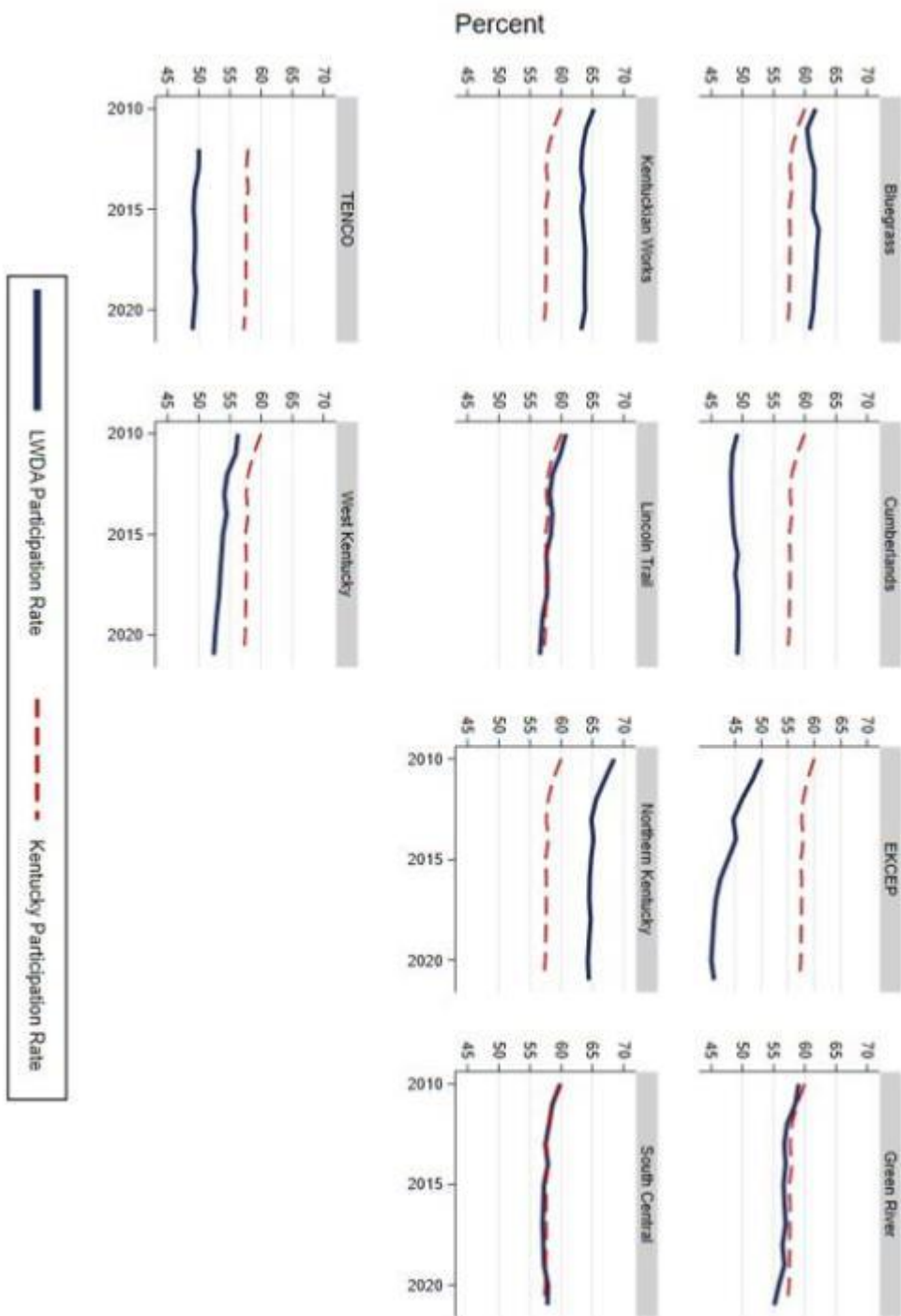
Table 4  
Labor Force Status by LWDA

Workforce Development Area	Population 16 and over	Percent of population	<i>Labor force status</i>		
			Employed	Unemployed	Not in labor force
Bluegrass	667,248	18.6%	60.3%	3.2%	36.5%
Cumberlands	255,920	7.1%	47.7%	3.1%	49.2%
EKCEP	294,238	8.2%	37.9%	3.9%	58.2%
Green River	171,248	4.8%	56.1%	2.3%	41.6%
Kentuckiana Works	818,463	22.8%	62.0%	3.4%	34.6%
Lincoln Trail	220,021	6.1%	56.8%	3.1%	40.1%
Northern Kentucky	366,563	10.2%	64.2%	2.7%	33.1%
South Central	245,438	6.8%	57.2%	3.1%	39.7%
TENCO	221,426	6.2%	46.1%	3.0%	51.0%
West Kentucky	328,010	9.1%	52.5%	2.8%	44.7%
<b>Total</b>	<b>3,588,575</b>	<b>100.0%</b>	<b>56.1%</b>	<b>3.1%</b>	<b>40.7%</b>

Source: 2021 American Community Survey 1-year data, US Census Bureau. Accessed via IPUMS USA, University of Minnesota, [www.ipums.org](http://www.ipums.org).

Figure 12 shows how the labor force participation rate has changed in each LWDA over time. The BLS does not publish labor force participation rates at the county level so the labor force participation rates in these figures were created by using population and demographic data from the American Community Survey (ACS). The changes in the labor force participation rate between LWDAs are unique and imply that there are underlying forces and characteristics causing these disparate behaviors. It is useful to examine the demographic composition of the LWDAs to inform the development of workforce programs and ensure resources are being allocated effectively.

Figure 12  
Labor Force Participation by LWDA Compared to Kentucky



Source: 2021 American Community Survey 1-year data, US Census Bureau. Accessed via IPUMS USA, University of Minnesota, [www.ipums.org](http://www.ipums.org).

## II. Labor Market Trends

### Long-term Industry Trends: State and Local

Kentucky nonfarm employment increased approximately 9.1 percent from 2012 to 2022, an average 0.9 percent annual increase. Table 5 reports the change in employment from 2012 to 2022.

Notably, employment in Mining, quarrying, and oil and gas extraction decreased by 60.8 percent during the past ten years. This sector decreased from twenty thousand in 2012 to only eight thousand in 2022. The increased employment in Transportation and warehousing during this period was nearly as dramatic. From 2012-2022, Transportation and warehousing grew 54 percent (5.4 percent on average annually). During these ten years, Kentucky's two fastest-growing industries were professional, scientific, and technical services (25%) and construction (23.9%).

Table 5  
Employment Growth in Kentucky Industries 2012-2022

Industry	Total change in employment		Average annual change	
	2022 Employment	2012 Employment	Percent Change	Number of Jobs
Agriculture, forestry, fishing, and hunting	8,995	7,517	2.0%	148
Mining, quarrying, and oil and gas extraction	7,959	20,299	-6.1%	(1,234)
Utilities	12,523	12,589	-0.1%	(7)
Construction	83,500	67,416	2.4%	1,608
Manufacturing	251,875	222,962	1.3%	2,891
Wholesale trade	78,152	72,811	0.7%	534
Retail trade	207,587	204,199	0.2%	339
Transportation and warehousing	139,336	90,334	5.4%	4,900
Information	24,334	29,221	-1.7%	(489)
Financial activities	74,179	68,507	0.8%	567
Real estate and rental and leasing	21,007	17,873	1.8%	313
Professional, scientific, and technical services	86,288	69,027	2.5%	1,726
Management of companies and enterprises	21,546	20,055	0.7%	149
Administrative and support and waste management and remediation services	121,911	104,858	1.6%	1,705
Educational services	157,655	169,925	-0.7%	(1,227)
Healthcare and social assistance	288,905	260,053	1.1%	2,885
Arts, entertainment, and recreation	25,743	22,342	1.5%	340
Accommodation and food services	172,772	155,467	1.1%	1,731
Other services	44,697	48,970	-0.9%	(427)
Public administration	88,019	92,119	-0.4%	(410)
<b>Total employment</b>	<b>1,916,983</b>	<b>1,757,020</b>	<b>0.9%</b>	<b>16,044</b>

Source: Quarterly Census of Employment and Wages (QCEW), Bureau of Labor Statistics (BLS), 2022

These statistics are available by LWDA in the Appendix of this document. There is significant variation within Kentucky, and many LWDA's behave differently than what is seen on the state level.

### III. Education and Skill Levels of the Workforce

#### Demographic Characteristics and Labor Force Status

This section explores how labor market behavior differs across various demographic groups and in the different LWDA. Major demographic factors on workforce participation include:

- Age

- Level of educational attainment
- Literacy level
- Disability status
- Poverty status
- Veteran status
- Incarceration history
- Race
- Homelessness
- English learner status
- Displaced homemaker status
- Farmworkers
- Foster care
- Native status

Many factors dictate the likelihood of an individual participating in the labor force and their level of participation (working part-time or holding multiple jobs). Factors such as age, race, and an individual's past experiences, such as their veteran or former offender status, also influence their labor market behavior. Many of these barriers might also be compounded or negated based on other demographic traits of the individual.

### **Age**

Age plays an influential role in how an individual chooses to participate in the labor market, if at all. In the last section, Table 6 showed the labor force status of individuals 16 years and over by LWDA. Overall, 56.1 percent of Kentuckians over the age of 16 participated in the labor force, according to the 2021 American Community Survey. A different picture emerges when examining the labor force status by age group.

Table 6  
Labor Force Status of Population 16 and Over by LWDA

	Population 16 and over	Percent of population	<i>Labor force status</i>		
			Employed	Unemployed	Not in labor force
Bluegrass	667,248	18.6%	60.3%	3.2%	36.5%
Cumberlands	255,920	7.1%	47.7%	3.1%	49.2%
EKCEP	294,238	8.2%	37.9%	3.9%	58.2%
Green River	171,248	4.8%	56.1%	2.3%	41.6%
Kentuckiana Works	818,463	22.8%	62.0%	3.4%	34.6%
Lincoln Trail	220,021	6.1%	56.8%	3.1%	40.1%
Northern Kentucky	366,563	10.2%	64.2%	2.7%	33.1%
South Central	245,438	6.8%	57.2%	3.1%	39.7%
TENCO	221,426	6.2%	46.1%	3.0%	51.0%
West Kentucky	328,010	9.1%	52.5%	2.8%	44.7%
<b>Total</b>	<b>3,588,575</b>	<b>100.0%</b>	<b>56.1%</b>	<b>3.1%</b>	<b>40.7%</b>

Source: 2021 American Community Survey 1-year data, US Census Bureau. Accessed via IPUMS USA, University of Minnesota, [www.ipums.org](http://www.ipums.org)

The Bureau of Labor Statistics (BLS) defines “prime age” workers as individuals between the ages of 25 and 54. This is because most individuals have finished their school careers by age 25, and by 55, many begin to limit their involvement in the labor force by reducing the hours they work a week or retiring early. Table 7 shows the prime-age population and their labor market status in the different LWDA. On average, 74.3 percent of prime-age individuals are employed, and only 22 percent are not in the labor force. This is significantly higher than the participation rate which includes all eligible individuals over 16 years old.

Table 7  
Labor Force Status of Prime-age Individuals by LWDA

Workforce Development Area	Population 25-54	<i>Labor Force Status</i>		
		Employed	Unemployed	Not in labor force
Bluegrass	320,215	78.6%	3.3%	18.1%
Cumberlands	119,272	65.2%	3.8%	31.0%
EKCEP	136,620	55.0%	5.2%	39.8%
Green River	79,805	76.8%	2.4%	20.8%
Kentuckiana Works	404,877	80.3%	3.7%	16.0%
Lincoln Trail	107,224	74.2%	3.8%	22.0%
Northern Kentucky	183,995	81.7%	3.0%	15.2%
South Central	114,589	73.8%	3.8%	22.4%
TENCO	102,018	63.6%	4.2%	32.2%
West Kentucky	146,055	71.0%	3.5%	25.5%
<b>Total</b>	<b>1,714,670</b>	<b>74.3%</b>	<b>3.6%</b>	<b>22.0%</b>

Source: 2021 American Community Survey 1-year data, US Census Bureau. Accessed via IPUMS USA, University of Minnesota, [www.ipums.org](http://www.ipums.org)

Table 8 shows the labor market status for individuals aged 16-24. Individuals in this age group are more likely to be unemployed than prime-age workers and much more likely to not be in the labor force. Younger individuals, over 16 but under 25, may want to work. However, for many, the wage they could earn is not enough to prompt them to seek formal employment in lieu of or while attending school.

Table 9 shows the labor market status of individuals over 55. Approximately 67 percent of individuals 55 years or older are not in the labor force, and only 31 percent of individuals 55 years and older are employed. Age significantly influences labor market behavior. As individuals get older, they may prefer to use their time in ways unrelated to work, or their participation may be limited due to health concerns or disabilities, even if they would prefer to be working.

Examining labor force status by age allows researchers and policymakers to understand when labor force status reflects the preferences or needs of individuals and when the statistics reflect underlying issues in the local job market.

**Table 8**  
**Labor Force Status of Individuals Who Are 16-24 Years Old by LWDA**  
*Labor force status*

	Total population	Percent of population	<i>Labor force status</i>		
			Employed	Unemployed	Not in labor force
Bluegrass	829,122	11.9%	56.3%	6.5%	37.3%
Cumberlands	318,621	10.8%	48.0%	8.6%	43.3%
EKCEP	366,516	10.7%	38.4%	8.8%	52.8%
Green River	216,531	11.2%	53.7%	6.9%	39.4%
Kentuckiana Works	1,020,775	11.0%	57.7%	7.1%	35.2%
Lincoln Trail	279,200	10.9%	55.7%	6.4%	37.8%
Northern Kentucky	466,483	11.0%	63.7%	5.1%	31.2%
South Central	309,730	13.8%	59.3%	6.3%	34.4%
TENCO	275,985	11.3%	46.0%	5.9%	48.0%
West Kentucky	411,178	12.6%	58.9%	5.9%	35.2%
<b>Total</b>	<b>4,494,141</b>	<b>11.9%</b>	<b>55.2%</b>	<b>6.7%</b>	<b>38.1%</b>

Source: 2021 American Community Survey 1-year data, US Census Bureau. Accessed via IPUMS USA, University of Minnesota, [www.ipums.org](http://www.ipums.org)

Table 9  
Labor Force Status of Individuals are Over the Age of 54 by LWDA

	Total Population	Percent of population over 54	<i>Labor force status</i>		
			Employed	Unemployed	Not in labor force
Bluegrass	829,122	26.5%	35.2%	1.3%	63.5%
Cumberlands	318,621	30.4%	25.8%	0.5%	73.7%
EKCEP	366,516	30.6%	17.3%	0.7%	82.0%
Green River	216,531	29.8%	31.1%	0.5%	68.4%
Kentuckiana Works	1,020,775	28.1%	37.1%	1.5%	61.4%
Lincoln Trail	279,200	28.2%	33.0%	1.1%	65.9%
Northern Kentucky	466,483	26.8%	38.1%	1.2%	60.8%
South Central	309,730	27.2%	33.1%	0.6%	66.3%
TENCO	275,985	30.7%	24.7%	0.5%	74.8%
West Kentucky	411,178	30.3%	27.9%	0.8%	71.3%
<b>Total</b>	<b>4,494,141</b>	<b>28.4%</b>	<b>31.7%</b>	<b>1.0%</b>	<b>67.2%</b>

Source: 2021 American Community Survey 1-year data, US Census Bureau. Accessed via IPUMS USA, University of Minnesota, [www.ipums.org](http://www.ipums.org).

### Level of Educational Attainment

Table 10 shows the educational attainment of individuals 25 and over in Kentucky compared to the rest of the United States. On average, Kentucky has a lower educational attainment than the country as a whole.

Table 10  
Educational Attainment of US v. Kentucky

	US	Kentucky
Less than high school	10.1%	9.9%
Highschool degree	24.2%	29.8%
Less than bachelors	29.1%	31.4%
Bachelor's and beyond	36.7%	28.8%
<b>Total</b>	<b>100%</b>	<b>100%</b>

Source: 2021 American Community Survey 1-year data, US Census Bureau. Accessed via IPUMS USA, University of Minnesota, [www.ipums.org](http://www.ipums.org).

Education provides the basic skills required to participate in the labor market effectively and successfully.

Table 10B shows the most in-demand skills employers report they are looking for in employees. Many of these required skills, such as reading, critical thinking, and communication skills, are taught and refined in schools at all grade levels.

**Table 10B**  
**Skills Required by Projected New Jobs**

Skill	Percent of New Jobs that Will Require Skill
Active Listening	72%
Speaking	37%
Critical Thinking	31%
Service Orientation	31%
Monitoring	21%
Coordination	19%
Reading Comprehension	18%
Social Perceptiveness	17%
Operation and Control	14%
Operation Monitoring	8%

Source: 2021 American Community Survey 1-year data, US Census Bureau. Accessed via IPUMS USA, University of Minnesota, [www.ipums.org](http://www.ipums.org).

Table 11 shows the labor force status by educational level for Kentucky. Historically, the education of the labor force has been a significant component for businesses when they make business location decisions. In their 2020 paper, Morris et al found that place-specific skill gaps had a considerable effect on firm productivity, and skill deficiencies are often spatial in nature.

**Table 11**  
**Labor Force Status of Prime-age Population by Level of Educational Attainment**

	Prime-age population	<i>Labor force status</i>		
		Employed	Unemployed	Not in labor force
Less than high school	169,452	43.8%	4.9%	51.3%
High school only	510,526	66.5%	4.6%	28.9%
Less than a bachelors	539,176	78.5%	3.9%	18.4%
Bachelor's and beyond	495,515	89.2%	1.9%	8.9%
<b>Total</b>	<b>1,714,670</b>	<b>74.3%</b>	<b>3.6%</b>	<b>22.5%</b>

Source: 2021 American Community Survey 1-year data, US Census Bureau. Accessed via IPUMS USA, University of Minnesota, [www.ipums.org](http://www.ipums.org).

Table 12 shows the educational levels of prime-age individuals in Kentucky's LWDA's. On average, 28.8 percent of prime-age individuals in Kentucky have a bachelor's degree or more, and 61 percent have less than a bachelor's but more than a high school diploma. Only 10 percent of individuals in this age group did not have a high school education. The two areas with the highest percentage of individuals who did not graduate from high school are Cumberland's (14.4) and EKCEP (17.3). They also have the lowest percentage of the prime-age population with a bachelor's degree or more.



Table 12  
Educational Attainment of the Prime-age Population by LWDA

Workforce Development Area	Prime-age population	Less than high school	Highschool only	Less than bachelors	Bachelor's and beyond
Bluegrass	320,215	8.3%	24.7%	29.9%	37.1%
Cumberlands	119,272	14.4%	38.7%	31.2%	15.7%
EKCEP	136,620	17.3%	37.1%	30.1%	15.6%
Green River	79,805	9.9%	32.0%	35.9%	22.2%
Kentuckiana Works	404,877	8.0%	24.8%	30.0%	37.1%
Lincoln Trail	107,224	8.4%	32.6%	37.9%	21.2%
Northern Kentucky	183,995	6.9%	25.9%	30.0%	37.3%
South Central	114,589	12.3%	34.3%	29.4%	23.9%
TENCO	102,018	11.4%	37.0%	33.2%	18.4%
West Kentucky	146,055	9.9%	33.4%	35.5%	21.3%
<b>Total</b>	<b>1,714,670</b>	<b>9.9%</b>	<b>29.8%</b>	<b>31.4%</b>	<b>28.8%</b>

Source: 2021 American Community Survey 1-year data, US Census Bureau. Accessed via IPUMS USA, University of Minnesota, [www.ipums.org](http://www.ipums.org).

### Disability Status

In 2021, the BLS conducted a national survey of individuals with self-reported disabilities to learn more about the employment barriers these individuals face. Individuals with disabilities reported that their major barriers were:

- due to their own disability (78.9 percent)
- other reasons (17.5 percent)
- lack of education or training (13.1 percent)
- need for special accommodations at the job (12.5 percent)
- lack of transportation (11.6 percent)

Table 13 shows the employment status of prime-age individuals with disabilities by LWDA. Labor force participation among those with a disability is much lower than those without a disability. Nearly a quarter of the prime-age workers in EKCEP have a self-identified disability. Only 19 percent of these individuals are employed, and EKCEP has the lowest employment rate among individuals with disabilities in the state. West Kentucky and the Cumberlands have the next highest self-identified disability at 17.8 percent.

Table 13  
Employment Status of Prime-age Workers with Self-identified Disability

Workforce Development Area	Prime-age population	Self-identified disability	<i>Labor force status</i>		
			Employed	Unemployed	Not in labor force
Bluegrass	320,215	11.8%	39.4%	4.8%	55.8%
Cumberlands	119,272	17.8%	23.7%	3.5%	72.8%
EKCEP	136,620	23.7%	19.0%	4.9%	76.1%
Green River	79,805	15.8%	41.0%	3.0%	56.1%
Kentuckiana Works	404,877	10.5%	40.7%	5.3%	54.0%
Lincoln Trail	107,224	15.3%	35.3%	9.3%	55.4%
Northern Kentucky	183,995	10.3%	43.1%	4.5%	52.4%
South Central	114,589	14.1%	36.5%	6.3%	57.2%
TENCO	102,018	16.7%	29.8%	4.7%	65.4%
West Kentucky	146,055	17.8%	43.4%	2.6%	54.0%
<b>Total</b>	<b>1,714,670</b>	<b>14.1%</b>	<b>35.1%</b>	<b>4.8%</b>	<b>60.0%</b>

Source: 2021 American Community Survey 1-year data, US Census Bureau. Accessed via IPUMS USA, University of Minnesota, [www.ipums.org](http://www.ipums.org).

## Poverty

The 2023 U.S. Department of Health and Human Services poverty guidelines classify a family of four as living below the poverty level if its income is equal to or below \$30,000. A one-person household is below the poverty level if they make less than \$14,580. These guidelines are updated annually.

Nearly 16 percent of Kentuckians lived below the poverty line in 2021.

Table 14 reports the poverty rate of each LWDA using the poverty level as defined that year. EKCEP and the Cumberlands have the highest percentage of their population under the poverty guideline. Northern Kentucky (10.1) and KentuckianaWorks (12.6) have the lowest percentage of their population in poverty.

Table 14  
Percent of the Total Population at Different Poverty Levels

Workforce Development Area	Total population	Poverty status		
		100 percent or lower	101 to 200 percent	Over 200 percent
Bluegrass	829,122	14.3%	17.7%	68.0%
Cumberlands	318,621	22.4%	22.5%	55.1%
EKCEP	366,516	27.0%	24.7%	48.3%
Green River	216,531	13.8%	19.4%	66.9%
Kentuckiana Works	1,020,775	12.6%	15.0%	72.4%
Lincoln Trail	279,200	13.4%	18.6%	68.1%
Northern Kentucky	466,483	10.1%	14.0%	75.9%
South Central	309,730	17.9%	20.5%	61.6%
TENCO	275,985	20.1%	19.3%	60.6%
West Kentucky	411,178	15.7%	22.0%	62.3%
<b>Total</b>	<b>4,494,141</b>	<b>15.7%</b>	<b>18.4%</b>	<b>65.8%</b>

Source: 2021 American Community Survey 1-year data, US Census Bureau. Accessed via IPUMS USA, University of Minnesota, [www.ipums.org](http://www.ipums.org).

Not surprisingly, employment and labor force participation are less common among individuals in families with lower incomes. Poverty may reflect the cumulative effects of various barriers to employment.

Table 15  
Labor Force Status of Individuals 100 Percent or Below the Poverty Guideline by LWDA

Workforce Development Area	Prime-age population 100 percent or below the poverty guideline	Labor force status		
		Employed	Unemployed	Not in labor force
Bluegrass	44,755	36.9%	8.1%	55.0%
Cumberland	288	24.5%	7.7%	67.8%
EKCP	409	18.2%	9.0%	72.8%
Green River	122	32.0%	4.4%	63.6%
Kentuckiana Works	492	37.9%	9.9%	52.1%
Lincoln Trail	153	32.7%	6.4%	60.9%
Northern Kentucky	182	33.6%	10.2%	56.2%
South Central	205	31.4%	9.0%	59.5%
TENCO	249	21.7%	7.4%	70.8%
West Kentucky	27,775	33.4%	6.9%	59.7%
<b>Total</b>	<b>282,567</b>	<b>30.4%</b>	<b>8.3%</b>	<b>61.3%</b>

Source: 2021 American Community Survey 1-year data, US Census Bureau. Accessed via IPUMS USA, University of Minnesota, [www.ipums.org](http://www.ipums.org).

## Race

Some racial groups experience the effects of stereotyping or discrimination and historical inequities such as limited access to education or geographic differences. Racial information can provide insight into potential systemic or cultural factors affecting labor market outcomes.

Table 16 reports the racial composition of the different LWDA. KentuckianaWorks and Bluegrass have the most racially diverse populations.

Table 16  
Racial Composition of Population by LWDA

Workforce Development Area	White	Black	American Indian or Alaskan Native	Asian	Other	Two or more races
Bluegrass	83.6%	8.2%	0.2%	2.8%	2.1%	3.2%
Cumberlands	94.8%	2.1%	0.2%	0.4%	0.8%	1.7%
EKCEP	96.8%	1.2%	0.2%	0.5%	0.3%	1.1%
Green River	89.6%	4.7%	0.1%	1.2%	1.5%	2.8%
Kentuckiana Works	73.9%	17.1%	0.1%	3.3%	1.3%	4.3%
Lincoln Trail	86.6%	7.5%	0.2%	1.6%	0.9%	3.3%
Northern Kentucky	90.4%	4.0%	0.1%	1.9%	1.5%	2.1%
South Central	87.2%	5.6%	0.1%	2.9%	1.1%	3.1%
TENCO	95.5%	1.9%	0.1%	0.4%	0.6%	1.6%
West Kentucky	86.9%	8.1%	0.2%	1.2%	0.9%	2.7%
<b>Total</b>	<b>85.6%</b>	<b>8.1%</b>	<b>0.1%</b>	<b>2.0%</b>	<b>1.2%</b>	<b>2.9%</b>

Source: 2021 American Community Survey 1-year data, US Census Bureau. Accessed via IPUMS USA, University of Minnesota, [www.ipums.org](http://www.ipums.org).

Table 17 shows the labor force status for prime-aged workers in Kentucky by race. Kentucky's Black and White populations have similar labor force participation rates. However, the state's Black population is more likely to be unemployed.

Table 17  
Labor Force Status by Race

Race	Prime-age population	Labor force status		
		Employed	Unemployed	Not in labor force
White	1,467,000	74.5%	3.4%	22.1%
Black	139,000	72.8%	6.1%	21.1%
Native American	2,300	62.4%	4.9%	32.7%
Asian	34,618	74.1%	2.6%	22.5%
Two or more races	49,957	72.1%	4.9%	23.1%
Other	21,370	79.8%	2.1%	18.1%
<b>Total</b>	<b>1,714,245</b>	<b>74.3%</b>	<b>3.6%</b>	<b>22.1%</b>

Source: 2021 American Community Survey 1-year data, US Census Bureau. Accessed via IPUMS USA, University of Minnesota, [www.ipums.org](http://www.ipums.org).

## Veteran Status

A veteran is a person who served in the armed forces and who was not dishonorably discharged. Nationally, more than half of the veterans in the civilian non-institutional population are over the age of 65, and 65.2 percent of veterans are older than what the BLS classifies as the prime-age workforce (54).

In 2021, veterans in the United States have a higher labor force participation rate than nonveterans until the age of 65 and above. Male veterans aged 45-54 have an 83.4 percent labor force participation rate, which drops to 62.5 percent for veterans 55-64 years old (compared to a 71.8 percent participation rate for male nonveterans of the same age).

Table 18 shows the labor force status of prime-age veterans by LWDA. Lincoln Trail has a significantly higher percentage of veterans in their prime-age labor force than the other LWDA's. Approximately a third of prime-age veterans in Cumberlands and TENCO are not in the labor force, significantly higher than the state average.

**Table 18**  
**Veteran and Labor Force Status by LWDA**

Workforce Development Area	Prime-age population	Veteran	<i>Labor force status</i>		
			Employed	Unemployed	Not in labor force
Bluegrass	320,215	4.4%	78.6%	3.3%	18.1%
Cumberlands	119,272	3.4%	64.9%	3.8%	31.3%
EKCEP	136,620	2.6%	54.8%	5.2%	20.9%
Green River	79,805	4.0%	76.6%	2.5%	20.9%
Kentuckiana Works	404,877	4.4%	80.4%	3.7%	16.0%
Lincoln Trail	107,224	8.8%	73.7%	3.8%	22.4%
Northern Kentucky	183,995	4.5%	81.8%	3.0%	15.2%
South Central	114,589	4.5%	73.8%	3.7%	22.5%
TENCO	102,018	4.0%	63.5%	4.2%	32.3%
West Kentucky	146,055	5.3%	71.1%	3.4%	25.5%
<b>Total</b>	<b>1,714,670</b>	<b>4.5%</b>	<b>74.2%</b>	<b>3.6%</b>	<b>22.1%</b>

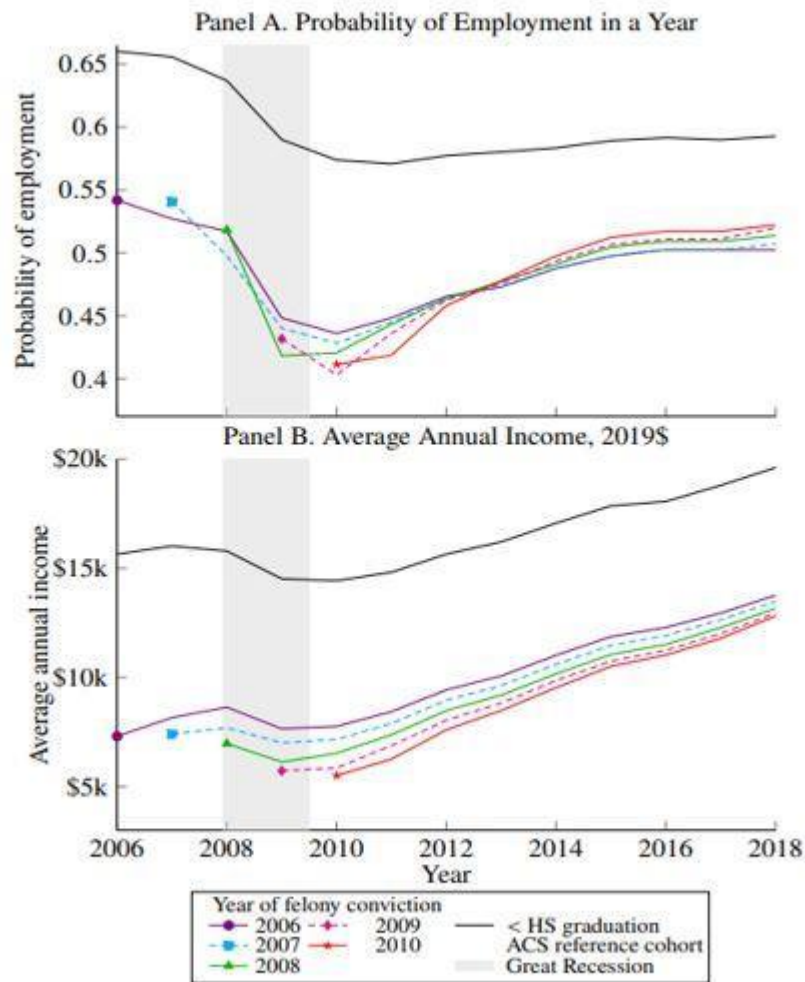
Source: 2021 American Community Survey 1-year data, US Census Bureau. Accessed via IPUMS USA, University of Minnesota, [www.ipums.org](http://www.ipums.org).

### **Incarceration**

Justice-involved individuals face numerous disadvantages when looking for employment. These individuals tend to have more health problems and a lower level of education and training than the average population (Ewert & Wilghen, 2011). These employment disadvantages are compounded by incarceration due to stigma and the gaps in an individual's employment history caused by their incarceration.

In their study, Finlay and Mueller-Smith found that, on average, justice-involved individuals make \$3,000 to \$7,000 less per year and are much less likely to be employed than individuals who were not incarcerated and have less than a high school degree (2021). Given that individuals over the age of 24 with less than a high school diploma earn an average of \$32,500 annually, the difference in earnings for individuals who were formally incarcerated is significant.

Figure 13  
Probability of Employment and Average Annual Income of Justice-involved Individuals



Source: Finlay, Keith and Michael Mueller-Smith. *Justice-involved Individuals in the Labor Market*. ADEP Working Paper, 2021.

In 2021, an average of 18,488 individuals were incarcerated in Kentucky at any given time, and approximately 48,000 individuals were under some supervision by the Department of Corrections (probation or parole). Table 19 shows the number of individuals in each LWDA under supervision in 2021. This is a proxy to estimate the number of former offenders in Kentucky.

Table 19  
Individuals under Dept. of Corrections Supervision by LWDA

Workforce Development Area	Total
Bluegrass	6,164
Cumberlands	3,242
EKCEP	3,747
Green River	2,811
Kentuckiana Works	9,496
Lincoln Trail	2,643
Northern Kentucky	4,007
South Central	3,341
TENCO	2,005
West Kentucky	5,012
<b>Total</b>	<b>42,468</b>

Source: Kentucky Center for Statistics, The number of individuals on active probation or parole supervision, 2020

### Single-parent Households

Single mothers head 71.8 percent of all single-parent households in Kentucky, and single fathers are the head-of-household for only 28.2 percent. Nationally, only 8.8 percent of all families with children under the age of 18 had no parent working in 2022. For single-parent houses, the percentage of parents without employment was much higher. In single-parent families, 25 percent of mothers and 14.3 percent of fathers were not employed. Table 20 shows the number of individuals who were never married living with their children by LWDA.

Single mothers were particularly less likely to work when they had children under the age of 6. In 2022, 31 percent of single mothers were not employed when they had children under the age of 6. This non-employment is nearly 10 percent higher than single mothers with older children.

Table 20  
Never Married Parents Living with Their Own Children by LWDA

Workforce Development Area	Percent of parents who were never married living with their child	Labor force status		
		Employed	Unemployed	Not in labor force
Bluegrass	11.0%	70.0%	7.1%	23.0%
Cumberlands	4.0%	43.0%	20.2%	36.7%
EKCEP	5.3%	45.7%	7.0%	47.3%
Green River	5.1%	67.3%	3.9%	28.8%
Kentuckiana Works	11.8%	73.3%	4.8%	22.0%
Lincoln Trail	6.9%	58.0%	10.4%	31.7%
Northern Kentucky	10.4%	71.2%	12.2%	16.7%
South Central	8.7%	68.1%	10.4%	21.6%
TENCO	11.6%	50.5%	16.5%	33.0%
West Kentucky	6.0%	52.2%	10.3%	37.5%
<b>Total</b>	<b>5.2%</b>	<b>60.5%</b>	<b>9.7%</b>	<b>29.7%</b>

Source: 2021 American Community Survey 1-year data, US Census Bureau. Accessed via IPUMS USA, University of Minnesota, [www.ipums.org](http://www.ipums.org).

### Displaced Homemakers

Traditionally, separated, divorced, or widowed individuals from the income-generating spouse in one-earner households are known as “displaced homemakers.” Displaced homemakers are individuals who have been performing unpaid domestic labor and have not worked full-time for a number of years (42 USC 12713(b)(1)).

When a stay-at-home spouse tries to reenter the labor market, either voluntarily or due to necessity, it often takes more time to find a position, and they tend to be paid less than their peers who stayed in the labor force.[1] This is known as the motherhood/career-break penalty. Businesses, particularly in the post-COVID labor market, are trying to help people reenter the workforce by creating “Returnships” focused on easing the transition into the labor force. These Returnships are often targeted at highly skilled women.

Easing the “back-to-work” transition for individuals who have been out of the labor force due to familial responsibilities, military service, and returning from retirement may be an expedient way business can address current post-pandemic labor shortages (Cohen, 2021).

### Farm Workers

Farm workers are not included in most labor market statistics which measure non-farm employment. The major employment statistics discussed in the media and in this paper concern “total nonfarm employment.”. However, the USDA collects data about agricultural workers in its “Census of Agriculture”, which is conducted every five years. Since the 2017 Agricultural Census, the number of agricultural workers, both paid and unpaid, has declined significantly.

In 2022, the United States Department of Agriculture (USDA) estimated that there were 40,500 hired farm laborers, nearly a 12,500 decrease in the number of hired farm workers since 2017. There were an estimated 50,500 unpaid agricultural workers in Kentucky, approximately 30,000 less than there were in 2017. Unpaid agricultural workers are often the operators of the farm, including members of the operator’s family. Of the hired laborers, 5,000 were migrant



workers, nearly half of the estimated number of workers in 2017. Approximately 12 percent of the migrant workers were contracted laborers, meaning they only work on the farm for a set period of time.

A USDA survey found that, nationally, farm workers have less formal education than the average US employee. Approximately 65 percent of farmworkers have a high school education or less – compared to 37 percent of the total US workforce. Approximately 69 percent of farm workers are US citizens, and 61 percent were born in the US or its territories. This is significantly different than the demographic composition of all workers in the US. Nearly 81 percent of all US workers are born in the U. S., and 91 percent are US citizens.

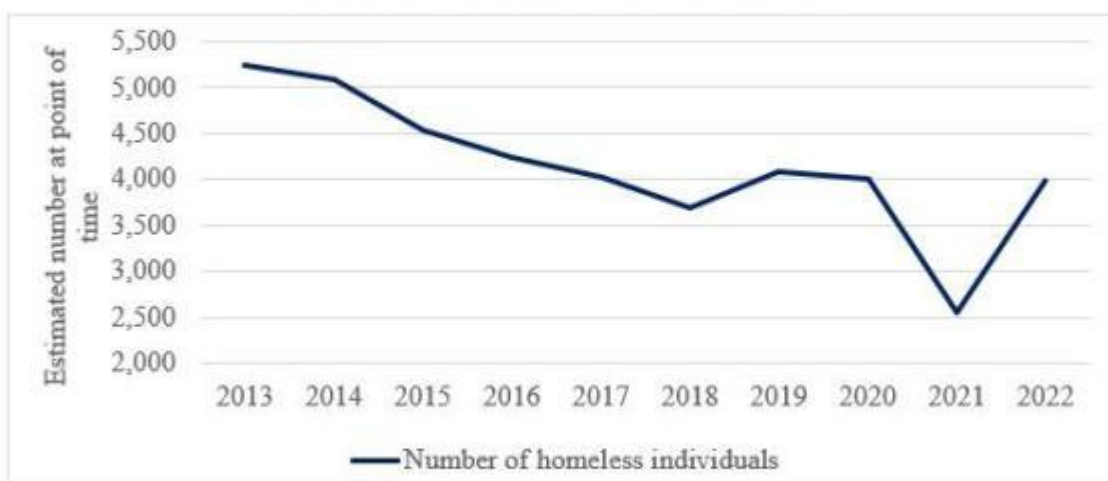
According to these national statistics, farm workers may need help transitioning to other sectors and may not be competitive in the nonfarm labor market.

### Homelessness

The U.S. Interagency Council on Homelessness estimated that in 2022, nearly 4,000 individuals in Kentucky were homeless on a typical day. Of these, approximately 600 are under the age of 18, 328 are veterans, and 670 people experience chronic homelessness.

Figure 14 shows the estimated number of homeless individuals in Kentucky over time. Homelessness decreased by 2.3 percent from 2019 to 2022, but notably, homelessness in Kentucky increased by 56.6 percent from 2021 to 2022 (an increase of approximately 1,400 people). In 2021, there was a sharp decline in the number of homeless individuals due to pandemic counting interruptions.

Figure 14  
Estimated Kentucky Homelessness: 2013-2022



Source: Annual Homeless Assessment Report, US Department of Housing and Urban Development (HUD), 2013-2022

### Low Literacy

In their 2021 report, the National Center of Education Statistics (NCES) estimated that 19-25 percent of Kentuckians over the age of 16 have a literacy skill at or below Level 1. Adults at Level 1 can read short texts and understand their meaning well enough to perform tasks like filling out a short form. Adults below Level 1 may be functionally illiterate but may be able to understand words about familiar topics.

On the county level, there are significant disparities between counties ranging from 11 (Oldham) to 44 percent (Clay) of the population over the age of 16 who are reading at or below Level 1. According to the Occupational Requirements Survey, only 2.3 percent of jobs in the United States do not require the worker to be literate (ORS, 2022). Individuals who have reading difficulties have substantially fewer employment opportunities than individuals with higher literacy levels.

### Limited English Proficiency

Approximately 3.5 percent of Kentucky’s prime-age residents have limited English proficiency (Table 21). Despite this barrier, labor force participation among those with limited English proficiency is higher than the general population. Nevertheless, limited proficiency in the English language can limit a worker’s ability to transition between sectors. Nearly 35 percent of jobs require speaking either frequently or constantly. This is particularly notable for management, a high-paying occupational category, where 46.4 percent of positions require frequent or constant speaking (ORS, 2022).

Table 21  
Labor Force Status of Prime-age Individuals with Limited English Proficiency

Workforce Development Area	Prime-age population	Limited English proficiency	Labor force status		
			Employed	Unemployed	Not in labor force
Bluegrass	320,215	4.7%	74.0%	2.9%	23.1%
Cumberlands	119,272	1.2%	63.6%	9.0%	35.4%
EKCEP	136,620	0.3%	59.0%	7.4%	33.6%
Green River	79,805	2.9%	62.0%	2.1%	35.9%
Kentuckiana Works	404,877	6.1%	75.3%	2.5%	22.2%
Lincoln Trail	107,224	2.0%	68.3%	5.8%	26.0%
Northern Kentucky	183,995	2.9%	78.5%	1.3%	20.2%
South Central	114,589	5.1%	62.1%	1.6%	36.3%
TENCO	102,018	0.8%	57.9%	0.0%	42.1%
West Kentucky	146,055	1.6%	72.1%	2.0%	25.9%
<b>Total</b>	<b>1,714,670</b>	<b>3.5%</b>	<b>72.5%</b>	<b>2.4%</b>	<b>25.1%</b>

Source: 2021 American Community Survey 1-year data, US Census Bureau. Accessed via IPUMS USA, University of Minnesota, [www.ipums.org](http://www.ipums.org).

### Long-term Unemployment

Individuals who have been unemployed for longer than 27 weeks are experiencing long-term unemployment. Long-term unemployment is associated with skill degeneration, discouragement, and the stigma potential employers associate with long-term unemployment. Men who experience long-term unemployment are more likely to withdraw from the labor market. Estimates about the wage effect of long-term unemployment vary from an 11-25 percent wage reduction compared to individuals who experienced short-term unemployment (Rothstein, 2016).

### Native American and Alaskan Natives

Native Americans have very disparate labor market outcomes compared to other groups. In January 2022, the Native American national unemployment rate was 11.1 percent (compared to

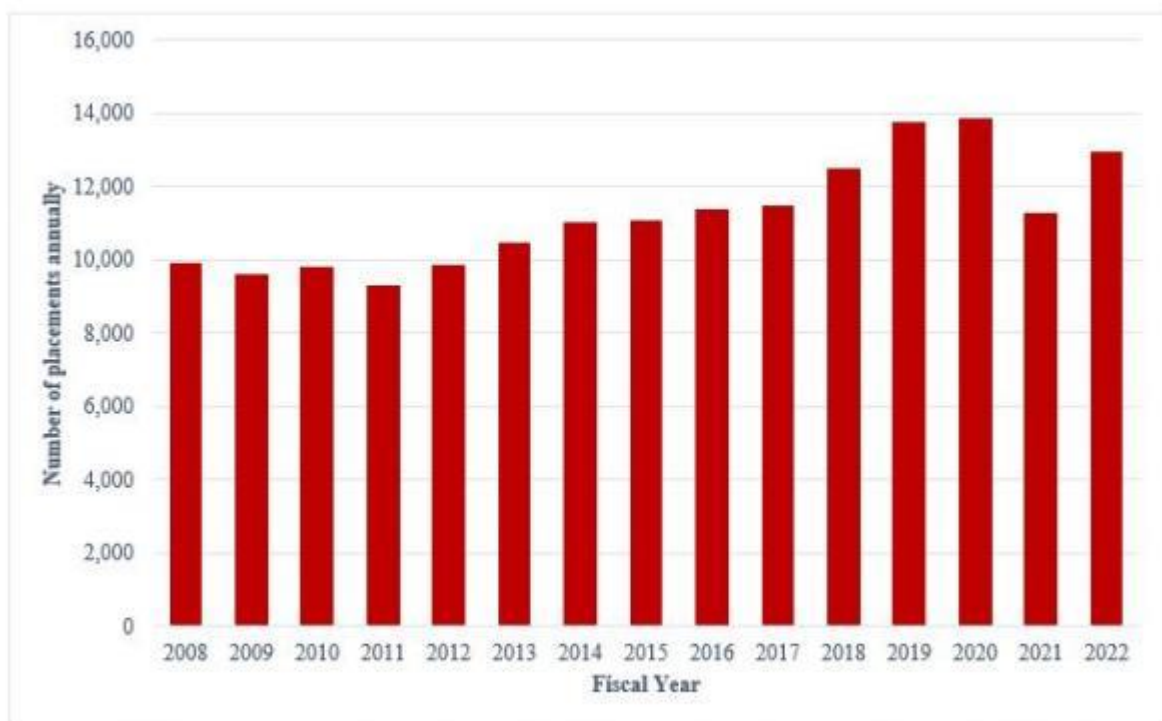
a 4 percent national average). Additionally, their employment-to-population ratio was 7 points below the national average (BLS, 2022). Kentucky has a very small native population, less than a tenth of a percent of its total population.

### Foster Care

In 2022, 12,947 Kentucky children were placed in out-of-home placements. This means they were placed with a foster family or an institution. Individuals who turn 18 in foster care report earnings that are 50 percent lower than other adults with similar educations when they are 26 years old. (Bald et al. 2022). While children who age-out of foster care at 18 have negative labor market outcomes, there is evidence that extending foster care beyond 18 for at-risk youth may ameliorate some negative labor market effects (Bald et al. 2022).

Figure 15 shows the number of Kentucky out-of-home placements by year. According to the Kentucky Citizen Foster Care Review Board’s 2022 Annual Report, approximately 22 percent of children involved in Kentucky’s foster care system were 16-20 years old. Of the 5,000 children who exited the foster care system in FY 2022, approximately 12 percent of them aged out, nearly 600 individuals.

Figure 15  
Average Number of Children in Foster Care by Year



Source: Kentucky Citizen Foster Care Review Board Annual Report, Department of Family & Juvenile Services, 2008-2022.

### Individuals with Substance Use Disorder

Individuals with substance abuse disorders are less likely to participate in the labor market. Nationally, the labor force participation rate of prime-age individuals with substance abuse disorders was 70 percent, nearly 13 percent lower than the average prime-age participation rate from 2015-2018 (Greenwood et al., 2022). By using the difference between the number of deaths attributable to substance abuse disorder pre- and post-pandemic, referred to as excess deaths, Greener et.al estimated that 7-19 percent of the decline in the labor force is associated

with the increase in substance usage as of January 2022. The effect was not the same for every substance disorder; while they found substances like methamphetamine and opioids greatly affected labor force participation, alcohol-use disorder did not seem to affect the labor force participation rate of prime-age individuals (Greenwood et al., 2022).

**Table 22**  
**Reported Substance Use Disorder in the Past Year of Individuals 18 years or older**

<b>Substance Use Disorder</b>	<b>596,000</b>
Alcohol Use Disorder	329,000
Drug Use Disorder	375,000

Source: National Survey on Drug Use and Health: Model-Based Estimated Totals, SAMHSA, Center for Behavioral Health Statistics and Quality, National Survey on Drug Use and Health 2021-2022.

Table 22 contains the most recent data about the frequency of substance abuse disorders for individuals over the age of 18 in Kentucky. The total number reported as having an alcohol use disorder is higher than the number of individuals with a substance abuse disorder because an individual may abuse both alcohol and drugs. Notably, the National Survey on Drug Use and Health found that nearly 40 percent of individuals with a drug use disorder in Kentucky are attributable to disordered opioid usage.

The increase in opioid use, in particular, has affected Kentucky in recent years. There have been multiple studies about the effect opioid use has had on the labor force participation rate (Aliprantis & Schweitzer, 2018; Gitis, 2018; Krueger, 2017). ] In particular, Aliprantis and Schweitzer (2018) estimated that a 10 percent increase in opioid prescribing was associated with a reduction in 0.5 percentage point reduction in LFP among men and 0.14 percent reduction among women.

By utilizing this research, the University of Kentucky’s Center for Business and Economic Research estimated that the increase in the per capita opioid prescriptions, an estimated 46 prescriptions per person to 137 prescriptions per person in 2011, was associated with a 1.3- 3.1 percent reduction in prime-age labor force participation rate (Clark et al., 2019). This amounts to approximately 23,100 to 55,200 fewer workers in the Commonwealth.

**C. COMPARISON OF ECONOMIC AND WORKFORCE ANALYTICAL CONCLUSION. DESCRIBE AREAS OF OPPORTUNITY FOR MEETING HIRING, EDUCATION, AND SKILLS NEEDS IDENTIFIED IN THE ECONOMY COMPARED TO THE ASSETS AVAILABLE IN THE LABOR FORCE IN THE STATE.**

**Comparison of Economic and Workforce Analytical Conclusion**

The above economic and workforce analysis provides guidance to policymakers responsible for allocating resources to develop the Commonwealth’s workforce effectively. By identifying Kentucky’s employment trends and the barriers that prevent many of Kentucky’s residents from participating in the workforce, policymakers can better position training and other programs to ensure that the state’s workforce has the skills that employers will need in the coming years.

The economic analysis suggests that much of Kentucky's employment growth will continue to occur in sectors such as manufacturing and healthcare. These sectors account for a large portion of Kentucky's employment and will likely represent much of the employment growth going forward. Helping workers develop the skills needed by these sectors will be crucial to meeting the needs of Kentucky's growing economy.

While identifying emerging sectors could also allow the state to position workforce development resources to help foster these sectors, accurately identifying these sectors early is challenging. Often, high growth sectors today do not continue to grow at the same rate or eventually decline. As a result, the returns to developing skills that are specific to an emerging sector are more uncertain. Instead, helping workers create a portfolio of transferable skills through general education or skills training programs may be a more effective strategy to meet employers' future needs. Examples of these highly transferable skills include technical and social skills as well as efficient resource management. Focusing on developing these skills can create a highly adaptable workforce - a workforce resilient against changing economic conditions.

The workforce analysis points to several significant barriers that limit participation in the workforce. For example, a significantly higher percentage of Kentucky's population has a self-reported disability (18.1%) compared to the national population (13.4%). The three most reported difficulties were ambulatory, cognitive, and hearing difficulties. The type of difficulty individual experiences can influence the benefits they can obtain from particular training or support offered. The rise of remote work and technological investments may provide new opportunities for individuals whose disabilities keep them from participating in the traditional labor market.

Kentucky also has a much lower proportion of college graduates than the national average (36% versus 28%). While transferable skills can be learned outside traditional academic environments, this indicates that Kentucky's workforce may lack some of the skills required for higher-paying jobs that are more prevalent in the rest of the United States. Labor force participation is considerably lower for those with less education.

Kentucky also has a much higher portion of its population in poverty than the US average (16.5% versus 12.6%). Often, poverty is associated with other demographic characteristics that make it difficult to participate in the workforce. However, individuals in poverty can also face challenges attributable to their limited resources such as insufficient childcare or limited access to transportation.

These are just a few examples of Kentucky's workforce differs from the United States' workforce. It is important to understand the effect of the various demographic barriers as it can affect the types of skills, training and supports that would be most effective at addressing the particular barriers workers face.

Understanding the barriers and addressing appropriate needs of meeting hiring, education, and skills upgrade is of the utmost importance for the Department of Workforce Development (DWD). Utilizing the strategies outlined in this plan with collaboration and coordination at the core of it, the goal is to assist individuals to enter the workforce and maintain employment through services available in the workforce ecosystem.

Appendix A

Number of Jobs per Sector by LWDA from 2012 – 2022

	Kentucky	Bluegrass	Cumberlands	EKCEP	Green River	Kentuckian Works	Lincoln Trail	Northern Kentucky	South Central	TENCO	West Kentucky
Agriculture, forestry, fishing, and hunting	8,995	1,958	75	42	244	276	87	-	254	12	422
Mining, quarrying, and oil and gas extraction	7,959	254	143	2,476	42	153	130	-	36	100	501
Utilities	12,523	701	263	398	160	1,309	148	417	18	264	97
Construction	83,500	17,914	2,787	2,350	4,009	23,482	4,412	6,257	5,147	2,331	7,256
Manufacturing	251,875	46,517	16,470	4,990	18,759	62,990	19,733	24,903	25,469	8,995	20,556
Wholesale trade	78,152	12,980	3,300	1,765	2,721	24,191	1,886	10,984	1,543	994	2,026
Retail trade	207,587	40,345	14,375	16,374	9,590	48,494	11,084	20,828	15,247	9,347	20,583
Transportation and warehousing	139,336	13,585	3,813	2,483	2,482	53,738	2,365	34,793	985	2,348	10,372
Information	24,334	4,166	1,194	1,068	441	7,823	861	2,129	815	620	1,311
Financial activities	74,179	9,321	2,525	2,163	3,328	32,850	2,367	8,065	2,831	1,665	3,502
Real estate and rental and leasing	21,007	4,473	820	718	749	7,315	889	2,510	938	481	1,359
Professional, scientific, and technical services	86,288	19,248	1,823	2,311	1,737	30,673	2,323	10,009	2,958	2,007	5,099
Management of companies and enterprises	21,546	3,440	84	248	128	7,579	962	4,926	2,137	172	442
Administrative and support and waste management and remediation services	121,911	24,277	6,983	2,772	4,413	39,126	4,081	16,396	5,478	2,475	6,989
Educational services	157,655	4,228	170	795	862	5,988	985	1,291	514	487	1,427
Healthcare and social assistance	288,905	42,172	12,713	9,067	9,565	75,674	9,138	22,037	13,967	9,671	18,464
Arts, entertainment, and recreation	25,743	4,793	887	319	667	8,649	567	3,470	1,739	442	1,712
Accommodation and food services	172,772	37,355	8,978	5,487	6,208	44,168	8,189	20,900	10,287	6,876	14,220
Other services	44,697	9,640	1,645	21,141	1,877	13,573	1,901	5,346	2,591	1,546	3,101
Public administration	88,019	23,272	4,587	7,196	2,692	15,200	6,564	8,488	3,813	3,964	6,958
Total	1,916,983	320,639	83,637	84,163	70,674	503,251	78,672	203,749	96,767	54,797	126,397

## Appendix B

### Average Annual Change in Number of Jobs from 2012 – 2022 by Sector

	Kentucky	Bluegrass	Cumberlands	EKCEP	Green River	Kentuckian Works	Lincoln Trail	Northern Kentucky	South Central	TENCO	West Kentucky
Agriculture, forestry, fishing, and hunting	148	-101	3	1	-17	12	5	0	-7	1	-23
Mining, quarrying, and oil and gas extraction	-1,234	-21	-49	-302	-202	0	4	0	-11	10	-171
Utilities	-7	8	4	27	-2	20	-3	24	-2	7	-59
Construction	1,608	597	49	-70	2	475	97	190	113	-38	105
Manufacturing	2,891	304	48	44	192	1,212	449	339	304	-124	58
Wholesale trade	534	250	99	-5	-7	151	-2	34	-210	-60	-129
Retail trade	339	81	134	-150	-52	58	8	107	189	-45	-40
Transportation and warehousing	4,900	383	53	-24	10	1,764	49	2,267	2	30	193
Information	-489	-312	-37	-59	-28	-86	-37	37	-28	-1	-55
Financial activities	567	26	3	-79	-20	313	-20	16	13	-18	-15
Real estate and rental and leasing	313	91	14	-18	15	84	16	47	14	-5	-14
Professional, scientific, and technical services	1,726	538	-118	-87	40	601	29	286	117	73	62
Management of companies and enterprises	149	77	-10	-10	-9	59	60	-35	-15	8	12
Administrative and support and waste management and remediation services	1,705	253	219	-83	-55	493	-77	611	-84	15	135
Educational services	-1,227	-26	7	62	-47	41	-27	-17	14	-16	-11
Healthcare and social assistance	2,885	385	189	179	71	977	201	309	307	53	356
Arts, entertainment, and recreation	340	-8	19	-8	-5	202	8	115	28	-7	13
Accommodation and food services	1,731	560	187	-51	-1	131	177	322	97	50	204
Other services	-427	89	-41	-81	-92	-118	-83	-8	-13	-24	-54
Public administration	-410	-91	15	-3	-25	-96	-8	-178	58	1	-137
Total change	15,996	3,075	786	-717	-233	6,284	845	4,462	887	-89	428

Appendix C

Percent Change in Number of Jobs from 2012 – 2022 by Sector

	Kentucky	Bluegrass	Cumberland's	EKCEP	Green River	Kentuckian Woods	Lincoln Trail	Northern Kentucky	South Central	TENCO	West Kentucky
Agriculture, forestry, fishing, and hunting	2.0%	-3.4%	6.0%	3.3%	-4.0%	7.7%	10.7%	-2.1%	-2.1%	-3.5%	
Mining, quarrying, and oil and gas extraction	-6.1%	-4.5%	-7.7%	-5.3%	-9.8%	0.0%	5.1%	-7.5%	-7.7%		
Utilities	-0.1%	-2.7%	2.0%	2.8%	-1.2%	1.8%	-5.9%	13.2%	-9.0%	-2.4%	-9.3%
Construction	2.4%	5.0%	2.1%	-2.3%	0.0%	2.3%	2.8%	4.4%	2.8%	-1.4%	1.7%
Manufacturing	1.3%	0.7%	0.3%	1.0%	1.1%	2.4%	2.9%	1.6%	1.4%	-1.2%	-1.2%
Wholesale trade	0.7%	2.4%	4.3%	-0.3%	-0.3%	0.7%	-0.1%	0.3%	-5.8%	-3.7%	-3.9%
Retail trade	0.2%	0.2%	1.0%	-0.8%	-0.5%	0.1%	0.1%	0.5%	1.4%	-0.5%	-0.2%
Transportation and information	5.4%	3.9%	1.6%	-0.9%	0.4%	4.9%	2.6%	18.7%	0.2%	1.4%	2.3%
Financial activities	-1.7%	-4.3%	-2.4%	-3.5%	-3.8%	-1.0%	-3.0%	2.1%	-2.5%	-0.1%	-3.0%
Real estate and rental and leasing	0.8%	0.3%	0.1%	-2.7%	-0.6%	1.1%	-0.8%	0.2%	0.5%	-1.0%	-0.4%
Professional, scientific, and technical services	1.8%	2.5%	2.1%	-2.0%	2.5%	1.3%	2.2%	2.3%	1.8%	-0.9%	-0.9%
Management of companies and enterprises	2.3%	3.9%	-3.9%	-2.7%	3.0%	2.4%	1.4%	4.0%	6.6%	5.8%	1.4%
Administrative and support and waste management and remediation services	0.7%	2.9%	-5.3%	-2.9%	-4.0%	0.8%	16.5%	-0.7%	-0.7%	9.5%	3.6%
Educational services	1.6%	1.2%	4.6%	-2.3%	-1.1%	1.4%	-1.6%	5.9%	-1.3%	0.7%	2.4%
Healthcare and social assistance	-0.7%	-0.6%	7.0%	34.2%	-3.5%	0.7%	-2.1%	-1.2%	3.9%	-2.4%	-0.7%
Arts, entertainment, and recreation	1.1%	1.0%	1.7%	2.5%	0.8%	1.5%	2.8%	1.6%	2.8%	0.6%	2.4%
Accommodation and food services	1.3%	-0.2%	2.7%	-2.0%	-0.7%	3.1%	1.7%	5.0%	1.9%	-1.3%	0.8%
Other services (except public administration)	1.1%	1.8%	2.6%	-0.9%	0.0%	0.3%	2.8%	1.8%	1.0%	0.8%	1.7%
Public administration	-0.9%	1.0%	-2.0%	61.7%	-3.3%	-0.8%	-3.0%	-0.1%	-0.1%	-1.3%	-1.5%
Total	-0.4%	-0.4%	0.3%	0.0%	-0.9%	-0.6%	-0.1%	-1.7%	1.8%	3.0%	-1.6%
	9.1%	10.6%	10.4%	-9.9%	-3.2%	14.3%	12.0%	28.0%	10.1%	-1.6%	3.5%

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## 2. WORKFORCE DEVELOPMENT, EDUCATION AND TRAINING ACTIVITIES ANALYSIS

The Unified or Combined State Plan must include an analysis of the workforce development activities, including education and training in the State, to address the education and skill needs of the workforce, as identified in (a)(1)(B)(iii) above, and the employment needs of employers, as identified in (a)(1)(A)(iii) above. This must include an analysis of—

### A. THE STATE’S WORKFORCE DEVELOPMENT ACTIVITIES

Provide an analysis of the State's workforce development activities, including education and training activities of the core programs, Combined State Plan partner programs included in this plan, and required <sup>6</sup> and optional one-stop delivery system partners.<sup>7</sup>

[6] Required one-stop partners: In addition to the core programs, the following partner programs are required to provide access through the one-stops: Career and Technical Education (Perkins), Community Services Block Grant, Indian and Native American programs, HUD Employment and Training programs, Job Corps, Local Veterans' Employment Representatives and Disabled Veterans' Outreach Program, National Farmworker Jobs program, Senior Community Service Employment program, Temporary Assistance for Needy Families (TANF) (unless the Governor determines TANF will not be a required partner), Trade Adjustment Assistance programs, Unemployment Compensation programs, and YouthBuild.

[7] Workforce development activities may include a wide variety of programs and partners, including educational institutions, faith- and community-based organizations, and human services.

#### B. THE STRENGTHS AND WEAKNESSES OF WORKFORCE DEVELOPMENT ACTIVITIES

Provide an analysis of the strengths and weaknesses of the workforce development activities identified in (A), directly above.

#### C. STATE WORKFORCE DEVELOPMENT CAPACITY

Provide an analysis of the capacity of State entities to provide the workforce development activities identified in (A), above.

##### A. The State's Workforce Development Activities

Commonwealth of Kentucky's workforce development, education, and training activities connected to the core WIOA programs are housed within the Department of Workforce Development (DWD) at the Kentucky Education & Labor Cabinet (ELC). Title I programs (adult, dislocated worker, and youth) are administered by the 10 Local Workforce Development Boards (located across the five regions of Kentucky, pictured below) and their respective service providers, while Title II program (Adult Education and Family Literacy) is within the Kentucky Office of Adult Education, and Title III (Wagner-Peyser) is within the Career Development Office. Title IV (Vocational Rehabilitation) is within the Office of Vocational Rehabilitation (OVR). DWD also houses the state-registered apprenticeship agency known as the Office of Employer and Apprenticeship Services (OEAS) and the Office of Educational Programs, which has a targeted mission of growing youth employment through the Governor's Everybody Counts initiative. Furthermore, the Kentucky Workforce Innovation Board (KWIB) is administratively attached and within DWD.

In addition to the core WIOA programs, this Combined State Plan incorporates the Jobs for Veterans State Grant (JVSG), Trade Adjustment Assistance (TAA), Migrant and Seasonal Farmworkers (MSFW), and Unemployment Insurance programs. JVSG, TAA, and MSFW are in the Career Development Office (CDO) within DWD.

## Kentucky's Five Workforce Regions



Updated November 6, 2023



Coming out of pressures excreted by the COVID pandemic on the workforce system, the statewide performance numbers below (from Program Year 22) show that education and training services are being widely utilized by recipients, resulting in access to more and better employment opportunities for Kentuckians.

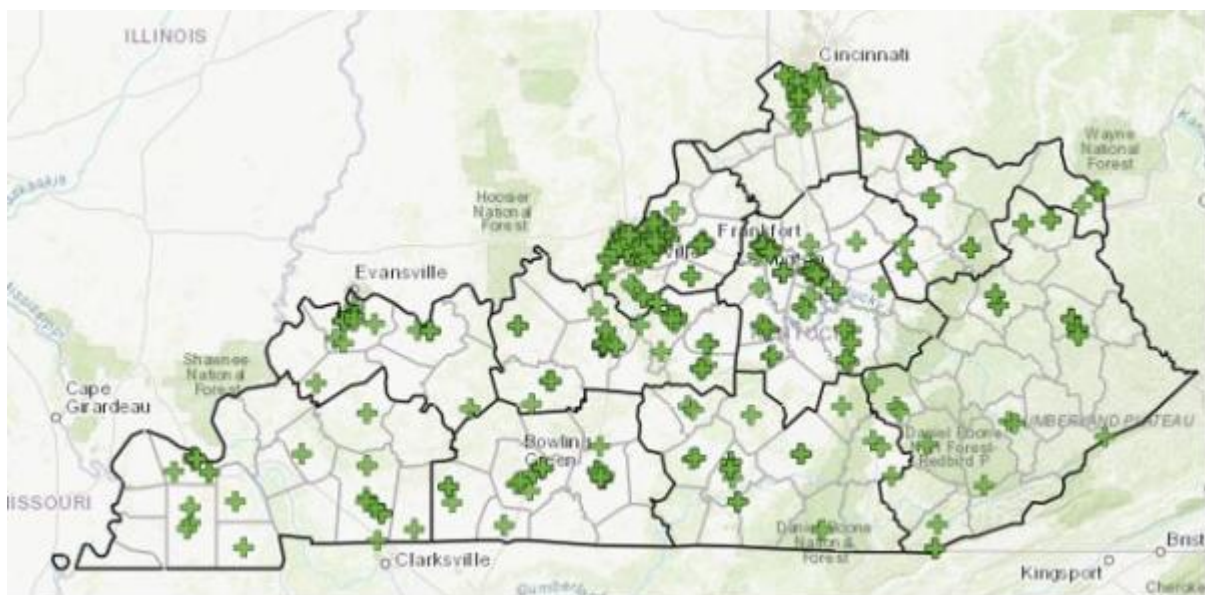
- Title I – Adult: 3,372 participants served; 1,976 trainings provided; quarter median earning \$8,782
- Title I – Dislocated Worker: 410 participants served; 266 trainings provided; quarter median earnings \$10,840
- Title I – Youth: 2,470 participants served; 570 trainings provided; quarter median earnings \$5,344
- Title II – Adult Education & Family Literacy Act: 11,668 participants served; 53.45% Measurable Skills Gains rate; quarter median earnings \$4,490
- Title III – Wagner Peyser: 27,429 participants served; quarter median earnings \$6,994
- Title IV – Vocational Rehabilitation: 43,501 cases served; 4,169 participants in training status; \$21.51/average earnings per hour; 33.91/average hours worked

The individual customers served by the Department of Workforce Development also received services that further their opportunity to overcome employment barriers and upgrade their skills. In the current fiscal year (FY2024), the individuals receiving supportive services, undergoing training programs, and participating in a work experience is depicted below:

Title I Services	Individuals
Supportive Service	3093
Training Programs	1484
Work Experience	1015
<b>Grand Total</b>	<b>5592</b>

Furthermore, within DWD, services from OVR such as providing assistive technologies opens equitable opportunities for individuals with disabilities to attain employment. The individuals that touch the workforce development system can compete for a wider array of jobs and careers. Similar advancement opportunities are also possible through the various training programs DWD offers, especially in the growing possibilities with registered apprenticeships.

In fact, Fiscal Year 2023 showed a 12.2% increase from the year prior in registered apprentices in Kentucky totaling 5,029 active apprentices and 2,513 new registered apprentices in that year alone.



Registered Apprenticeship provides the beneficial benefits to both employers and apprentices:

- Registered Apprenticeship is an industry-driven, high-quality career route that allows employers to develop and train their future employees. It guarantees that the strategy is industry-specific and meets the demands of businesses and the labor market.
- Paid Work Experience: Registered Apprenticeship participants acquire practical, hands-on experience. They collaborate with experienced experts, contributing to real-world projects and responsibilities while earning a wage.
- Progressive Wage Increases: As apprentices continue through their training, their wages are gradually increased to encourage skill development and provide financial stability for participants.
- Related Technical Instruction: In addition to on-the-job training, apprentices receive classroom instruction. The mix of experience and academic understanding improves their total skill set.

- **Portable, Nationally Recognized Credential:** After completing the Registered Apprenticeship program, people receive a credential that is recognized throughout the country. This accreditation confirms their expertise and increases their employability.

Registered Apprenticeship not only benefits employers by creating a talent pipeline but also provides individuals with a pathway to gain valuable skills, earn a wage, and build a successful career. Other industry operated work-based learning programs have also been growing, such as KY-FAME that currently has 175 students enrolled across 11 KCTCS colleges.

Complementing these services, DWD and the workforce development system brings value to both the employer and the individual through the Work Opportunity Tax Credit (WOTC). WOTC program offers benefits to career seekers and positively impacts individuals by:

- **Job Opportunities:** WOTC encourages employers to hire job seekers who face challenges in finding work. By incentivizing employers, the program creates more job openings, increasing the chances for career seekers to secure employment.
- **Financial Benefits:** When career searchers are recruited through WOTC, they not only find work but also make money. Consistent employment contributes to financial security and the opportunity to contribute as taxpayers.
- **Diverse Workplace:** The WOTC encourages workplace diversity by pushing firms to hire from specific groups. This diversity enriches the company culture and promotes inclusivity.
- **Overcoming Obstacles:** Many career seekers confront obstacles such as a lack of professional experience, a criminal background, or other hurdles. WOTC gives them the opportunity to overcome these barriers and find meaningful employment.

The Work Opportunity Tax Credit program opens doors for career seekers, supports financial well-being, and contributes to a more diverse and inclusive workforce.

Overall engagement with businesses by the workforce development system also brings value to workers as opportunities are increased to be placed in the best fitting position and company. In PY22, Kentucky engaged with 54,338 employers (36.7%) of which 43% were repeat customers.

These performance measures demonstrate the value that the workforce development system brings to the individual customer as employment barriers are removed, training is undertaken, and skills are attained – as a result, all leading to better employment opportunities and a better quality of life.

### **Title I – Training Related to Sector Strategies**

Education and training needs derived from businesses are executed in a multitude of ways, including through sector strategies that are led by local workforce development areas. Here are a few that highlight work in the Commonwealth identified five in-demand sectors: manufacturing, construction, transportation, healthcare, and business/IT.

#### **IT - CODE KENTUCKY**

Through a Governor's Discretionary grant, the Commonwealth invests in an IT training program called Code Kentucky, operated by KentuckianaWorks local workforce development board. Code Kentucky is based on the model used by Code Louisville, which has trained and placed more than 800 people in software development and related IT jobs. The programs are also operated by an overlapping staff team and share mentors and curriculum.

In its second year in operation, Code Kentucky began expanding to serve a broader portion of the state through a partnership with SOAR (Shaping Our Appalachian Region). Code Louisville and Code Kentucky helped place 115 people into technology jobs in the past program year at an average wage above \$28 per hour.

In partnership with KentuckianaWorks, the Northern Kentucky Area Development District (NKADD)/Northern Kentucky Workforce Investment Board (NKWIB) supports Code Kentucky in the Northern Kentucky region.

Most recently, 115 students from the Northern Kentucky region were enrolled. There has been a 42% job placement rate for NKY program graduates, with an average starting wage of \$31.34/hour.

Employers from the IT sector have a continued desire to hire candidates with “work experience” and relevant credentials despite the shortage of available talent. NKY WIB plans to work more strategically with IT sector employers in the coming year to identify mutually beneficial solutions for the employers and the Code Kentucky graduates.

### **Construction - KENTUCKIANA BUILDS**

Governor's Discretionary grant also provides complementary funds to the KentuckianaWorks pre-apprenticeship construction training program called Kentuckiana Builds. Kentuckiana Builds was created in 2016 in partnership between KentuckianaWorks Board and the Louisville Urban League to respond to the need for a pipeline of trained construction employees and to increase the number of minorities and women going into the sector regionally. Kentuckiana Builds provides an exemplary program that is started and funded locally and supported with state funds as an investment in an effective model.

In February 2023, leaders from the Louisville Urban League, KentuckianaWorks, and private-sector employers gathered to celebrate the 500th graduate of the program. Of those graduates, nearly 90% are people of color, and more than a quarter are women (compared to just 10% female representation industry-wide).

### **Construction - Heavy Equipment Committee & Pathway**

The South Central Workforce Development Board (located in the South Central Region) started a Heavy Equipment Sciences career pathway for K-12 students, which was launched near the beginning of the academic school year after the SCWDB secured a statewide reserve grant to purchase four training simulators. There were 24 students enrolled; 21 students completed the program in May 2023, and 18 of those students went on to receive full-time employment or internships with local construction companies. An adult cohort was provided in the summer of 2023 with ten students enrolled and supported with a combination of WIOA and NDWG funding support.

### **Healthcare - TENCO & EKCEP WIBs**

Throughout the last few years, the TENCO WDB (located in the East Region of Kentucky) has supported continuous educational improvement in the healthcare field. This need was determined after listening to sector industry groups involved in the Talent Pipeline Management project. The Board established funding to move individuals through a career pathway such as Nurse Assisting, Licensed Practical Nurse, Registered Nurse, and even higher education like Physician Assistant and Nurse Practitioner. Dedicated funding provides a skilled talent pipeline for local businesses while providing individuals with skills that provide them

with advanced employment opportunities and higher wages for their families. The Board expends \$50,000.00 per year on Career Pathway Projects.

Also in the East Region, Eastern Kentucky Concentrated Employment Program (EKCEP) expanded its Healthcare Pathway Partnership Program (H3P), formed in PY 2021 and funded by a US Department of Labor H-1B Rural Healthcare Grant. H3P assists eligible Kentuckians with important financial assistance and career navigation services to help ensure they are successful in training for and transitioning to healthcare careers. The program's expansion made assistance available for eligible students enrolled with additional training providers, increasing opportunities for students throughout the service area. As of October 2023, H3P has served 498 Kentuckians, including 295 people with paid services, to either begin or complete training for a healthcare career.

To serve the region's employers more effectively and better align with state and federal workforce priorities, EKCEP in PY22 placed added emphasis on workplace training and ramped up efforts to initiate registered apprenticeships within the service area, resulting in the agency's first registered apprenticeship in early PY23 in collaboration with Hazard Community and Technical College, Alpha Mechanical Services, and Local 248.

## **Title II - Adult Education & Literacy Act**

The Kentucky Office of Adult Education (KYAE) assists Kentuckians in improving the quality of their lives through education, training, and employment. Services and programs are governed by WIOA 2014, Sections 200-243, specifically Sections 202 and 203 regarding the purpose and associated definitions, and Sections 225, 231, and 243 regarding the delivery of services and activities. In addition, Kentucky Senate Bill 1, 2000 (Kentucky Revised Statutes (KRS) 151b.400-410) addresses the requirements for delivering Adult Education services in the Commonwealth of Kentucky. Adult Education services are provided by a Local Provider Network (LPN) comprising 26 local providers across all 120 counties selected based on a competitive Request for Proposal (RFP) process covering the 2022 - 2025 RFP/Grant cycle. In this plan, you will see references made to the overarching KYAE system, referring to the statewide network including contracted service providers. You will also see references to the administrative office located in Frankfort indicated as OAE.

Kentucky Adult Education is committed to being a valuable WIOA partner. It is embedded within the Kentucky WIOA partnership community and provides Title II services to support and align with the efforts of Title I, III, and IV partners and support agencies. The focus of the Path Ahead for Adult Education in Kentucky is to mitigate barriers to education, training, and employment through co-enrollment across the WIOA partnership community. Integrated Education and Training (IET), Workplace Literacy Programs (WPL), and Integrated English Literacy and Civics Education (IELCE) programs are opportunities to address the needs of Kentuckians by leveraging the efforts of all WIOA partners. The work includes partnerships across the non-profit sector, such as the Earn and Learn Program with Goodwill Industries of Kentucky; the private sector, such as the English language acquisition and Cultural Competency programs with KCC Companies; and the public and quasi-public sector, such as the Student Basic Needs Action Network and the Commonwealth Education Continuum (CEC) which sets the conditions for success for citizens transitioning to employment and or postsecondary education.

In addition, KYAE continues to expand partnerships in support of justice-involved and recovery citizens throughout the Commonwealth. The OAE, in conjunction with the Kentucky Justice and Public Safety Cabinet (JPSC), the Administrative Office of the Courts (AOC), the Cabinet for Health and Family Services (CHFS), and the 11 selected counties per KRS 533.270-290, assists

with the administration of the Behavioral Health Conditional Dismissal Program which is designed to provide eligible participants charged with a qualifying offense an alternative to receive treatment and recovery support services as well as education and training instead of incarceration, resulting in dismissal of the charges upon successful completion of the program. Additionally, KYAE has adopted the Putting Kentuckians First (PKF) Program, which provides education, training, and employment services and opportunities to Kentuckians transitioning out of jails.

The Putting Kentuckians First (PKF) program administered by the Targeted Services Branch is a significant component of the transition and pre-release training process in Kentucky. Through the PKF program, the Target Services staff has established partnerships with the Department of Corrections (DOC), the independent jails in multiple counties, and the courts across the Commonwealth to develop a pathway for education, training, and employment for Kentuckians transitioning out of jails/prisons through a robust pre-release program. This pre-release program is based on a new Jobs on Day One concept established jointly by the Education and Labor Cabinet (ELC) and the Justice and Public Safety Cabinet (JPSC). The ELC has partnered with the JPSC to develop pathways and implement pre-release classes to ensure that when residents are released from Kentucky's jails and prisons, they have received the requisite education, training, and associated wrap-around services to gain employment on day one of their release from jail or prison. The Targeted Services Branch, through the PKF program, is spearheading this process for KYAE in support of the ELC's Jobs on Day One priority.

Under the Jobs on Day One concept, administered through the PKF program, family literacy is a necessity and a priority as many Kentuckians transitioning out of jails/prisons are parents and or fulfill a prominent role as a provider, mentor, etc., within a family structure. The PKF process through partnerships with other state offices and stakeholders across the Commonwealth will coordinate with adult education providers to ensure that services are provided to PKF participants. In the event, that some PKF participants may fall outside of the eligibility criteria, the need to set the conditions for self-sufficiency; to gain digital literacy skills and to develop both cognitive and social skills that may have eroded during the period of incarceration, KYAE views these individuals as candidates for services under the Special Rule in Section 231 of WIOA. Per Section 231, attempts will be made to partner with other state agencies and stakeholders to provide services for these individuals, but KYAE will be prepared to provide services if partnerships cannot be established.

### **Title III – Wagner-Peyser**

The Career Development Office (CDO) is the responsible agency for completing the Title III Wagner-Peyser program. CDO is setting the delivery model to reach individuals with career services early and effectively, which includes the CDO Regional Program Managers initiating weekly Orientation opportunities for partners to get engaged. These orientations enable the career centers to showcase their portfolio of products and services. Partner staff members participate by presenting/reviewing 2-3 slides about their service offerings.

The audience consists of:

- RESEA participants (requirement associated with UI)
- Career center customers (signed up to attend)

Kentucky Career Center (KCC) Partner Staff invitees:

- Employers are invited to speak at this orientation to highlight their job openings



- Employers set up recruitment tables at the career center on orientation days
- KCC Partner Staff obtain referrals from the orientation.

### **Employer Engagement & Hiring Events**

Goals of consistency, flexibility, and connectivity with employers have been the focus. CDO staff consistently stayed engaged with caseload customers through direct communication, constant sharing of hiring event flyers on social media, through the RESEA workshop, and posting employment opportunities at the center. Open communication with several partnering and local agencies in each area has been instrumental. Further, more job seekers, job fairs, virtual conversations, and customer assessments showed interest in more intensive services, which increased employment outcomes for customers who participated.

### **Partner Engagement**

CDO has been working to streamline the referral process with several partner agencies to assist customers once barriers have been identified. The OVR referral in one area was reduced from a 5-page document to simply providing the individual's contact information and a brief synopsis of the perceived barrier. CDO is working with partners to improve their participation in CDO-scheduled orientation workshops with partners not housed in the comprehensive center. CDO has received positive comments from consumers and the staff of the different partner agencies. These interactions are breaking down some of the competitive barriers that have been in place in the past.

### **Title IV - Vocational Rehabilitation**

The Kentucky Office of Vocational Rehabilitation (OVR) has engaged in many projects to enhance services and increase our adherence to federal and state mandates. One focus area of OVR was to enhance services using technology platforms. Consumers are allowed virtual or in-person services throughout their work with agency staff. The service is especially beneficial to individuals with disabilities who experience transportation barriers that prevent them from engaging in programs that enhance their employment skills.

To promote an inclusive workforce, Employment First became law in July 2022. As a result, Kentucky established the Employment First Council administered by the Office of Vocational Rehabilitation. Employment First will help ensure meaningful employment, fair wages, and career advancement for disabled Kentuckians. It will significantly advance efforts to realize a truly inclusive workforce in Kentucky, strengthen its economy, and improve the quality of life for citizens with disabilities across the Commonwealth. In 2023, OVR, along with the Council, received technical assistance from the Department of Labor (DOL), Office of Disability Employment, and the National Expansion of Employment Opportunities Network (NEON) project to advance the efforts of Employment First.

Another program called "RETAIN Kentucky" partnered with the Kentucky Chamber of Commerce to conduct the Inclusive Workforce Summit: Engaging the Talent of Kentuckians with Disabilities. An inclusive workforce is one in which the unique skills, contributions, and diversity of qualified individuals, including those with disabilities, are actively recruited, valued, and integral to success. It is an environment where the engagement, development, retention, and advancement of an increasingly skilled and diverse workforce is promoted and supported across all employment sectors and levels. The one-day event had over 250 attendees. Another key strategy of RETAIN Kentucky's efforts to promote multisystem improvement, innovation, and change is the Inclusive Worker Health Leadership Network (IWHLN). This network,

comprised of medical professionals, public health leaders, employers, workforce development, and the Kentucky Chamber of Commerce, focuses on coordinating state and local initiatives to accelerate opportunities for Kentuckians to stay at work or return to work. RETAIN Kentucky is a grant through the Department of Labor, Office of Disability and Employment.

### **Workforce Partners within DWD**

#### **Everybody Counts**

Everybody Counts is a dynamic new initiative from Team Kentucky that provides a clear pathway to success for qualifying seniors graduating from participating Kentucky school districts. The initiative benefits graduating seniors as well as businesses, local communities, and Kentucky's economy. With Everybody Counts, everybody wins! The initiative completed expansion activities beyond Jefferson County Public Schools into four (4) additional Kentucky School Districts: Shelby, Franklin, Scott, and Fayette. With this expansion, Everybody Counts increased the number of total business partners, education partners, and community organizations year over year. Everybody Counts employed and trained eight (8) Career and College Coaches to support the partner district's high school seniors, and recent high school graduates, with employment and/or post-secondary education opportunities. Before the close of the 2022-2023 school year, Everybody Counts executed three (3) spring events, including a Pathway Exploration Fair for Jefferson County and Signing Day events for graduating seniors from Jefferson and Franklin Counties.

#### **Digital Equity**

The Kentucky Education and Labor Cabinet (ELC) became the lead agency responsible for administering the State Digital Equity Plan. The Broadband, Equity, Access, and Deployment (BEAD) program is administered separately under the guidance of the Kentucky Office of Broadband Development (OBD). The ELC has collaborated with the OBD while developing the Kentucky Digital Equity Plan. BEAD and Digital Equity funds will be used to implement broadband infrastructure expansion and digital equity/digital inclusion programs as part of the Commonwealth's Better Internet Plan.

This plan sets measurable objectives that will impact and interact with the Commonwealth's (i) economic and workforce development goals, plans, and outcomes; (ii) education outcomes, (iii) health outcomes; (iv) civic and social engagement; and (v) delivery of essential services. Before the plan's development, ELC's outreach and engagement activities attempted to reach all covered populations (as defined in the Digital Equity Act). Kentucky is committed to making meaningful progress toward achieving digital equity as one of our top priorities. Through the Better Internet Plan, Kentucky will ensure all Kentuckians have access to reliable high-speed internet and the right devices to access that technology while also ensuring necessary resources are allocated to identify barriers to affordability and ensure there is training and support available to develop our citizens' digital skills. Kentucky is dedicated to achieving our vision in partnership with our trusted state, regional, and community partners through robust public-private partnerships. Bridging the Digital Divide in Kentucky, the Commonwealth has created a Digital Equity Plan in collaboration with Kentuckians to ensure that every voice is heard and issues related to internet use are adequately addressed over the next five years as we review our digital connectivity needs.

The Kentucky Digital Equity Plan is a plan for all Kentuckians. The plan outlines the current state of digital equity, the various ways the Commonwealth sought input, insights about the unique needs of the communities across the Commonwealth, information from organizations already doing digital equity and technology work, and an assessment of what Kentucky needs to

achieve digital access for all Kentuckians. The plan outlines six objectives to achieve digital equity in Kentucky.

1. Enhance broadband availability and affordability for covered populations (ACP)
2. Ensure access to affordable devices for all Kentuckians
3. Increase application accessibility and inclusivity to state and local government programs
4. Ensure that all Kentuckians are equipped to navigate the internet safely
5. Improve digital literacy for all covered populations in Kentucky
6. Empower all Kentuckians to develop the digital skills necessary for work and life

The goal of Kentucky's State Digital Equity Plan is to establish a roadmap that ensures everyone, regardless of their background or community, has access to the necessary technological resources to engage fully in our society, democracy, and economy. In the current digital era, fast, reliable internet has become an important part of daily life. Whether it's for work, education, collaboration, or staying in touch with loved ones, having high-speed internet is crucial. It empowers us by providing easy access to a wealth of information, services, and opportunities online. High-speed internet has transformed how we communicate, learn, collaborate, work, and access important resources. It has become a catalyst for innovation, economic growth, and social progress. The COVID-19 pandemic and subsequent lockdowns exposed a persistent and pre-existing digital divide that adversely affected communities across the Commonwealth. It has caused significant disruptions in various aspects of life and has increased the demand for high-speed internet connectivity and applications. Remote learning became the norm as schools had to adjust, businesses were forced to close or operate under limited capacity, and many people lost their jobs without the resources to adapt. This crisis also shed light on the inadequacies in access for certain communities, especially low-income. The health care system struggled, and education systems were unprepared for many students who lacked the necessary connectivity for remote learning. The economy suffered, with few job opportunities for individuals, and small businesses struggled to stay afloat. It is against this backdrop that a bipartisan US Congress passed the Infrastructure Investment and Jobs Act (IIJA), also known as the Bipartisan Infrastructure Law (BIL), in November 2021 which provided states with funding to develop State Digital Equity Plans. Like Kentucky, all states and territories are committed to developing and implementing State Digital Equity Plans to advance equal access for everyone - with particular emphasis on those experiencing the digital divide. Kentucky, located in the southeast central region of the United States, is home to a diverse range of people that reflect its rich culture. With a population of around 4.5 million, the state is a vibrant mix of ethnicities and cultures. Racial and ethnic minorities, including African Americans, Hispanics, and Asians, make up 17.8% of the population. Kentucky's population also has a significant number (24.3%) of residents aged 60 or above. While there are no federal or state-recognized tribes in Kentucky, there are Native Americans residing in the state (0.3%). While coal mining and agriculture were once the main industries, the state's economic narrative is expanding towards services, health care, and manufacturing. From the bustling cities of Louisville and Lexington to rural Appalachian communities, Kentucky's demographics offer a captivating story of tradition meeting change, making it a fascinating microcosm of American diversity and prime for digital-equity advancement.

By 2034, Kentucky will be a place where every resident, regardless of their background or location, has equal access to affordable high-speed internet, reliable devices, and comprehensive training to pursue economic and personal opportunities. Kentucky's vision will

lead to increased economic opportunity, educational outcomes, health outcomes, civil and social engagement, and efficient delivery of essential services for all Kentuckians. Kentucky will work to remove barriers to digital adoption by creating opportunities through technology, affordable high-speed internet, and digital skills development for all people and businesses. The goal of this five-year Digital Equity Plan is to empower communities, businesses, local governments, and state agencies to sustain the Commonwealth's digital equity efforts beyond the initial five-year period.

### **Local Veterans' Employment Representative - Military Engagement**

Fort Campbell located in Hopkinsville, KY has approximately 400 to 450 soldiers exiting the military each month. One of CDO's current goals is to be more effective in offering services to the current service members, transitioning service members and their families, and assisting employers in recruiting transitioning service members. To achieve this goal, CDO onboarded a Wagner-Peyser staff at Fort Campbell Army Base housed at the Transitional Assistance Program (TAP) office on base. It was important to select the correct individual to work in this capacity to optimize the willingness of soldiers to participate and to be included in other programs and activities that Fort Campbell offers. The staff member placed on the base is a retired Army 1st Sergeant with significant experience caring for soldiers and their families. As a veteran, he has had many of the same experiences as the soldiers transitioning from their military careers.

Offering existing soldiers, transitioning service members and their families, resources, and workforce expertise provides a pathway for gaining employment after their military career or while stationed at Fort Campbell. The Wagner Peyser staff members work with all partners within Kentucky's workforce system, especially JVSG (Jobs for Veterans State Grant) staff, to create pipelines to other areas of the state. As Fort Campbell is on the Kentucky-Tennessee border, the staff has the added benefit of working with workforce representatives from Tennessee, as well.

Having Wagner-Peyser (WP/CDO) staff serve in this capacity allows Kentucky to serve veterans and their families more effectively, as more individuals qualify for WP services than other programs. Currently, the WP staff member has been able to increase employer and jobseeker participation in workforce services. By being readily available and a former soldier, he has gained soldiers' trust and leadership.

### **House Bill 7 (2020) Job Assistance Program**

During the legislative session of 2020, House Bill 7 instructed the Education and Labor Cabinet (ELC) to establish a program to assist with job placement. Within one hundred eighty (180) days of the implementation date of this act, the ELC was given the mandate to construct a job placement aid program to assist individuals registered in the state's medical assistance program established in KRS Chapter 205 in getting employment. The work placement help program has to meet the following requirements: it needs to be available to any non-disabled adult who is enrolled in the state's medical assistance program; provide one-on-one job placement counseling and support; and give priority to job placement with employers that provide employee benefits that include complete health insurance coverage for medical and surgical treatments.

ELC contacts everyone who meets the requirements of being a person who is an "able-bodied adult" and above the age of eighteen (18) but under the age of sixty (60) and is physically and mentally capable of working according to the standards specified by the Cabinet for Health and Family Services (CHFS); and can work in the county in which they reside to participate in the job placement assistance program.

The overall objective of the job placement assistance service is two-fold. First, the objective is to assist referred individuals seeking to change their employment situation to obtain the desired work. Second, it assists employers in obtaining qualified workers to fill their job openings as quickly as possible. Toward these ends, the basic employment service functions provided by the Kentucky Career Center (KCC) include the following:

- **Intake** - registering job seekers by creating quality resumes containing data regarding the individual's work experience, education and training, interests, skills, and abilities. All data is stored in an electronic database for labor exchange, analysis, planning, and reporting.
- **Job Order-taking** - receiving job listings from employers needing workers through self-service or staff-provided assistance. A web-based self-service system is provided for employers or staff to post jobs, automatically match job seekers to jobs, search for qualified candidates, contact job seekers for interviews, and capture results on closed job orders. This system captures the detailed description and title of the job along with the employer's requested qualifications, such as experience, education, and training, and enters this data into the computer system.
- **Job Matching & Referrals** - making automated highly relevant matches based on individual experience, qualifications, and career paths and their correspondence with actual patterns of placement using artificial intelligence. Staff and employers may also match and refer qualified individuals based on employer preferences.
- **Job Development** - contacting employers on behalf of specific job seekers when there are no suitable openings listed to which to refer them. Rather than merely taking an application from an applicant and entering it into the computer system in the hopes that a suitable job opening will be listed soon, the KCC staffer actively seeks out job openings from employers on behalf of the applicant when doing job development.
- **Referral to Supportive Services** – assistance to job seekers in need of services of other agencies to those agencies for services that are likely to improve their employability. For example, an individual with neither clean, appropriate clothes to wear on a job interview nor the money to buy them might be referred to the Salvation Army or other social service agencies for help securing clothes.
- **Employer Relations** - contacting employers to inform them of the services available from KCC, providing labor market information for use in business decision-making, and following up on the results of and satisfaction with services previously provided.

These services are provided without charge to any job seeker legally qualified to work in the United States and to any employer not involved in a labor dispute. However, KCC is required by federal regulation to provide preference in providing services to qualified veterans of the U.S. Military. Additionally, because employers fund both the Unemployment Insurance (UI) and Employment Services (ES) programs, KCC assumes a special mandate to assist UI recipients in obtaining suitable employment as quickly as possible, reducing the duration of the UI claim. All services are provided according to state and federal equal opportunity laws.

Job placement assistance services available through KCC greatly benefit the people of the Commonwealth of Kentucky. By assisting job seekers to obtain the type of work they seek, their standard of living and emotional well-being and their families are significantly improved. Businesses are made more profitable and competitive in a global economy by assisting employers to obtain the best-qualified workers to fill their job openings as quickly as possible.

Moreover, all Kentuckians benefit when, through KCC job matching services, those who had been tax burdens become taxpayers.

KCC provides these services through 13 comprehensive offices located throughout the state. In addition, satellite offices are in all other Kentucky counties.

### **Coordination with Department of Corrections (DOC)**

The Education and Labor Cabinet (ELC) has been working with the Department of Corrections (DOC) on several programs, including the previously mentioned Behavioral Health Conditional Dismissal Program and Putting Kentuckians First. These programs are targeted to the population pool they are meant to serve, and ultimately, are under the Jobs on Day One framework.

Jobs on Day One was created within the Kentucky Education and Workforce Collaborative Board (Collaborative), the government-led board designed to execute the strategy of the Kentucky Workforce Innovation Board (KWIB). The Education and Workforce Collaborative is comprised of state government Cabinet secretaries and partners within workforce development that have statewide reach. Understanding that there is a strong statewide desire to serve justice-involved talent, the Education and Workforce Collaborative took the opportunity to align better and create a true ecosystem where resources can be streamlined to serve better the individuals and businesses hiring this talent pool. Through a collaborative effort of core WIOA partners and the Justice and Public Safety Cabinet, the primary cabinet overseeing the Department of Corrections, the overarching umbrella of the "Jobs on Day One" initiative was launched. The key component to this initiative is a three-phased approach: pre-release training while incarcerated, immediate job placement upon release (job on day one), and post-release retention wrap-around services to maintain retention. All partners find a role in this framework and lend their expertise.

### **B. The Strengths and Weaknesses of Workforce Development Activities**

As mentioned in the opening summary of the 2024-2027 WIOA State Plan, Kentucky's overall message is that we are moving forward together as a unified system under the overarching umbrella of Team Kentucky. Team Kentucky is a culmination of all stakeholders in the Commonwealth that seek to advance the state forward – this includes state government, local municipalities and county governments, business and industry, labor groups, educators, non-profit and community organizations, and individual Kentuckians.

Team Kentucky's principles are evident in the direction in which workforce development is headed which includes as collaboration, coordination, alignment, and a team-based collective mindset. They are at the forefront of activities and initiatives within the workforce development ecosystem. The Workforce Innovation and Opportunity Act (WIOA) provides a strong foundation in which to build upon, however, the entire workforce ecosystem consists of multiple layers of services offered by an array of organizations that meet various levels of needs by job seekers, workers, and employers. Collaboration among the entire ecosystem not only leverages WIOA funding but also enhances the service delivery model for the end-user, whether it be a job seeker, business, or staff within the system. Below are the analyses of these strengths and a reflection of the weaknesses that can be improved.

### **Strengths**

The Commonwealth of Kentucky's workforce development north star is anchored to the Workforce Strategic Plan that outlines the key pillars for continued growth, which include:

1. Employer Engagement
2. Education Attainment
3. Workforce Participation
4. Resource Alignment

The members of the Kentucky Workforce Innovation Board (KWIB) and the workforce development ecosystem collaborated to set the overarching goals that have continued to be vital during and after the impact of the COVID pandemic on the economy and the workforce system. Moreover, the collaborative spirit of ensuring that partners in state government, community, and the business spheres are connecting, aligning, and pursuing the common north star has shown to be a great strength for the Commonwealth.

One of the key elements of strengths in recent years has been the merger of what used to be the Education and Workforce Development Cabinet and the Labor Cabinet into one entity, now called the Education and Labor Cabinet (ELC). This unified cabinet houses the four core WIOA sponsors, registered apprenticeship, and the state workforce development board within the Department of Workforce Development, along with agencies that contribute to the workforce ecosystem, including the Office of Unemployment, Department of Education, Department of Libraries and Archives, Kentucky Education Television, Kentucky Environmental Educational Council, Kentucky Commission on the Deaf and Hard of Hearing, Kentucky Commission on Proprietary Education, Kentucky Center for School Safety, Kentucky Center for Statistics, Governor's Scholars Program, Governor's School of Entrepreneurship, Department of Workplace Standards, Governor's Office of Early Childhood Education, and the Department of Workers' Claims.

Through the Cabinet merger, collaboration, and alignment to provide better services to Kentuckians have increased through a seamless service approach. Internally, staff can connect and understand cross-program impact by finding opportunities to braid services and resources and find the best ways to strive for continuous improvements.

Strengths are further depicted in the initiatives designed to foster collaboration and alignment with the aim to increase the value of services received by Kentuckians, specifically the jobseekers, employers, and stakeholders, including workforce development staff and local communities. Some of the active initiatives that are based on a collective impact collaborative approach are listed below. These initiatives are also closely connected to the four goals of the state's strategic direction.

Furthermore, the KWIB conducted a statewide listening tour in preparation for the 2024 WIOA State Plan. From July through the end of October 2023, all ten Kentucky Local Workforce Development Areas (LWDA) contributed to the work.

The framework for the tour involved working with the local LWDA Board directors and their teams to invite workforce stakeholders to conduct a brief overview of the purpose of the WIOA State Plan and breakout into focus groups to gain insight on specific perspectives. The focus groups were broken into:

- Workforce Partners (community-based organizations, nonprofits, Memorandum of Understanding (MOU) partners, educators))
- Employers
- Elected Officials

- Individual Customers

In total, 33 focus groups were held that involved 348 participants in the listening tours with 198 workforce partners, 82 employers, 51 elected officials, and 17 individual customers contributing their perspectives.

The main line of questioning proposed to each group was a reflection on the existing workforce development system and a reimagined future state of workforce development, with the main intention of learning best practices, challenges, and opportunities that can be pursued.

*Actively engage employers to drive Kentucky's workforce development system*

Strategic Objectives

1a: Create a workforce development system that employers value.

1b: Establish a clear channel for employer engagement in workforce development services.

1c: Increase the number of employers participating in work-based learning experiences and apprenticeships while also establishing employer champions.

1d: Engage employers in education efforts from early childhood through Kindergarten, Grade 12, and postsecondary study.

1e: Leverage employer data on workforce projections and training needs using the talent pipeline management system of the Kentucky Chamber of Commerce and a revamped business service team network.

**The Statewide Workforce and Talent Team (SWATT)**

The Statewide Workforce and Talent Team (SWATT) is a group of statewide organizations committed to improved measurement, coordination, and delivery of workforce development solutions and services to Kentucky employers.

Members of SWATT:

- Secretary of the Cabinet for Economic Development
- Secretary and Deputy Secretary of the Education and Labor Cabinet
- Kentucky Chamber Foundation Sr. VP and Workforce Center Executive Director
- President and VP of Workforce and Economic Development for the Kentucky Community and Technical College System
- Associate Commissioner of Career and Technical Education for the Kentucky Department of Education
- Executive Director, Kentucky Center for Statistics
- Sr. VP/Chief of Staff and Asst. VP for Workforce Initiative at the Council on Postsecondary Education
- Executive Director, KY Association of Manufacturers
- State Workforce Board Chair



- Associate Vice President, Workforce Development, Kentucky Hospital Association

The Statewide Workforce and Talent Team (SWATT) is responding to feedback from Kentucky employers to design and pilot a unified approach to provide workforce solutions to employers. The data-informed unified strategy is intended to improve coordination, responsiveness, and results among partners and ultimately drive workforce participation and business growth. After shared metrics are established and the initial pilot is offered and measured, the strategy will be captured in a model of operating excellence for implementation statewide.

This is not a new program but rather a way to use common sense in thinking differently and bringing partners all together to serve. Every organization at the table is a leader and key to the state's future. The group shares a commitment to defining and using a range of measures of our progress and results. The collective approach allows the group to create and continuously measure impact for employers, with rewarding career opportunities for all Kentuckians as the outcome of the mission.

### **Federation for Advanced Manufacturing Education (FAME)**

The Federation for Advanced Manufacturing Education (FAME) was founded in Kentucky by the manufacturing leadership of Toyota and its partners to create a talent pipeline to fill the critical jobs associated with industrial maintenance. Maintenance technicians play a vital role in modern manufacturing by maintaining and ensuring the machines and robotics operate efficiently. They use complex problem-solving skills combined with technical knowledge to service and repair the machines quickly and effectively. As manufacturing continues to advance and the use of advanced manufacturing technology increases, the need for skilled maintenance technicians continues to increase.

Kentucky is a host to 12 FAME Chapters that are made up of an anchor local Kentucky Community and Technical College System (KCTCS) school that serves manufacturers in the region. FAME students attend classes at their local community college two days a week and work 24 hours a week for a local manufacturer – all while being paid a competitive wage. Upon completion, students earn an associate degree in Applied Science in Industrial Maintenance Technology-Advanced Manufacturing Technician Track, two years of work experience, and the AMT certification.

FAME has spread beyond Kentucky and is now active in 14 states across the US.

### **Talent Pipeline Management**

In partnership with leadership from the Kentucky Chamber Foundation, Kentucky was selected as one of the three states in the nation to pilot a statewide implementation of the U.S. Chamber of Commerce Foundation's program, Talent Pipeline Management (TPM). TPM is an employer-led and demand-driven approach for businesses to create and manage talent 'supply chains' by projecting talent needs and aligning those with education and workforce development systems. Since TPM is heavily focused on the needs of the business, the lead organization is the Kentucky Chamber Workforce Center as it can utilize its position in the market to engage employers in the TPM process and build a stronger workforce aligned with the needs of Kentucky's key economic sectors. The TPM process does the following:

- Convenes businesses into employer-led industry collaboratives throughout Kentucky
- Provides personalized talent solutions to ensure Kentuckians are trained, developed, and upskilled into in-demand career pathways

- Improves collaboration with education, government, and workforce partners by utilizing the collaborative's real-time data

The current TPM industry collaboratives include:

- Healthcare
- Manufacturing
- Construction
- Education
- Distilling
- Logistics/Aviation
- Energy
- Agriculture/Equine
- IT/Business Services

### **Goal #2: Education Attainment & Related Activities**

*Align and integrate P-12, adult education, and postsecondary education to provide lifelong opportunities for Kentuckians that prepare them for the rapidly shifting realities of work in the future.*

#### Strategic Objectives

2a: Increase career exploration opportunities while students are in P-12, and provide all students an opportunity to earn a certificate or credential prior to graduation, with emphasis on those credentials where dual secondary /postsecondary academic credit is awarded.

2b: Review and adjust the structure (locations, pathways, and resources) of Pre-K through postsecondary delivery to align and integrate the Commonwealth's educational infrastructure based on employer needs.

2c: Increase awareness of all market-relevant career pathways among students, educators, guidance counselors, career counselors and parents.

2d: Improve the sharing and use of data to inform the ongoing curriculum design for P-12 and postsecondary institutions.

2e : Create opportunities for early, mid, and later-career learning for all Kentucky workers to provide a range of learning opportunities for growth, upskilling, and adaptation to changes in the nature and structure of work.

2f: Encourage the agility, responsiveness, and desire for lifelong learning among older Kentucky workers.

#### **Everybody Counts**

As mentioned in the previous sections, Everybody Counts is a dynamic new initiative that provides a clear pathway to success for qualifying seniors graduating from participating Kentucky school districts to begin their career, continue their education, or do both! The initiative benefits graduating seniors as well as, businesses, local communities, and Kentucky's

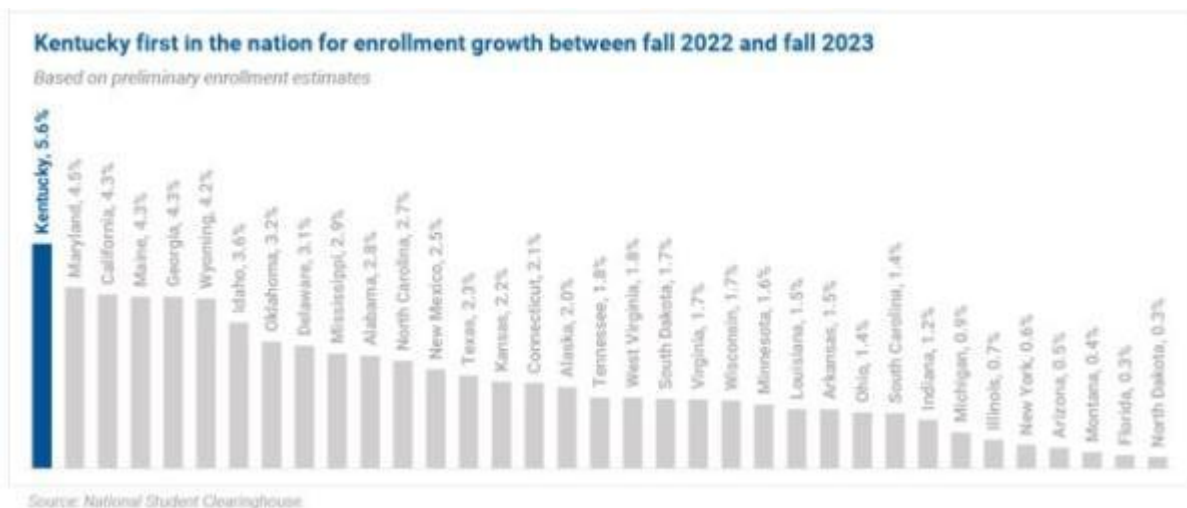
economy. The metropolitan county region of Jefferson County Public Schools was the first pilot site which now has expanded into four (4) additional Kentucky School Districts: Shelby, Franklin, Scott, and Fayette. With this expansion, Everybody Counts increased the number of total business partners, education partners, and community organizations. Most recently, Everybody Counts employed and trained eight (8) Career and College Coaches to support the partner districts' high school seniors and recent high school graduates, with employment and/or post-secondary education opportunities. Before the close of the 2022-2023 school year Everybody Counts executed three (3) spring events, including a Pathway Exploration Fair for Jefferson County and Signing Day events for graduating seniors from Jefferson and Franklin Counties.

### 60x30 Goal

With leadership from the Council on Postsecondary Education (CPE), Kentucky's strategy for postsecondary education advances the Commonwealth's overall ambitious goal—to raise the percentage of Kentuckians with a high-quality postsecondary degree or certificate to 60 percent by the year 2030. Achieving this goal is critical to accelerate job creation, grow the economy, and expand the state's tax base through the contributions of a more skilled, productive workforce.

Important in achieving this goal, a recently released data points from the National Student Clearinghouse (NSC) indicate Kentucky had the highest fall-to-fall total enrollment gains in the nation.

Between fall 2022 and fall 2023, Kentucky experienced 5.6% overall enrollment growth, including 5.5% growth in undergraduate enrollment (ranked second nationally) and 4.9% in graduate enrollment (ranked fourth nationally). Kentucky ranked first in undergraduate enrollment growth and second in graduate enrollment growth among states that are part of the Southern Regional Education Board interstate compact.



### Commonwealth Education Continuum

The Commonwealth Education Continuum (CEC) exists to strengthen Kentucky's education pipeline. Its work addresses the moral imperative for students to have access and opportunity to earn degrees and credentials that lead to sustainable, competitive-wage careers.

Established in 2021, the Continuum is co-chaired by Kentucky Lt. Governor Jacqueline Coleman, Kentucky Council on Postsecondary Education (CPE) President Dr. Aaron Thompson, and

Interim Kentucky Commissioner of Education Robin Kinney. It consists of members whose expertise ranges from early childhood to the workforce.

The work of the CEC is grounded in extensive stakeholder input and analysis of Kentucky's education data. The CEC workgroup members, in collaboration with the Education Strategy Group, conduct interviews and focus groups with representative stakeholders across the state to identify needs and lived experiences.

In addition to stakeholder input, the CEC consults with an ad hoc data team collaborative including representatives from the Kentucky Center for Statistics (KYSTATS), the Kentucky Department of Education (KDE), the Kentucky Community and Technical College System (KCTCS), and the CPE. The data team provides statistics requested by or related to the priorities of the CEC and its workgroups. These data provide the CEC and stakeholders with historical context, illustrate Kentucky's current reality, and inform future CEC initiatives, decision-making, and policy recommendations.

### **LAUNCH Initiative**

The Commonwealth of Kentucky was selected to be one of the impact states across the country for an initiative called "Launch: Equitable & Accelerated Pathways for All." This program aims to expand access to high-quality and equitable college and career pathways for all learners.

This cross-sector team is made up of collaboration with 10 state partners, including the Council on Postsecondary Education, Kentucky Department of Education, Commerce Lexington, Inc., KentuckianaWorks, Kentucky Center for Statistics, Kentucky Chamber of Commerce, Kentucky Community and Technical College System, Kentucky Education and Labor Cabinet, Fayette County Public Schools, Jefferson County Public Schools and Shelby County Public Schools.

The commitment by this group is to ensure every Kentuckian will earn the credentials needed to be fully employed and engaged in their community, and will work towards this outcome by focusing on four key priority areas:

1. Alignment of high-quality pathways to credentials of value;
2. Seamless transitions across secondary, two- and four-year institutions;
3. Student-centered support and advising; and
4. Next-generation work-based learning experiences.

### **Goal #3: Workforce Participation & Related Activities**

*Increase Kentucky's workforce participation by creating opportunities, incenting workforce participation, and removing employment barriers for Kentuckians*

3a: Strengthen collaboration across workforce development, social services, employers, and non-profits to address barriers to employment for individuals.

3b: Mitigate disincentives to work and explore ways to incentivize workforce participation for individuals currently receiving social services benefits in order to support their transition to sustainable employment.

3c: Embed programs serving specific populations across cabinets to promote workforce participation. Examples of priority populations include veterans, individuals with disabilities, re-entrants from the corrections system, individuals in recovery from substance abuse, young adults transitioning out of foster care, and others.

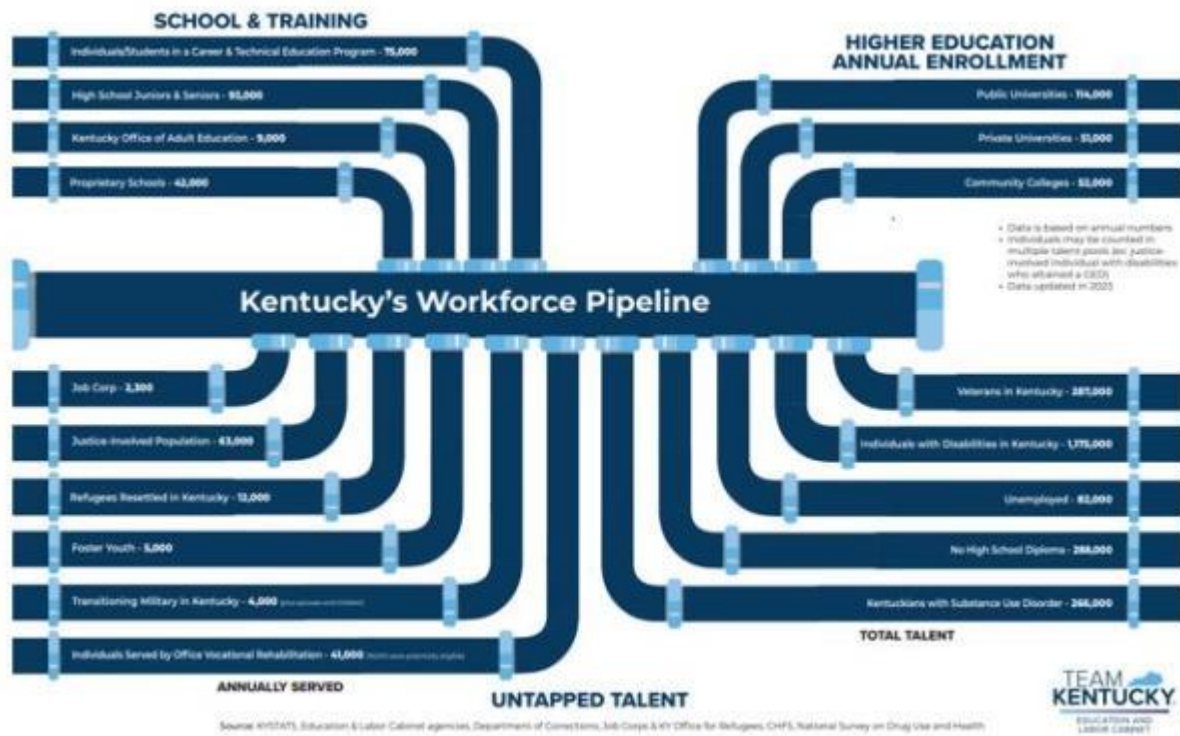
3d: Develop and promote strategies for employers to address employment barriers.

3e: Develop and Pursue strategies that increase the number of Kentuckians who are work-ready and free from the influence of substance abuse.

### Focus on Untapped Talent Pools

Opportunity to enter a good quality job is more possible now than ever before. In the last four years, Kentucky has seen more than \$28.7 billion in private-sector investment and created more than 51,200 new jobs. In 2023, Kentucky has seen the highest incentivized wages averaging \$26.67 an hour before benefits.

To fill these jobs, Kentucky companies must explore diverse talent pools to source and recruit. Through the network within the workforce development ecosystem, including leadership from partners at the Kentucky Career Center, untapped talent can be accessed. To provide a clear picture of the various talent pools, Kentucky's Workforce Pipeline graphic was created to help existing and new companies to think widely about building a diverse pipeline.



### Analyzing Benefit Cliffs

Families' benefit cliffs occur when an increase in parents' income causes them to lose access to a public benefit program, and the loss of the benefit results in a negative drop or "cliff" in net resources. These cliffs leave families with reduced financial resources even as earnings increase.

When faced with benefit cliffs, parents may elect to leave the workforce, turn down new jobs or promotions, or avoid working additional hours in order to continue to receive benefits for themselves and their families. Benefit cliffs can trap workers in employment with lower salaries and limited hours of work, preventing advancement and prosperity. For some families, these cliffs keep them in poverty, unable to move beyond low-income wages. Alternatively, if workers "power through" benefit cliffs, the resulting loss of net resources can be significant enough to return them to poverty before they can increase their earnings further.

Kentucky is focused on understanding where cliffs happen, what strategic objectives can be completed administratively, and how to maximize the opportunity for individuals on benefits to reenter the workforce while educating businesses on this issue. Such action is best taken collectively through continuous collaboration between the appropriate stakeholders including the Education and Labor Cabinet (ELC), the Cabinet for Health and Family Services (CHFS), employers, community-based organizations, and the individuals who are impacted. If reentering the workforce into a good job is the priority with minimal impact from the benefit cliffs, then the stakeholders at the table have an obligation to find solutions.

### **Jobs on Day One**

As seen throughout this state plan, the underlying theme for the successes and continuous success of the commonwealth is the strength of collaboration and partnership. One area of innovation is with the justice-involved talent pool in Kentucky, where over 63,000 Kentuckians are on supervision, and an estimated 1.1 million Kentuckians have a criminal record. Furthermore, services to individuals with justice-involvement span various agencies and organizations, starting with the reentry services provided by the Justice and Public Safety Cabinet's Department of Corrections, to social services provided by the Cabinet for Health and Family Services, to employment and education provided by Education and Labor Cabinet's Office of Adult Education and Title I & III career services, and to the community-based organization that has niche programs to serve the justice involved population; notably, Goodwill Industries of Kentucky is an active and trusted partner that utilizes federal grants and philanthropic dollars to create career pathways from prison to high demand sectors. Employer engagement is also high as partners at the Kentucky Chamber Foundation have answered the business demand by launching the Fair Chance Academy to educate and create avenues for employers to hire, retain, and advance the talent for justice and substance use disorder.

The services provided to justice-involved talent are wide in scope, but with a common outcome of quality employment. Jobs on Day One creates a statewide framework that is customizable to the local community through a three-phased approach: pre-release training and education, employment immediately upon release (or a job on day one), and supportive services that help retain individuals through the workforce development ecosystem. This cohesion provides an avenue for all partners to collaborate in their space to ultimately strengthen employment outcomes, build talent pipelines for employers, and reduce recidivism that in due time leads to stronger communities.

The Jobs on Day One collaborative spirit has led to Kentucky Governor Andy Beshear highlighting this initiative as a critical talent strategy component that addresses employer demands with a skilled workforce.

*Focus resources on the most effective initiatives and improve the return on our workforce investment, utilizing data to constantly improve workforce development in Kentucky*

### **Strategic Objectives**

4a: Identify and address the organizational and structural changes that should be made to Kentucky's workforce development governance to improve collaboration and accountability.

4b: Develop a framework and supporting goals and metrics for Kentucky's workforce development programs.

4c: Identify gaps in the existing longitudinal data system and determine available sources to close those gaps.

4d: Define and create an effective communication approach for services to ensure a consistent, quality customer experience.

4e: Build a stronger, more coordinated relationship between state and local government, institutions, and workforce innovation areas.

### **Education and Workforce Collaborative**

One of the key platforms that allows for alignment and collaboration on critical workforce priorities is the Education and Workforce Collaborative Board (Collaborative), which was initiated through Governor's Executive Order 2020-857 (<https://web.sos.ky.gov/execjournalimages/2020-MISC-2020-0551-268390.pdf>) to bring education and workforce development system partners together in one group so that all available resources may be efficiently and effectively aligned and measured to enhance and improve Kentucky's workforce development system. This 19-member Collaborative is made up of executive Cabinet leadership, education leaders from K-12, community, and post-secondary level, the state chamber of commerce, federal workforce training providers such as Jobs Corps, a local workforce board director, elected officials, and the state workforce board chair.

The Collaborative is chaired by the Governor or their designee, who is currently the Deputy Secretary of the Education and Labor Cabinet. Over the calendar year 2023, this body has found great synergy in addressing critical workforce components that the state workforce board, the KWIB, has brought forward through the Strategic Plan. The quarterly Collaborative meetings are divided into two meetings focused on alignment in serving specific untapped talent pools and two meetings focused on alignment of system-level workforce development priorities. In 2023, the untapped pool gatherings focused on justice-involved and veterans in the commonwealth; through these meetings, Jobs on Day One was launched to address the former and a veteran's task force was formed to address the latter. From the system priorities side, the Collaborative addressed work-based learning and provided their priorities as they relate to building the WIOA State Plan. The future of the Collaborative is going to continue focusing on alignment, collaboration, and addressing the workforce development system through the wide lens of it being a true ecosystem of services.

Through the Education and Workforce Collaborative, the members went through selecting top data, policy, and practice priorities that can underly the overall progress in workforce development. Below are priorities that will be further analyzed over the 2024-2027 period of continued collaboration:

#### **DATA PRIORITIES**

1. Data sharing / standardization across partners (of measurements and of definitions)
2. True and consistent analyzation of data received
3. Employer data tied to Individual outcomes

#### **POLICY PRIORITIES**

1. Private – Public partnership policies
2. Placement tracking and retention with job quality principles as measurements
3. Licensure and interstate agreements (occupational) reciprocity from other states.

## PRACTICE PRIORITIES

1. Track and Market Return on Investments through stakeholder communication and education (set and define expectations, stakeholders to put “skin in the game”, elevate competency based-hiring)
2. Use of Technology, AI, Sector Innovation, Digital Equity, VR Training, to support development of citizens in development and success; include high impact and vigorous updating (need more funding; effective braiding of funds; maximum collaboration)
3. Re-evaluation of services / expectations - Non-Traditional is the new normal

Overall, the strength of the workforce system depends on the ability to continue to coordinate, collaborate, and strive towards mutually reinforcing activities. This includes more investment in the workforce system to compliment the federal investment from WIOA to allow a stronger focus on effective initiatives in commonwealth. For example, the themes described above indicate the need to have a greater emphasis on strengthening Kentucky’s untapped talent pools with the engagement of business through work-based learning opportunities – this takes further resource investment in the workforce system. Even more so when Kentucky’s booming economy is performing at a high level leading to a lower unemployment rate and lower federal WIOA investment as a result. This leads to a good problem that must be addressed with a diversification of funding to meet the needs of both employers and individual customers. Investment in workforce development also provides the essential need to address full employment for all Kentuckians and to highlight the opportunity to recruit new workers to live, work, and raise a family in the Commonwealth. Investment in workforce development also leads to the essential need to address barriers to full employment for all Kentuckians and to recruit new workers to opportunities in Kentucky to live, work, and raise a family in the Commonwealth.

### **Revamping Work Ready Communities**

The Work Ready Communities initiative and certification program started over a decade ago in Kentucky to highlight and measure counties’ readiness for economic development investment through their workforce preparation. They were designed to be an assurance to businesses and industries that a community is committed to providing the highly skilled workforce required in a competitive global economy. Through this effort, Kentucky communities assessed their workforce strengths and followed a process to become certified as Work Ready or Work Ready in Progress. The certification assessed: high school graduation rates, post-secondary credential attainment, soft skills development, internet availability, and labor force participation rate.

Work Ready Communities program has been highly engaged and has widespread brand recognition in the Commonwealth; however, the pandemic and the changes in the economic and workforce landscape have led to the need to bring Work Ready Communities into its next phase.

Emphasized by employers, soft skills continue to be the number one requested set of skills required in the workplace. The tools mentioned above with the various DWD services provide individual customer opportunities to harness critical soft skills to be considered “work ready”. The importance of soft skills as the foundation to employment is important, as these skills are transferable across industries, contribute to a more diverse and successful work experience, strengthen collaboration in a team or a group setting, and develop leadership and effective communication tools for continuous improvement and growth in a chosen career.



Whether in formalized training or through career services, DWD will continue to focus and build the soft skills necessary for individual customers to succeed in the workplace and be considered “work ready” across all industries.

To create the next generation of Work Ready Communities, the Kentucky Workforce Innovation Board (KWIB) took on the opportunity to understand the perspectives of various stakeholders, including economic developers (both local to Kentucky and regional to the Southeastern part of the US), local elected officials, businesses, and stakeholders in the system, such as educators and community-based organizations. Below are findings from dedicated focus groups that paved the way to a better:

- Work Ready Communities needs a revamp; the program needs to address current economic and workforce transition
- Communities need to be able to understand the supply of hard skills and soft skills
- Communities need to understand the demand for skills
- What is the capacity of high schools/community colleges to build a pipeline for in-demand skills?
- Understanding of untapped talent and service providers that support these population pools
- Utilizing regionalism as a strength, reflecting on commuting patterns
- How are communities supporting workers, specifically as it relates to transportation, housing, and childcare; these are components that bring quality of life.
- How are communities attracting talent?

Understanding these components from the community members themselves, the revamped version adopted by the KWIB building strategy into the next iteration of Work Ready Communities that includes:

1. Understanding Essential Skills: What is the current approach to tracking career-readiness? Are the existing programs aimed at HS and adults AND meeting the demands of the industry? What strategies are taken to meet these demands?
2. Untapped Talent: Community awareness of all the non-profit organizations targeting untapped talent pools (individuals with disabilities, veterans, immigrants/refugees, fair chance, recovery, foster youth, etc.). What are the strategic coordination efforts being done to create pipelines into employment? Kentucky’s Workforce Pipeline can be used as a guide to potential talent.
3. Local & Regional Occupational Supply & Demand with Education & Workforce Alignment: How are communities addressing local talent supply and employment demands? What strategic efforts are being made to meet the needs/goals of industries through an aligned education vision? What are the strategies to meet the local in-demand industries as defined by Local Workforce Development Boards?
4. Work Based Learning: Asking what strategies are used to grow skills and fill employment needs through the various work-based learning opportunities, such as career exploration, internships, co-ops, apprenticeships, etc.

Furthermore, talent-ready strategies help in addressing barriers to employment (Quantitative & Strategic):

1. **Transportation:** What are the strategies used to grow transportation access and infrastructure to meet community and business needs? Can communities quantify the demand for transportation?
2. **Housing:** What kind of housing trends are seen in the community (for example: the number of units being added annually), and what strategies are utilized to meet the demand? How are communities addressing *affordable* housing? Data gathering could incorporate the local energy companies to gauge growth by understanding new meters added.
3. **Childcare:** What is the existing landscape of access and affordability, and what strategies are being taken to address the needs of the community? Data and strategy can include utilizing KYSTAT's capacity data and services offered by the Governor's Office of Early Childhood Education.
4. **Digital Equity & Broadband Infrastructure:** Can communities describe their internet availability across their rural and urban centers? Does a community have a digital equity plan or strategy to ensure access for all?
5. **Talent Attraction:** What strategies are being used to attract talent locally or regionally? Are these strategies aligning with business demand?

### **Kentucky Integrated Business Engagement System (KIBES)**

The Kentucky Integrated Business Engagement System (KIBES), which operates on the Salesforce platform, provides connectivity to the business-facing workforce development staff across the Commonwealth. Through KIBES, Business Service Team (BST) members and workforce partners representing ten workforce regions can communicate and track the progress of company contacts, ongoing relationships, programs and activities utilized, and the overall status of company engagement. Having BST members on one platform makes collaboration possible as an existing company record owner could introduce their colleague to a unique program or opportunity for the business customer. Both digital and in-person collaboration among Kentucky's business services have allowed the system to be proactive in helping companies recruit, develop, and retain talent while also helping companies access labor market information, innovative workforce development practices, and resources from partners to lower costs and increase opportunities for all Kentuckians.

### **Dun and Bradstreet (D&B) and EconoVue**

To anticipate potential layoffs and rapid response activity, the Commonwealth utilizes the Dun and Bradstreet (D&B) Market Insight System to align business needs with core partner services. This innovative, proactive approach uses real-time data and the future financial outlook of a company to identify those businesses that are in a growth pattern, in a stable state, or experiencing a potential downturn and need early intervention for layoff aversion strategies.

In PY22, an investment was made into the EconoVue platform that enhances this D&B data through an intuitive dashboard interface, allowing business-facing core program sponsors to narrow down companies based on geography, industry segment, employer risk, business growth/downturn, employer size, and view time series data of trends. With a local level understanding of D&B data, the EconoVue enhancement provides added tools to be proactive in layoff aversion strategies.

## **Weaknesses in the System via Barriers to Employment: Childcare, Affordable Housing, and Transportation**

### **1. Childcare – Access and Affordability**

- a. #1 barrier raised across the state for getting and retaining workers
- b. General support for universal pre-K programs
- c. Employee Assistance Program is a positive
  - i. Implementation: employer engagement in the system is less than 50%

#### **Stakeholder Suggestions:**

- Availability for 12-hour shifts; availability on weekends
- Employer-sponsored childcare (option: sector/industrial park approach of businesses collaborating to offer childcare services)
- Support and incentives for entrepreneurship in childcare start-up

### **2. Affordable Housing**

- a. Lack of new and affordable housing; multi-units are in high demand
- b. People escaping urban areas for rural communities; also leads to lack of reliable internet
- c. Innovative approaches: Elizabethtown Community and Technical College (ECTC) working with the Family Scholar House for on-campus family-style housing for students with barriers

### **3. Transportation – Urban and Rural Areas**

- a. Availability and access to reliable transportation varies greatly across counties and urban and rural areas

#### **Stakeholder Suggestions:**

- Regional or rural transportation options
- Public transportation to jobs, and those seeking skills or training
- Local options for mobility incentives
- Promoting innovative solutions like Enterprise Commute

## **C. State Workforce Development Capacity**

The Department of Workforce Development (DWD) has the capacity, experience, and partnerships to serve Kentucky job seekers and businesses in delivering employment services, education, and training. As mentioned in previous sections, DWD houses Title I-IV programs and has complementary offices that enhance services, such as for youth with the Everybody Counts initiative. Furthermore, the strength of the workforce ecosystem is within the reach of all partners that are involved. Thus, the services are exponentially multiplied when stakeholders collaborate, such as the examples provided in the explanation of the Education and Workforce

Collaborative. One avenue described below shows how Title IV Vocational Rehabilitation services are administered through DWD.

The Office of Vocational Rehabilitation (OVR) provides support for education and training to eligible consumers in a number of ways. OVR can provide support for specific and appropriate job—related education and training if it is needed to prepare the consumer for a vocational goal that is aligned with the consumer’s interests, strengths and abilities. The goal is identified through a vocational assessment and is agreed upon between the consumer and a VR counselor in the Individual Plan for Employment. The education and training can occur in a variety of settings including, but not limited to, community and technical colleges, baccalaureate institutions, short-term training programs, intensive training programs offered by community rehabilitation programs (CRPs) and other providers, and individualized training through supported employment providers. OVR can also provide tuition assistance, assistance with books and other supplies, note keeping, sign language interpreting, tutoring, rehabilitation technology, and other appropriate supports determined on an individualized basis.

Through guidance, counseling and partnering with OAE, vocational rehabilitation counselors assist consumers in identifying their strengths and abilities, dealing with disability-related functional limitations, learning to problem-solve, and working through employment-related issues on their own. VR counselors train consumers to be self-advocates, making them aware of related laws such as the Americans with Disabilities Act (ADA), and their rights under those laws, particularly as they relate to workplace accommodations. OVR also assists consumers with disability-related work issues and assisted technology options in the workplace. OVR, principally through its job placement staff, also provides disability awareness training to employers.

Beyond training to develop specific job skills, OVR staff works with consumers on interviewing skills, resume writing, and job searches, often using mock interviewing as a tool to prepare them for job interviews and to know the types of questions that employers may ask. Consumers are also trained on what questions can and cannot be asked in an interview to someone with a disability and to someone with a criminal record by law. OVR prepares consumers for the barriers and struggles they may face when they start trying to find employment and helps them find employers who will work with them.

OVR can work with consumers on internships, apprenticeships, and on—the—job training arrangements as additional options on the career pathway to employment. These options allow individuals to train while being actual employees and assist with developing soft skills, such as being on time for work, filling out a timesheet, using email, and dealing with co-workers and supervisors.

OVR also provides training directly at the residential training center it operates, the Carl D. Perkins Vocational Training Center (CDPVTC). Soft skills are taught as a part of the Work Adjustment Program (WAP) at the center. CDPVTC also offers the Academic and Life Skills Program of Higher Achievement (ALPHA) and the GED program. The ALPHA program provides instruction and support for students who want to complete vocational training or post—secondary education. Some students may also require a GED to gain employment or continue their education.

Finally, a number of short-term options are available at the center for consumers who may not want or be able to attend college. These short-term training options include auto lube/detail, cosmetology, childcare development, custodial/building maintenance, food service, grounds—keeping, industrial truck operation, and materials management. The center is intended for

individuals who need intensive supports and ancillary services such as physical therapy, speech therapy, and occupational therapy, among others, all provided on-site.

Services related to education and training provided by OVR must be focused on individuals with disabilities achieving competitive integrated employment goals that match their interests, skills, and abilities.

## B. STATE STRATEGIC VISION AND GOALS

The Unified or Combined State Plan must include the State's strategic vision and goals for developing its workforce and meeting employer needs in order to support economic growth and economic self-sufficiency. This must include—

### 1. VISION

Describe the State's strategic vision for its workforce development system.

### 2. GOALS

Describe the goals for achieving this vision based on the analysis in (a) above of the State's economic conditions, workforce, and workforce development activities. This must include—

(A) Goals for preparing an educated and skilled workforce, including preparing youth and individuals with barriers to employment<sup>8</sup> and other populations.<sup>9</sup>

(B) Goals for meeting the skilled workforce needs of employers.

[8] Individuals with barriers to employment include displaced homemakers; low-income individuals; Indians, Alaska Natives, and Native Hawaiians; individuals with disabilities, including youth who are individuals with disabilities; older individuals; ex-offenders; homeless individuals, or homeless children and youths; youth who are in or have aged out of the foster care system; individuals who are English language learners, individuals who have low levels of literacy, and individuals facing substantial cultural barriers; eligible migrant and seasonal farmworkers (as defined at section 167(i) of WIOA and Training and Employment Guidance Letter No. 35-14); individuals within 2 years of exhausting lifetime eligibility under the Temporary Assistance for Needy Families Program; single parents (including single pregnant women); and long-term unemployed individuals.

[9] Veterans, unemployed workers, and youth and any other populations identified by the State.

### 3. PERFORMANCE GOALS

Using the tables provided within each Core Program section, include the State's expected levels of performance relating to the performance accountability measures based on primary indicators of performance described in section 116(b)(2)(A) of WIOA. (This Strategic Planning element only applies to core programs.)

### 4. ASSESSMENT

Describe how the State will assess the overall effectiveness of the workforce development system in the State in relation to the strategic vision and goals stated above in sections (b)(1), (2), and (3) and how it will use the results of this assessment, which may include evaluation findings, and other feedback to make continuous or quality improvements.

## 1. Vision

Kentucky's workforce development vision is rooted in Kentucky's Workforce Strategic Plan and boldly notes that the Commonwealth will –

“Create a workforce development system that is value-driven for employers, aligns education with industry demands, prepares Kentuckians for the future of work, and drives economic development.”

To make this vision a reality, Team Kentucky's collaborative spirit described earlier is an essential component to progress. A unified, collaborative, and aligned workforce ecosystem provides comprehensive and customizable services demanded by employers and individual consumers, allowing the use of WIOA as a strong foundation and leverage to braid resources on a system level, while braiding services on the provider level.

The strategic goals described in the next section cover four main pillars for the direction of workforce development: employer engagement, education attainment, workforce participation, and resource alignment. These overarching goals have strategic objectives that provide the roadmap for the continuous improvement process. Furthermore, the emphasis in the strategy is the fact that Kentucky workforce development has two primary customers: the individual consumer and the business. The individual consumer could be someone unemployed, underemployed, or even an employed individual needs training, education, or upskilling. For business customer, the vision is to serve the existing small, medium, and large corporation, in addition to providing the workforce environment for new business to locate in the commonwealth. For the commonwealth to thrive and workforce development to advance, businesses play a significant and necessary role by engaging and signaling the evolving demands, opportunities for public-private partnerships, and overall strategic direction. The core WIOA programs, Combined State Plan partners, and partners in workforce development help achieve this vision.

## 2. Goals

The strategic arm of workforce development is the Kentucky Workforce Innovation Board (KWIB), a governor-appointed board made up of diverse perspectives from the majority of business members, labor organizations, community-based non-profits, and government officials, including elected local and state leaders. KWIB has set four goals with accompanying strategic objectives that drives the system to meeting the vision.

### **Goal #1 Employer Engagement**

*Actively engage employers to drive Kentucky's workforce development system*

Strategic Objectives

- 1a: Create a workforce development system that is valued by employers.
- 1b: Establish a clear channel for employer engagement in workforce development services.
- 1c: Increase the number of employers participating in work-based learning experiences and apprenticeships, while also establishing employer champions.
- 1d: Engage employers in education efforts from early childhood through Kindergarten, Grade 12, and postsecondary study.

1e: Leverage employer data on workforce projections and training needs, using the talent pipeline management system of the Kentucky Chamber of Commerce and a revamped business service team network.

### **Goal #2: Education Attainment**

*Align and integrate P-12, adult education and postsecondary education to provide lifelong opportunities for Kentuckians that prepare them for the rapidly shifting realities of work in the future.*

Strategic Objectives

2a: Increase career exploration opportunities while students are in P-12, and provide all students an opportunity to earn a certificate or credential prior to graduation, with emphasis on those credentials where dual secondary /postsecondary academic credit is awarded.

2b: Review and adjust the structure (locations, pathways, and resources) of Pre-K through postsecondary delivery to align and integrate the Commonwealth's educational infrastructure based on employer needs.

2c: Increase awareness of all market-relevant career pathways among students, educators, guidance counselors, career counselors and parents.

2d: Improve the sharing and use of data to inform the ongoing curriculum design for P-12 and postsecondary institutions.

### **Goal #3: Workforce Participation**

*Increase Kentucky's workforce participation by creating opportunities, incenting workforce participation, and removing employment barriers for Kentuckians*

Strategic Objectives

3a: Strengthen collaboration across workforce development, social services, employers and non-profits to address barriers to employment for individuals.

3b: Mitigate disincentives to work and explore ways to incentivize workforce participation for individuals currently receiving social services benefits in order to support their transition to sustainable employment.

3c: Embed programs serving specific populations across cabinets to promote workforce participation. Examples of priority populations include veterans, individuals with disabilities, re-entrants from the corrections system, individuals in recovery from substance abuse, young adults transitioning out of foster care and others.

3d: Develop and promote strategies for employers to address employment barriers.

3e: Develop and Pursue strategies that increase the number of Kentuckians who are work-ready and free from the influence of substance abuse.

### **Goal #4: Resource Alignment**

*Focus resources on the most effective initiatives and improve the return on our workforce investment, utilizing data to constantly improve workforce development in Kentucky*

Strategic Objectives

4a: Identify and address the organizational and structural changes that should be made to Kentucky's workforce development governance to improve collaboration and accountability.

4b: Develop a framework and supporting goals and metrics for Kentucky's workforce development programs.

4c: Identify gaps in the existing longitudinal data system and determine available sources to close those gaps.

4d: Define and create an effective communication approach for services to ensure a consistent, quality customer experience.

4e: Build a stronger, more coordinated relationship between state and local government, institutions, and workforce innovation areas

### **3. Performance Goals**

Kentucky has not received the latest Training and Employment Guidance Letter (TEGL) to complete this section. Once TEGL is received, then performance measures will be negotiated, established, and added to the 2024-2027 WIOA State Plan.

### **4. Assessment**

Continuous improvement is a critical necessity for Kentucky to be able to assess the impact of workforce development and the progress of meeting the strategic vision and goals. Kentucky's Workforce Strategic Plan was written before the onset of the COVID-19 pandemic and before the major shifts in the economic and labor market that the state and the country experienced. In 2023, the goals and strategic objectives were reviewed within the committee structure of the KWIB, and the original intent of the overarching strategy still held to be as important, if not more, now than before. The review also led to the KWIB signaling the importance of following the north star of the strategic plan, which are the four pillars that are outlined as the four goals: employer engagement, education attainment, workforce participation, and resource alignment.

After assessing the importance of the goals, the next four years will involve the assessment of reaching the milestones within the objectives. It will be important to review what can be updated, measured, and evaluated to continue to assess progress towards the vision and the four goals. To accomplish this task, the Department of Workforce Development will explore contracting with a third-party entity by assessing performance across Title I-IV and the milestones of the Strategic Plan.

## **C. STATE STRATEGY**

The Unified or Combined State Plan must include the State's strategies to achieve its strategic vision and goals. These strategies must take into account the State's economic, workforce, and workforce development, education and training activities and analysis provided in Section (a) above. Include discussion of specific strategies to address the needs of populations provided in Section (a).

1. DESCRIBE THE STRATEGIES THE STATE WILL IMPLEMENT, INCLUDING INDUSTRY OR SECTOR PARTNERSHIPS RELATED TO IN-DEMAND INDUSTRY SECTORS AND OCCUPATIONS AND CAREER PATHWAYS, AS REQUIRED BY WIOA SECTION 101(D)(3)(B), (D). "CAREER PATHWAY" IS DEFINED AT WIOA SECTION 3(7) AND INCLUDES REGISTERED APPRENTICESHIP. "IN-DEMAND INDUSTRY SECTOR OR OCCUPATION" IS DEFINED AT WIOA SECTION 3(23)



2. DESCRIBE THE STRATEGIES THE STATE WILL USE TO ALIGN THE CORE PROGRAMS, ANY COMBINED STATE PLAN PARTNER PROGRAMS INCLUDED IN THIS PLAN, REQUIRED AND OPTIONAL ONE-STOP PARTNER PROGRAMS, AND ANY OTHER RESOURCES AVAILABLE TO THE STATE TO ACHIEVE FULLY INTEGRATED CUSTOMER SERVICES CONSISTENT WITH THE STRATEGIC VISION AND GOALS DESCRIBED ABOVE. ALSO DESCRIBE STRATEGIES TO STRENGTHEN WORKFORCE DEVELOPMENT ACTIVITIES IN REGARD TO WEAKNESSES IDENTIFIED IN SECTION II(A)(2)

**1. Describe the strategies the State will implement, including industry or sector partnerships related to in-demand industry sectors and occupations and career pathways, as required by WIOA section 101(d)(3)(B), (D). “Career pathway” is defined at WIOA section 3(7) and includes registered apprenticeship. “In-demand industry sector or occupation” is defined at WIOA section 3(23)**

As described in previous sections, the Kentucky Workforce Innovation Board (KWIB) sets the strategic vision and has done so through the four goals as the pillars of strategy: employer engagement, education attainment, workforce participation, and resource alignment. The Education and Workforce Collaborative takes the strategies and implements them into the greater workforce development ecosystem through alignment and partnership. Department of Workforce Development (DWD), housing Title I-IV programs, provides the actionable steps in serving the customers of WIOA programming with an emphasis on in-demand sectors, sector partnerships, and equitable career pathways to assist individuals in reaching their potential.

One proven strategy for creating career pathways into in-demand industries is through Registered Apprenticeship Programs (sometimes referred to as RAPs). Apprenticeships are a win-win for individuals and employers as they open pathways to high-paying careers and help employers attract and retain skilled workers in hard-to-fill jobs. Choices range from traditional skilled trades and construction pathways to opportunities in healthcare, business, technology, educational services, advanced manufacturing, and many others.

The number of active apprentices continued to increase in the commonwealth between fiscal year 2022 and fiscal year 2023, according to the Education and Labor Cabinet’s Office of Employer and Apprenticeship Services (OEAS). The office recorded 5,029 active apprentices during Fiscal Year 2023, a 12.2% increase over the 4,481 active apprentices logged the previous year. Kentucky also recorded 2,513 new registered apprentices in fiscal year 2023, compared to 2,180 in fiscal year 2022.

A new website from OEAS offers a Job Finder component that makes it easier for individuals seeking registered apprenticeship opportunities to link with employers in a wide range of professions, including construction, advanced manufacturing, skilled trades, healthcare, energy, and much more. The office is also working to increase outreach to underrepresented communities through partnerships with youth programs, high school and college counselors, veteran organizations, women and minority-owned businesses, churches, and many other groups to increase female and ethnic diversity in apprenticeships.

Certain sector partnerships described earlier in the strengths section are highlighted again below as they relate to creating career pathways in in-demand industries:

The Federation for Advanced Manufacturing Education (FAME) was founded in Kentucky by the manufacturing leadership of Toyota and its partners to create a talent pipeline to fill the critical jobs associated with industrial maintenance. Maintenance technicians play a vital role in modern manufacturing by maintaining and ensuring the machines and robotics operate efficiently. They use complex problem-solving skills combined with technical knowledge to

service and repair the machines quickly and effectively. As manufacturing continues to advance and the use of advanced manufacturing technology increases, the need for skilled maintenance technicians continues to increase.

Kentucky is a host to 12 FAME Chapters that are made up of an anchor local Kentucky Community and Technical College System (KCTCS) school that serves manufacturers in the region. FAME students attend classes at their local community college two days a week and work 24 hours a week for a local manufacturer – all while being paid a competitive wage. Upon completion, students earn an associate degree in Applied Science in Industrial Maintenance Technology-Advanced Manufacturing Technician Track, two years of work experience, and the AMT certification.

FAME has spread beyond Kentucky and is now active in 14 states across the US.

Further, in partnership with leadership from the Kentucky Chamber Foundation, Kentucky was selected as one of the three states in the nation to pilot a statewide implementation of the U.S. Chamber of Commerce Foundation's program, Talent Pipeline Management (TPM). TPM is an employer-led and demand-driven approach for businesses to create and manage talent 'supply chains' by projecting talent needs and aligning those with education and workforce development systems. The success of TPM in Kentucky is based on the strength of sector strategies that have existed in the Commonwealth. For example, the strength of the KentuckianaWorks' healthcare group (the Health Careers Collaborative of Greater Louisville) facilitated the establishment, and contributed to the success, of the TPM pilot in Kentucky. Regarding manufacturing, discussions among the members of the KentuckianaWorks' Kentucky Manufacturing Career Center Advisory Group kickstarted what would become the FAME chapter in Louisville.

Since TPM is heavily focused on the needs of the business, the lead organization is the Kentucky Chamber Workforce Center as it can utilize its position in the market to engage employers in the TPM process and build a stronger workforce aligned with the needs of Kentucky's key economic sectors. The TPM process does the following:

- Convenes businesses into employer-led industry collaboratives throughout Kentucky
- Provides personalized talent solutions to ensure Kentuckians are trained, developed, and upskilled into in-demand career pathways
- Improves collaboration with education, government, and workforce partners by utilizing the collaborative's real-time data

The current TPM industry collaboratives include:

- Healthcare
- Manufacturing
- Construction
- Education
- Distilling
- Logistics/Aviation
- Energy

- Agriculture/Equine
- IT/Business Services

**2. Describe the strategies the State will use to align the core programs, any Combined State Plan partner programs included in this Plan, required and optional one-stop partner programs, and any other resources available to the State to achieve fully integrated customer services consistent with the strategic vision and goals described above. Also describe strategies to strengthen workforce development activities in regard to weaknesses identified in section II(a)(2)**

The Department of Workforce Development has identified opportunities to align core workforce programs through several different improvements in the system.

The first opportunity is to update the One-Stop Certification process to ensure that customers of WIOA can locate the services that are consistent across each of the career center locations. Currently, the One-Stop Certification process involves recognizing Kentucky Career Centers (KCC) across a three-tier approach: a Comprehensive Career Center, an Affiliate Career Center, and a KCC Access Point. The requirements are as follows:

- Each Local Workforce Development Area (LWDA) must have at least one Comprehensive Career Center with Title I staff present and access to each partner program that provides the required career services, training services and business services.
- Affiliate Career Centers are designed to make the programs, services, and activities from one or more KCC partners, but not all partners, available to job seekers and employers. The Affiliate Career Center can be a Specialized Career Center that addresses the specific needs of certain groups of job seekers and /or employers, like those of dislocated workers, youth or of key industry sectors or clusters. Affiliate Career Centers may also be used for a network of affiliates or a network of partners with linked access to affiliates.
- KCC Access Points can be mobile or permanent locations with one designated point of contact. A KCC Access Point will, at a minimum, have qualified individual(s) cross-educated in all six Workforce Innovation and Opportunity Act (WIOA) core programs and will refer job seekers and employers to partner staff at Comprehensive and/or Affiliate KCCs.

Since the inception of these guidelines, the Department of Workforce Development has grown to encompass all the core WIOA programs, and an environmental scan proved that some core program partners that offer services to job-seekers, workers, and employers at physical locations are not encompassed in the three-tier One-Stop system. The updated One-Stop Certification process would expand to ensure the consistency, availability, and accessibility for consumers to reach workforce services is deployed. Furthermore, the hybrid service delivery model will be explored in greater detail during the update to the One-Stop Certification process.

The second opportunity is to align the core programs to integrate customer services consistent with the vision and goals fully to evaluate the performance of service delivery, customer satisfaction of the various programs, and continuous improvement . One way to do this is to explore high-performing Workforce Innovation Boards (WIB) initiatives that would focus on board efficiency, effectiveness, and continuous improvement across the Commonwealth's ten

local WIBs, with the purpose of encouraging local WIBs to act strategically, think beyond the scope of WIOA.

The third opportunity, and one that addresses some of the weaknesses mentioned in the previous section on lack of childcare, transportation, and affordable housing, is fully embracing the regional approach to Work Ready Communities. The goal of the Work Ready Communities-Next Generation model is to allow the local and regional community leaders to strategically think about addressing these barriers to employment. The stakeholders would involve core program partners as the services offered through WIOA and the workforce ecosystem provide complementary solutions to these highly regional barriers to employment.

The final opportunity to address one of the weaknesses mentioned earlier is to implement a workforce academy model that would provide training and continuous improvement to the workforce development statewide staff to ensure ongoing professional development that would ultimately result in better service delivery to the jobseekers, workers, and employers engaging with the workforce development ecosystem.

### III. OPERATIONAL PLANNING ELEMENTS

The Unified or Combined State Plan must include an Operational Planning Elements section that supports the State’s strategy and the system-wide vision described in Section II(c) above. Unless otherwise noted, all Operational Planning Elements apply to Combined State Plan partner programs included in the plan as well as to core programs. This section must include—

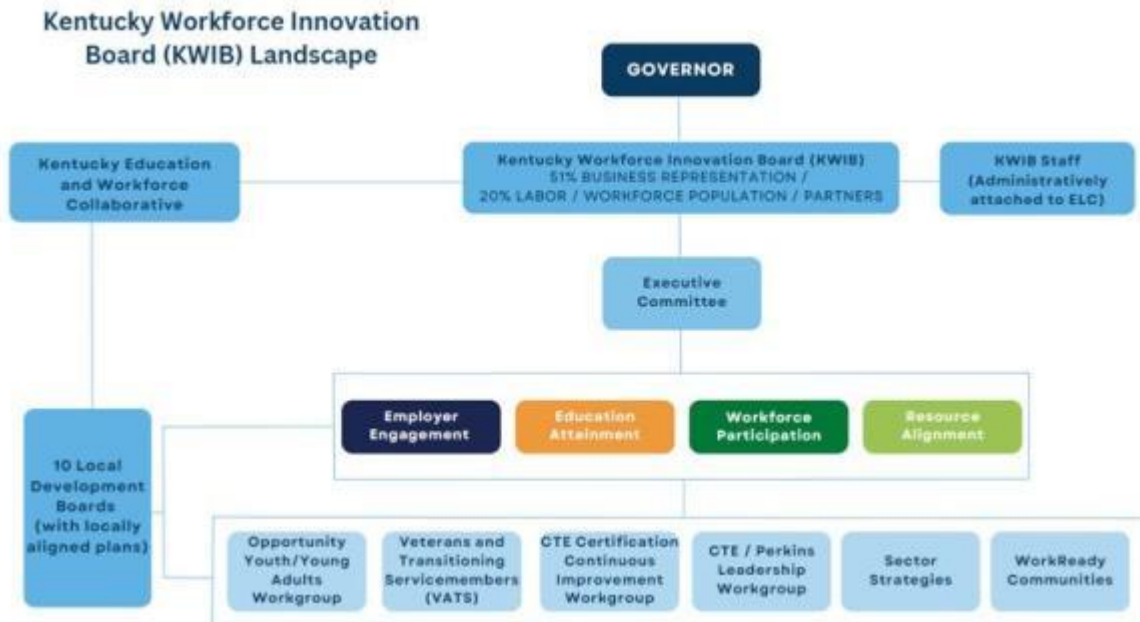
#### A. STATE STRATEGY IMPLEMENTATION

The Unified or Combined State Plan must include—

##### 1. STATE BOARD FUNCTIONS

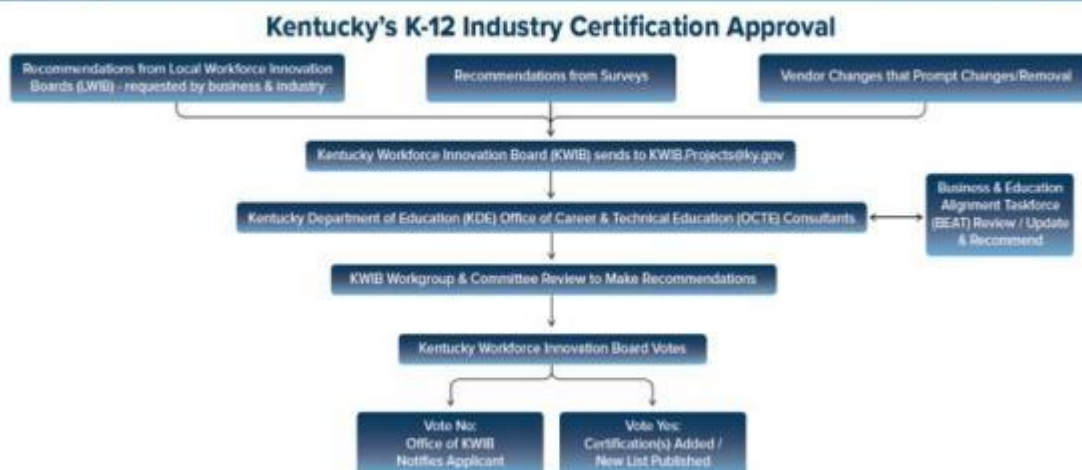
Describe how the State board will implement its functions under section 101(d) of WIOA (i.e., provide a description of Board operational structures and decision making processes to ensure such functions are carried out).

Kentucky’s state workforce board is the Kentucky Workforce Innovation Board (KWIB), which carries out the state board functions outlined in section 101(d) of WIOA to operationalize those functions, carry out the vision of the board, and serve as an entity to the Governor on all workforce matters, the below graphic depicts the board’s operational landscape.



The operational structure of the board consists of decision-making by the full board on recommendations provided through the committee structure of the KWIB. Four standing committees that are directly linked to the four goals of the Strategic Plan: employer engagement, education attainment, workforce participation, and resource alignment. The Chairs of each of the committees are KWIB members and are also represented on the Executive Committee. The Executive Committee structure mirrors the diverse and collaborative voices of the KWIB, with the majority of business members having complementary representation from organized labor. The 7-member Executive Committee is led by the KWIB Chair (business), Vice Chair (business), four Chairs from the standing committees, and a labor representative, with the past KWIB Chair serving as an honorary mentor without voting rights. The Executive Committee is entrusted with the first line of review on strategic policies, recommendations from steering committees, and other activities that will be lifted to the full KWIB. The Executive Committee also meets one month before the quarterly KWIB meetings to ensure any decisions that need to be brought before the full board are discussed and lifted properly. During these meetings, the Executive Committee can engage with leaders from ELC to continuously align strategy (KWIB) and execution (DWD). Nonetheless, the ultimate decision making is left to the full KWIB membership through the voting process of items lifted through the committee structure. This process provides multiple layers of review by a diverse group of dedicated governor-appointed members.

Further, under the four standing committees are various workgroups that function to complete specific tasks directed by their respective committees. These workgroups are made up of stakeholders representing KWIB members, non-member employers, workforce development staff, community-based organizations, and others who have specific interest in the topic at hand. Functionally, these workgroups can also serve as critical avenues that keep the vision of the board in its activities. For example, the CTE Certification Continuous Improvement Workgroup is entrusted with being the first body to review the various CTE certification requests that come to the state. The business and education members of the workgroup can provide their feedback on the validity of a given certification request, and thus live out the strategic objective of employer-demanded training and certification under the Education Attainment goal. Below is the process for CTE certification.



The structure of the board as depicted in the Landscape graphic provides strategic direction to the Education and Workforce Collaborative and the action side of core WIOA programs through the Department of Workforce Development, described in the following section. As can also be seen from the graphic, the 10 Local Workforce Development Boards (LWDB) are actively engaged across multiple state workforce board functions to ensure local and regional voices, best practices, and challenges are engrained in the strategy.

Finally, through the leadership of KWIB’s Chairman, a new body focused on collaboration was initiated to connect business leaders on the state and local boards further. The Board Chairs Roundtable was launched in 2023 to bring together the 10 Local Workforce Development Board Chairs and the KWIB Chair on a quarterly basis to address workforce development system matters from the business-to-business, chair-to-chair dialogue. So far, this collaboration has allowed discussions on WIOA, public-private partnerships, and important strategic opportunities with the interlocal and LEO-LWDB partnership agreements. The last quarterly meeting of the Board Chairs Roundtable brought together executive committee members of all the ten (10) boards to discuss the findings from the local listening sessions described in earlier sections. This structure of peer-to-peer communication will continue as pressing workforce development issues have state and local implications.

## 2. IMPLEMENTATION OF STATE STRATEGY

Describe how the lead State agency with responsibility for the administration of each core program or a Combined Plan partner program included in this plan will implement the State’s Strategies identified in Section II(c). above. This must include a description of—

### A. CORE PROGRAM ACTIVITIES TO IMPLEMENT THE STATE’S STRATEGY

Describe the activities the entities carrying out the respective core programs will fund to implement the State’s strategies. Also, describe how such activities will be aligned across the core programs and Combined State Plan partner programs included in this plan and among the entities administering the programs, including using co-enrollment and other strategies, as appropriate.

As mentioned previously, the strategies set by the Strategic Plan are implemented by the workforce development system through the collaborative efforts at the Education and Workforce Collaborative and carried out by the Department of Workforce Development that houses Title I-IV programs and the Combined Plan partners.

Each of the core programs and Combined State Plan partners have a responsibility and the appropriate WIOA funding stream in carrying out the four strategic goals. For example, employer engagement is a key component to connecting dislocated workers, adult customers, and youth to the workforce; employers not only provide job opportunities, but also provide trainings through formalized registered apprenticeships or on-the-job trainings. In executing education attainment goal, the Kentucky Adult Education (KYAE) system provides literacy and employability education that ultimately leads to employer or better employment; similarly, programs like TAA have traditionally been used for the education attainment of skills to competitively reenter the workforce. Workforce participation is a strategic goal that all programs strive towards, as individuals classified as untapped talent are served across the board; one specific example is the veteran talent pool served by JVSG. Finally, to maximize and leverage funding across the system, all programs are continuously finding state-level and local partnerships to align resources for the greatest impact.

Part of striving towards achieving strategic goals and objectives, and as part of the alignment of state strategic goals and local understanding and implementation of the most critical factors impacting local communities, listening sessions for the 2024-2027 WIOA State Plan were conducted (described in the strengths section) with the below strategies that aligned to the four pillars and commonly shared throughout the commonwealth. The themes that arose are not novel to the workforce development system nor are they currently implemented, but instead, the emphasis on the importance was highlighted to be lifted for continuous improvement, innovation, and execution.

### **1. Youth Employment – the Future of Workforce**

- The most cited point and critically important point of continuous “exposure to careers” and opportunities for work-based learning
  - Exposure to careers to start during middle school
  - Career exploration to further develop in high schools
- A key point of career exposure was also to involve parents and teachers in understanding all options available in the world of work
  - The cultural shift of ensuring careers in manufacturing and trades are valued; these roles are becoming technologically advanced
  - Understanding that “good jobs” are available in all sectors
- Ensuring that the workforce system reaches youth before they become “opportunity youth”
  - Understanding many kids are raised by grandparents and many have parents incarcerated, a different approach is necessary to begin barrier removal
  - Finding opportunities to partner with the Office of Vocational Rehabilitation (OVR) to help youth with disabilities; growing partnership with VR’s Pre-Employment Transition Services (Pre-ETS) program

- Lack of mentors and mentorship programs leads to disengaged youth
- The value of essential skills and work ethic is critical

Stakeholder Suggestions:

- Exposure to teachers on all local career (specifically manufacturing and trades) options via externships or short-term bootcamps
- Utilization of “-ships” as a youth career exposure recruitment tool, specifically internships and apprenticeships
- Showcasing diverse workers to students to ensure ALL kids see themselves in various occupations
- Providing students with Labor Market Information (LMI) on all job opportunities and associated wages
- Deeper collaboration between employers, workforce system, higher education, and district superintendents
- School-based career advisors as direct in-school connectors to work
- “Student workforce spotlights” to showcase successful work-based learning and/or working in a particular industry

**2. Hiring and Supporting Non-Traditional Talent / Workers (Untapped Talent)**

- The most cited talent group was justice-involved as several statewide and locally run programs are actively engaged in employment services; opportunities to further efforts through:
  - More expungement fairs as awareness of expungement grows
  - Pre-apprenticeship programs to link individuals while incarcerated to outside registered apprenticeship programs upon release
  - More reentry simulations to exposure employers and workforce practitioners to barriers faced
  - Supportive services as scaffolding to build resilience
- Kentucky has a high number of individuals with disabilities with many employment programs that can be braided and leveraged
- English language learners, refugees, and immigrants
  - Targeted onsite English classes: Per WIOA, KY Adult Education has mandate in adult education and literacy, including individuals with limited English language skills
  - Kentucky ranks #4 nationally in refugee arrivals
- Veterans/Military
  - Ft. Campbell averages ~500 transitioning soldiers monthly; Ft. Knox averages ~50 transitioning soldiers monthly; these numbers are further increased when adding spouses and families



- Transfer of military experience to civilian life is an important component in entering the workforce
- The aging population provides the benefits of higher retention

Stakeholder Suggestions for all Untapped Talent:

- Building pipelines into the workforce (focus on sectors)
- Educating employers on the benefits/ROI and potential challenges with workforce system solutions
- Creating a support structure for employers and workers; example: council/committee for businesses that hire a specific talent pool
- Creating a welcoming community
- Use of technology where career exposure is a barrier (ex: using VR goggles)
- Employer understanding of the benefits cliff and associated challenges
- Digital access and literacy are not equally distributed; provide more avenues for digital training
- Establish councils/focus groups of individuals representing a specific untapped talent pool for the continuous customer-centered understanding of challenges and opportunities (including youth talent)
- Utilizing Employer Resource Networks (ERNs) to provide career and barrier removal coaching is less costly than high-turnover

**3. Business Engagement & Industry Innovation**

- Importance of businesses being an engaged partner; being an active voice at the table
- The workforce system must emphasize support for small and medium-sized companies
- Employer investment in work-based learning/on-the-job training is critical
- Employer time is limited; using webinars, blogs, and direct communication to share resources
- Businesses are interested in actively engaging with other businesses, starting organic sector partnerships, opportunities to collaborate on sector training, employee support systems (sector-operated childcare center)
- Support to county and municipal government as an employer as competition has created hard-to-fill local government jobs: emergency response, road department, sewer and water, etc.
- Businesses are facing succession planning as retirements grow; looking at apprenticeship as a knowledge-sharing program is building momentum
- Supporting the recovery population in an ongoing basis through resources (or peer support specialists)

Stakeholder Suggestions:

- Flexibility of support for employees (ex: using tuition reimbursement dollars for short-term training, upskilling, childcare assistance, or car repair funds)
- Looking at skills versus degrees; providing skills training through work-based learning
  - Similarly, offering Adult Education courses to individuals with high school degrees (ex: East Kentucky employer recognized that 60,000 in EKY/Bordering WV lack a GED; changed policies to hiring entry-level and train)
- Kentucky Career Center's proactive engagement with small businesses
- As a tool for better recruitment and retention, it provides good jobs that provide competitive wages, benefits, career advancement, voice, diversity, occupational safety, recruitment of untapped talent pools, and a positive organizational culture

### **Enhanced Collaboration within Workforce and with Education**

- Enhanced flexibility and partnership between education and workforce; lines need to be blurred
- Communication among workforce partners to raise awareness of available programs for businesses
- Continuous education to combat the perception of the Kentucky Career Center as the "unemployment office"
- Educational continuum needs to be embraced, "K through Gray" or "Cradle to Grave" as individuals become lifelong learners
- Reduced WIOA funding impact on local area providers; collaboration and braiding of funding and services is a necessity; collaboration also balances out duplication of services
- Addressing mental health impacts on over-burdened service providers
- Co-location of multiple partners in one physical space provides best services; while at the same time, rethinking brick and mortar locations; meeting customers where they are
- Ongoing staff training and exposure to the greater Kentucky workforce ecosystem

### **Stakeholder Suggestions:**

- Creating a shared north star to collectively pursue (ex: connection to good jobs for customers; finding qualified talent to businesses; jointly removing barriers); KWIB's strategic plan and four pillars provide an avenue for system alignment
- Avoiding "silos of excellence" and creating a "system of excellence"
- Regional promotion of services to provide support to rural area
- Collaboration on training space at an Area Technology Center (ATC) designed to serve youth during the day, with an opportunity to serve adults at night
- Exploration of how discretionary funding to support local innovation can involve local match

- Collaboration opportunities include:
  - Understanding the leads/champions of specific initiatives or programs
  - Internal resource fairs for partners
  - A unified labor exchange system
  - Unified communication/outreach strategy
  - Shared online portal with all program resources available for staff training and business interest

Funding to meet necessary activities can be directed as appropriate to the respective agencies with DWD, while agencies outside of ELC can be engaged to provide supportive or braided funding to accomplish a given activity. Further, the allocation set aside by WIOA for the Governor’s discretionary fund, known as the Kentucky Statewide Reserve Fund, is divided into three primary categories of investment:

- Local innovation: allocated to innovative workforce development projects on the local or regional level
- Local implementation of the Governor’s priorities
- State investment in the Governor’s priorities (including on-going state transformational projects)

#### B. ALIGNMENT WITH ACTIVITIES OUTSIDE THE PLAN

Describe how the activities identified in (A) will be aligned with programs and activities provided by required one-stop partners and other optional one-stop partners and activities provided under employment, training (including Registered Apprenticeships), education (including career and technical education), human services and other programs not covered by the plan, as appropriate, assuring coordination of, and avoiding duplication among these activities.

The unifying message of collaboration, alignment, and partnership boils to the spirit of Team Kentucky working together. One avenue described earlier is through the Education and Workforce Collaborative; initiated through a Governor’s Executive Order to bring education and workforce development system partners together in one group so that all available resource may be efficiently and effectively aligned and measured to enhance and improve Kentucky’s workforce development system. This 19-member Collaborative is made up of executive Cabinet leadership, education leaders from K-12, community, and post-secondary level, the state chamber of commerce, federal workforce training providers such as Jobs Corps, a local workforce board director, elected officials, and the state workforce board chair.

Further, alignment and coordination happen across various workforce development initiatives that span cabinets and agencies, below are a few highlighted:

**Education Initiatives (Corresponding to Strategic Goal #2 of Education Attainment):**

Everybody Counts is a dynamic new initiative that provides a clear pathway to success for qualifying seniors graduating from participating Kentucky school districts to begin their career,

continue their education, or do both! The initiative benefits graduating seniors as well as, businesses, local communities, and Kentucky's economy.

Kentucky Department of Education's TRACK Program: The Tech Ready Apprentices for Careers in Kentucky (TRACK) youth apprenticeship program is a partnership between the Kentucky Department of Education's Office of Career and Technical Education and the Kentucky Office of Employer and Apprenticeship Services (OEAS) to provide secondary students with career pathway opportunities into Registered Apprenticeship programs.

TRACK is a business and industry-driven program designed to create a pipeline for students to enter post-secondary apprenticeship training. Students receive a nationally recognized credential at little or no cost.

Employers tailor the program to their specific needs and select the Career and Technical Education (CTE) courses for the apprenticeship pathway to create a competitive recruiting environment for future employees grounded in strong technical and professional skills.

LAUNCH Initiative: Understanding the importance of education attainment to Kentucky's future, this program aims to expand access to high-quality and equitable college and career pathways for all learners. The four focus areas are:

- Alignment of high-quality pathways to credentials of value;
- Seamless transitions across secondary, two- and four-year institutions;
- Student-centered supports and advising; and
- Next-generation work-based learning experiences.

Commonwealth Education Continuum (CEC): CEC exists to strengthen Kentucky's education pipeline. Its work addresses the moral imperative for students to have access and opportunity to earn degrees and credentials that lead to sustainable, competitive-wage careers.

Established in 2021, the Continuum is co-chaired by Kentucky Lt. Governor Jacqueline Coleman, Kentucky Council on Postsecondary Education (CPE) President Dr. Aaron Thompson, and Interim Kentucky Commissioner of Education Robin Kinney. It consists of members whose expertise ranges from early childhood to the workforce.

The work of the CEC is grounded in extensive stakeholder input and analysis of Kentucky's education data. The CEC workgroup members, in collaboration with the Education Strategy Group, conduct interviews and focus groups with representative stakeholders across the state to identify needs and lived experiences.

KCTCS Education First Employers: This program is meant to highlight and form partnership between KCTCS colleges and employers across the Commonwealth who offer tuition benefits and flexible scheduling with the understanding that their employees are also pursuing higher education. The idea is for students not to have to choose between working or learning but to accomplish both simultaneously. This network of Education First Employer companies offers benefits to students, helping them to complete their educational credentials and flourish in the workplace. Benefits to students include:

- Tuition benefits
- Flexible schedule
- Access to jobs with competitive wages

- Connection to a network of companies
- Inclusive work environment
- Mentorship and career development preparation
- Assistance with transportation, housing, or other needs
- Jobs aligned with a chosen program of study

### **BIL, IRA, and CHIPS and Science Act Collaboration**

Digital Equity: With over a billion dollars allocated to broadband expansion in Kentucky through the Bipartisan Infrastructure Law (BIL), digital equity and access are critical to not leave Kentuckians behind in the digital divide; understanding that digital equity is also a workforce participation (goal #3 of the Strategic Plan) issue, here are six objectives to achieve digital equity in Kentucky:

1. Enhance broadband availability and affordability for covered populations (ACP)
2. Ensure access to affordable devices for all Kentuckians
3. Increase application accessibility and inclusivity to state and local government programs
4. Ensure that all Kentuckians are equipped to navigate the internet safely
5. Improve digital literacy for all covered populations in Kentucky
6. Empower all Kentuckians to develop the digital skills necessary for work and life

Energy & Environment Cabinet (EEC): With funding from the Inflation Reduction Act (IRA), the sister cabinet of EEC is taking proactive steps to ensure that workforce development experts are in the development of necessary training. One example of partnership is with the funding provided to EEC for the Kentucky Training for Residential Energy Contractors (TREC) program, which supports reducing the cost of training contractor employees, providing testing and certifications for contractors, and partnering with nonprofit organizations to develop Kentucky's workforce in preparation for the forthcoming IRA home electrification programs. The EEC program will strengthen existing contractor training programs across the state by providing scholarship opportunities to students, ultimately increasing the number of electricians, HVAC technicians, and other relevant occupations in Kentucky's workforce.

Kentucky Transportation Cabinet (KYTC): As a recipient of a major component of BIL, partnership between the traditional workforce development system and transportation is critical. One avenue already completed is by extending the invitation to the Education and Workforce Collaborative for opportunities to coordinate, align, and collaborate on training and career development for transportation construction-related occupations. There is also opportunity to engage further in exploring how Section 504(e) and the State Human Capital Plan can be joint initiatives to support surface road construction.

Partnership with KYTC is not new as recently the workforce system collaborated with KYTC's Department of Transportation to address the shortage in occupations related to aviation. Leveraging the business connections formed at the Office of Employer and Apprenticeship Services (OEAS) and the local Business Service Teams (BSTs) close ties to their local employers, the Kentucky Aviation Industry Roundtable (KY-AIR) was formed to bring the aviation sector together with educators and workforce development practitioners. One of the key successes from KY-AIR was an opportunity for the Department of Workforce Development to win a

Federal Aviation Administration (FAA) grant focusing on building out the curriculum for students who wanted to get hands-on experience in the aviation industry. This curriculum was built in partnership with the Aircraft Owners and Pilots Association (AOPA) and informed by Kentucky businesses, educators, and students.

NSF Game Change: With the CHIPS and Science Act ensuring that innovative projects are launched, the National Science Foundation (NSF) Game Change is for the Kentucky-Tennessee region. The research, education, economic development, industrial and manufacturing leaders of the Southeastern Commerce Corridor (SCC) of Kentucky and Tennessee received an NSF Engine Development Award to establish a coalition whose mission is to Generate Advanced Manufacturing Excellence for Change (GAME Change) in the Southeastern Commerce Corridor (SCC).

The GAME Change Engine will create a diverse innovation and talent development hub that secures U.S. competitiveness in Next-Generation Manufacturing (NGM) and supply chain logistics, supports closed-cycle manufacturing to reduce waste and increases efficiencies for self-sustaining economic growth. The goal by 2034 is to have the Southeastern Commerce Corridor (SCC) be a global leader in next-generation manufacturing and supply chain innovation for the circular economy, supported by an inclusive and diverse workforce.

#### C. COORDINATION, ALIGNMENT AND PROVISION OF SERVICES TO INDIVIDUALS

Describe how the entities carrying out the respective core programs, Combined State Plan partner programs included in this plan, and required and optional one-stop partner programs will coordinate activities and resources to provide comprehensive, high-quality, customer-centered services, including supportive services (e.g. transportation), to individuals, including those populations identified in section II(a)(1)(B), and individuals in remote areas. The activities described shall conform to the statutory requirements of each program.

The Customer Flow initiative focuses on both the individual job seeker and employer customers, and this effort is a critical component to ensuring Kentucky Career Center's (KCC) ability to deliver on the following brand promise: As Team Kentucky and experts of workforce development, the staff is dedicated to providing Kentucky employers with a qualified, skilled workforce and the people of Kentucky with career, job training and educational opportunities. With the unique ability to connect employees and employers through the combined efforts of state and local partners, workforce development staff becomes a valuable, competitive, and best-in-class asset in the growth of the regional and national economy. By guiding, empowering, and inspiring KCC customers, the mission will continue to create success stories across the commonwealth.

Kentucky's statewide goal, through the Customer Flow project, is to improve customer flow through the centers and to enhance the value received by customers from their experience with the centers. Kentucky will continue its work in this area to facilitate customer flow enhancements and improve customer experiences/value through clear and direct policy guidance and performance expectations that address the identified goals for this project.

Specifically, the Kentucky Career Centers continue to improve their efforts of coordination of services through cross-training program knowledge to all staff across all programs in order to ensure the customer can receive the basic information without having to see multiple staff. This cross-training is aligned and coordinated through the One Stop Operator and is based on the needs of not only the individuals but staffing knowledge as well.

Kentucky continues to set knowledge and competency expectations related to WIOA so that all core career center staff, regardless of program or agency affiliation, can provide information regarding supportive services for individuals. In addition, the career center partners have established reciprocal referral services, which allow for more efficient services to be provided to individuals with barriers to employment.

#### D. COORDINATION, ALIGNMENT AND PROVISION OF SERVICES TO EMPLOYERS

Describe how the entities carrying out the respective core programs, any Combined State Plan partner program included in this plan, required and optional one-stop partner programs will coordinate activities and resources to provide comprehensive, high-quality services to employers to meet their current and projected workforce needs and to achieve the goals of industry or sector partners in the state. The activities described shall conform to the statutory requirements of each program.

Employer services are a critical component of the workforce development ecosystem. Given that it is the first goal of the Strategic Plan, it was one of the key components highlighted during the state planning listening sessions. Locally, the provisions to employers are delivered via the Business Services Teams (BSTs) that are localized and comprised of core programs, Combined State Plan partners, and others in the community that deliver workforce programming to employers. Various programs and partner activities are coordinated through the local BST network to ensure maximum delivery of quality services as each program is familiar with partner services and can make referrals; this provides businesses an opportunity to rely on trusted relationships with access to the gamut of business services.

Moreover, the goals of the BSTs aligned with the objectives of the Strategic Plan:

1a: Create a workforce development system that is valued by employers.

1b: Establish a clear channel for employer engagement in workforce development services.

1c: Increase the number of employers participating in work-based learning experiences and apprenticeships, while also establishing employer champions.

1d: Engage employers in education efforts from early childhood through Kindergarten, Grade 12, and postsecondary study.

1e: Leverage employer data on workforce projections and training needs, using the talent pipeline management system of the Kentucky Chamber of Commerce and a revamped business service team network.

The unified business service plan that locally is followed is being further piloted for continuous improvement via the Statewide Workforce and Talent Team (SWATT). SWATT is a group of statewide organizations committed to improved measurement, coordination and delivery of workforce development solutions and services to Kentucky employers.

SWATT is responding to feedback from Kentucky employers to design and pilot a unified approach to provide workforce solutions to employers. The data-informed unified strategy is intended to improve coordination, responsiveness and results among partners and ultimately drive workforce participation and business growth. After shared metrics are established and the initial pilot is offered and measured, the strategy will be captured in a model of operating excellence for implementation statewide.

This is not a new program, but rather a way to use common sense in thinking differently and bringing partners all together to serve. Every organization at the table is a leader and key to the

state's future. The group shares a commitment to defining and using a range of measures of our progress and results. The collective approach allows the group to create and continuously measure impact for employers, with rewarding career opportunities for all Kentuckians as the outcome of the mission.

Importantly, business services are not limited to one entity or one Team Kentucky representative, business services are an act of the entire system to showcase the value each of the organizations at the Kentucky Career Center, and in partnership with the Kentucky Career Center, can bring.

Finally, the Kentucky Integrated Business Engagement System (KIBES), which operates on the Salesforce platform, provides connectivity to the business-facing workforce development staff across the Commonwealth. Through KIBES, BST members and workforce partners can communicate and track the progress of company contacts, ongoing relationships, programs and activities utilized, and the overall status of company engagement. Having BST members on one platform makes collaboration possible as an existing company record owner could introduce their colleague to a unique program or opportunity for the business customer. Both digital and in-person collaboration among Kentucky's business services have allowed the system to be proactive in helping companies recruit, develop, and retain talent while also helping companies access labor market information, innovative workforce development practices, and resources from partners to lower costs and increase opportunities for all Kentuckians.

#### E. PARTNER ENGAGEMENT WITH EDUCATIONAL INSTITUTIONS AND OTHER EDUCATION AND TRAINING PROVIDERS.

Describe how the State's Strategies will engage the State's community colleges, adult education providers, area career and technical education schools, providers on the State's eligible training provider list, and other education and training providers, as partners in the workforce development system to create a job-driven education and training system. WIOA section 102(b)(2)(B)(iv). Include how the State's strategies will enable the State to leverage other Federal, State, and local investments to enhance access to workforce development programs at these institutions.

As described in several sections of the State Plan, engaging with educational partners is of critical importance for Kentucky to build a world class workforce that meets the demands of tomorrow. Education partners ranging from early childhood education to primary, secondary, and post-secondary institutions are involved in the state workforce board (Kentucky Workforce Development Board), on the Education and Workforce Collaborative, and across multiple initiatives mentioned previously, including: LAUNCH, Education First Employers (Kentucky Community and Technical College System program), 60x30 Goal (Council on Postsecondary Education initiative), Everybody Counts (ELC initiative to connect students to employment, post-secondary, or both), TRACK (pre-apprenticeship program), and Registered Apprenticeships.

In specific reference to Kentucky Community and Technical College System (KCTCS), engagement with the system of 16-colleges is wide across the state and deep in specific projects. Several have been mentioned throughout the State Plan, but it is important to highlight the critical role community colleges play in Kentucky and nationwide. For example, FAME was described previously as a successful Kentucky-founded framework that is adopted in over a dozen states, the successful structure involves having the local community college as the anchor for the program. KCTCS serves as that anchor by providing coaching, mentorship, and serving as a liaison between the students and the host employers. This is just one example of how KCTCS



plays an integral role in training the current and future workforce in Kentucky. There are other examples of providing agile workforce training delivering directly to the business through a custom designed curriculum to numerous businesses in the commonwealth, including building a specialized training center focused on the new EV battery production on-site with the two largest EV battery plants in the world.

One of the key avenues is to continuously drive conversation between employers and educators to find opportunities to strengthen training and overall educational programs. Further, the importance of engaging teachers, counselors, and parents was highlighted throughout the listening session. The opportunity for this lies in the expansion of the various “-ships” that include internships, mentorships, coops, and apprenticeships, as these Work-Based Learning (WBL) programs inherently ensure communication between education and employment, which further connects the wider support network of the learners to the programming.

Increasing WBL also opens the horizon of all possible career and post-secondary options for learners and, importantly, all the options to reach the various goals, whether it be through higher-education, post-secondary credentials, or on-the-job instructions. When WBL is involved, the opportunity to leverage federal, state, and local investments becomes more realistic as WBL provides a win-win-win scenario for the learner, employer, and the community.

It is also worth highlighting the previously mentioned Work Ready Communities Next Generation initiative as an important factor of the newly adopted version is to build consensus, understanding of skills opportunities and gaps, and relationships across the whole education spectrum.

#### F. IMPROVING ACCESS TO POSTSECONDARY CREDENTIALS

Describe how the State’s strategies will improve access to activities leading to recognized postsecondary credentials, including Registered Apprenticeship certificates. This includes credentials that are industry-recognized certificates, licenses or certifications, and that are portable and stackable.

The Commonwealth of Kentucky believes in the importance of education attainment for all Kentuckians to attain employment and grow within their selected profession. Several strategies are described within the plan that are worth highlighting as opportunities to grow post-secondary credentials. As mentioned in the previous section, the aspects of Work-Based Learning (WBL) are tremendously valuable to the learner and the employer. Through a WBL opportunity, an industry-recognized credential or certificate is not always a requirement, but in many settings, there are opportunities to earn a stackable and portable credential.

The Tech Ready Apprentices for Careers in Kentucky (TRACK) program is set up as a pre-apprenticeship and a youth apprenticeship model to allow students to enter good quality jobs by earning a TRACK certificate if participating in a pre-apprenticeship or a Registered Apprenticeship certificate if participating in a youth apprenticeship. Students can stack these portable credentials to earn post-secondary credentials ranging from next-level apprenticeship programs to associate degrees and beyond. Similarly, Everybody Counts provides an avenue for students to choose immediate employment, post-secondary education, or both at the same time. When the Governor launched Everybody Counts, the idea was that there was an opportunity for all Kentucky students to find the right fit for their dreams and aspirations – Everybody Counts makes this bridge easier to find and cross.

Another avenue that learners can embrace in attaining post-secondary credentials is the Work Ready Scholarship program, which provides last mile/dollar support after federal aid for

individuals to attain a credential in a high-demand industry at no cost. The only requirements are that the individual must be a Kentucky resident, with a high school diploma or working towards a GED, and not have an attained associate degree or higher. Should a person not have a GED, the Office of Adult Education can assist with additional help through the Integrated Adult Education and Training (IET) to attain other recognized industry credentials that can be stacked in complement to the GED.

Moreover, employers can also play a key role in providing pathways to post-secondary credentials through engagement with the workforce development system. Another key takeaway from the local listening sessions was that the lines between student and worker are blending, where education is conducted through hands-on modules on the shop floor or in a hospital ward. This is evident in the nationally operated, but Kentucky-founded, program of FAME (previously discussed). Part of FAME's success is being anchored to one of the 16 KCTCS colleges that provide not only the educational component, but also mentorship and career coaching. Within the opportunities to attain a credential through KCTCS services, employers can engage in Workforce Solutions services and even reduce the costs by applying for TRAINS funding that substantially subsidizes these on-the-job trainings. Furthermore, employers can participate in the Education First Employer program to leverage their tuition assistance initiatives.

It would not be workforce development if Registered Apprenticeship were not highlighted as a key driver of post-secondary, nationally recognized, portable credentials. As noted previously, Registered Apprenticeship grow year over year in number of apprentices, employer sponsors, and diversity of programs. Kentuckians have the opportunity to enter any industry of their choice and find an apprenticeship program that meets their career aspirations.

Finally, off-the-shelf virtual product of WIN Career Readiness System provides self-paced modules in soft skills (communication, critical thinking, professionalism, etc.), college preparation, and digital literacy training, allowing Kentuckians to access microbadges, certificates, and certification (after a proctored test) to become more marketable for job opportunities or promotions.

Emphasized by employers, soft skills continue to be the number one requested set of skills required in the workplace. The tools mentioned above with the various DWD services provide individual customer opportunities to harness critical soft skills to be considered "work ready". The importance of soft skills as the foundation to employment is important, as these skills are transferable across industries, contribute to a more diverse and successful work experience, strengthen collaboration in a team or a group setting, and develop leadership and effective communication tools for continuous improvement and growth in a chosen career.

Whether in formalized training or through career services, DWD will continue to focus and build the soft skills necessary for individual customers to succeed in the workplace and be considered "work ready" across all industries.

#### G. COORDINATING WITH ECONOMIC DEVELOPMENT STRATEGIES

Describe how the activities identified in (A) will be coordinated with economic development entities, strategies, and activities in the State.

Coordinating with economic development is one of the best ways to ensure the jobs of tomorrow are complemented with appropriate career services, training, and education. In fact, in the most recent economic development strategic planning conducted by the Cabinet for Economic Development (CED), workforce development was the number two most important

issue. To address their economic development strategic plan and to assist with ELC's strategic initiatives, CED and ELC partners regularly on the cabinet and agency level, including in collaboration for economic development site visits, data sharing, and engaging on respective boards and committees. Several local economic developers in Kentucky have innovative workforce development models that are executed to maximize the opportunities in marrying economic and workforce development initiatives. For example, Covington has a stipulation for all incentivized projects to engage with the local workforce development system for services.

Further on, the Statewide Workforce and Talent Team (SWATT) model is the backbone of engaging businesses proactively with workforce services. Through statewide, regional, and local relationships between the local economic development agencies and Kentucky Career Center partners, the opportunity to anticipate and support businesses is greater. SWATT is responding to feedback from Kentucky employers to design and pilot a unified approach to provide workforce solutions to employers. The data-informed unified strategy is intended to improve coordination, responsiveness, and results among partners and ultimately drive workforce participation and business growth. After shared metrics are established and the initial pilot is offered and measured, the strategy will be captured in a model of operating excellence for implementation statewide.

Another partnership with economic development is with the Work Ready Communities initiative where economic development was the originator of the program a decade ago. Fast forward to today, Work Ready Communities Next Generation was adopted thanks to input from economic developers (both local to Kentucky and regional to the Southeastern part of the US), local elected officials, businesses, and stakeholders in the system, such as educators and community-based organizations. Below are findings from dedicated focus groups that paved the way to a better understanding of the pulse of Work Ready Communities and the opportunities possible:

- Work Ready Communities needs a revamp; the program needs to address current economic and workforce transition
- Communities need to be able to understand the supply of hard skills and soft skills
- Communities need to understand the demand for skills
- What is the capacity of high schools/community colleges in to build a pipeline for in-demand skills?
- Understanding of untapped talent and service providers that support these population pools
- Utilizing regionalism as a strength, reflecting on commuting patterns
- How are communities supporting workers, specifically as it relates to transportation, housing, and childcare; these are components that bring quality of life.
- How are communities attracting talent?

Emphasized by employers, soft skills continue to be the number one requested set of skills required in the workplace. The tools mentioned above with the various DWD services provide individual customer opportunities to harness critical soft skills to be considered "work ready". The importance of soft skills as the foundation to employment is important, as these skills are transferable across industries, contribute to a more diverse and successful work

experience, strengthen collaboration in a team or a group setting, and develop leadership and effective communication tools for continuous improvement and growth in a chosen career.

Whether in formalized training or through career services, DWD will continue to focus and build the soft skills necessary for individual customers to succeed in the workplace and be considered “work ready” across all industries.

On the shared technology side, CED, ELC, and KCC Business Service Teams (BST) utilize the Kentucky Integrated Business Engagement System (KIBES), which operates on the Salesforce platform, and provides connectivity to the business-facing workforce development staff across the Commonwealth. Through KIBES, BST members and workforce partners representing ten workforce regions can communicate and track the progress of company contacts, ongoing relationships, programs and activities utilized, and the overall status of company engagement. Having BST members on one platform makes collaboration possible as an existing company record owner could introduce their colleague to a unique program or opportunity for the business customer. Both digital and in-person collaboration among Kentucky’s business services have allowed the system to be proactive in helping companies recruit, develop, and retain talent while also helping companies access labor market information, innovative workforce development practices, and resources from partners to lower costs and increase opportunities for all Kentuckians.

Finally, CED and ELC share the real-time data from Dun and Bradstreet (D&B) and EconoVue to anticipate potential layoffs and rapid response activity; the Commonwealth utilizes the Dun and Bradstreet (D&B) Market Insight System to align business needs with core partner services. This innovative, proactive approach uses real-time data and the future financial outlook of a company to identify those businesses that are in a growth pattern, in a stable state, or experiencing a potential downturn and need early intervention for layoff aversion strategies.

In PY22, an investment was made into the EconoVue platform that enhances this D&B data through an intuitive dashboard interface, allowing business-facing core program sponsors to narrow down companies based on geography, industry segment, employer risk, business growth/downturn, employer size, and view time series data of trends. With a local level understanding of D&B data, the EconoVue enhancement provides added tools to be proactive in layoff aversion strategies.

## B. STATE OPERATING SYSTEMS AND POLICIES

The Unified or Combined State Plan must include a description of the State operating systems and policies that will support the implementation of the State strategy described in section **II Strategic Elements**. This includes—

### 1. THE STATE OPERATING SYSTEMS THAT WILL SUPPORT COORDINATED IMPLEMENTATION OF STATE STRATEGIES (E.G., LABOR MARKET INFORMATION SYSTEMS, DATA SYSTEMS, COMMUNICATION SYSTEMS, CASE MANAGEMENT SYSTEMS, JOB BANKS, ETC.).

At the core of Kentucky’s current efforts to achieve inclusive and comprehensive interoperability are the following plans:

- Reciprocal exchange of distinct data between the common intake system and the legacy transactional systems currently utilized in each agency.
- This long-range plan solidifies an enduring and inclusive virtual management system through consolidated customer service. The process for accessing and availing services for all customers

including individuals, employers, claimants, and training providers, will be facilitated and coordinated via a single point of entry to the system.

New data linkages will greatly enhance Kentucky's ability to make real-time and insightful economic, educational and social policy decisions. By eliminating current delays associated with the time required to request, gather and dissect often divergent data sets, agencies will be better equipped to measure the effectiveness of their programs, targeting programmatic and administrative areas for improvement. More importantly, the system will enable the creation of effective and broad-reaching customer awareness and utilization of agencies' broad array of available services. The common data repository built upon the same technology used for the intake and case management processes is integral to this plan to ensure standardization and integrity of mandated state and federal reporting requirements.

Currently, the Commonwealth of Kentucky, Department of Workforce Development (DWD) is exploring options for a new case management system to serve all partner programs. KEE Suite is utilized for Title I and Title III programs, KARES is utilized for the Title II program, and CMS is utilized for the Title IV program. OVR, the Title IV program, is in the process of the design and implementation of a new system with Geographic Solutions.

The commonwealth is reviewing systems that will allow for the seamless integration of all programs. Meanwhile, DWD continues to merge data files in order to accomplish the coordinated implementation of the state strategies.

The Kentucky Longitudinal Data System (KLDS) is a collection of linked data from birth records through the workforce. Available data includes pre-K, K-12, postsecondary education, employment, wages, and much more. LMI produces labor force and unemployment metrics, employment and wages by industry and occupation, occupational projections, and more. When combining data from the KLDS and LMI, Kentuckians are able to get a well-rounded, informative view to coordinate the implementation of state strategies and initiatives.

Some examples of state strategies include:

- Understanding the employment and wages of postsecondary graduates
- Aligning in-demand occupations to Career and Technical Education career pathways
- Connecting adult education GED completers to WIOA measures for federal reporting
- Building a simulator that helps families understand the impact of work supports on their budget
- Creating the Career Explorer Tool that allows students and job seekers to assess their knowledge, skills, and abilities to then be then aligned to matching careers
- Creating a dashboard that allows students to understand the cost of college while providing information about in-demand jobs
- Align the supply of credentialed Kentuckians, current employment outcomes, and future demand for jobs in Kentucky
- Understand the youth and young adults of Kentucky and their outcomes based on area, race, gender, age, and available service providers
- Providing analyses for LWDA's regarding the labor force, industry and occupational wages and employment, long-term projections, unemployment insurance claims, and demographics

- Developing a tool to summarize Kentucky’s workforce ecosystem and provide metrics on labor market health, workforce funding distribution, and service outcomes for employers, customers, the Office of Unemployment Insurance and Adult Education
- Utilizing unemployment claims data to provide key indicators including weekly initial claims, percent of overall claims by county, claims by industry, and trends by select demographic indicators
- Creating a civilian labor force report to provide users with annual and monthly estimates across different geographies and timeframes

The coordinated case management system for the Commonwealth of Kentucky allows for efficient co-enrollment across WIOA direct service providers for the Adult, Dislocated Worker, and Youth programs, and the majority of the programs in the Career Development Office: Wagner – Peyser, JVSG, Trade, and RESEA. The upgrades to the current case management system have made improvements that will increase the efficiency and validity of the data collection among the program partners and allow for easier referrals once eligibility has been determined. The coordination and warm hand-off from Kentucky Career Center programs through the shared case management system helps to break down the silos of the independent program staff and allows for a holistic approach to the workforce participant’s needs. There is a streamlined process for referrals from the other partners in the KCC to ensure that the needs of those communities are met.

For Kentucky’s job banks, the Kentucky Career Portal powered by the National Labor Exchange (NLx) is an automatic job-match engine containing a set of online tools for career seekers and employers. Career seekers can search for jobs and apply for employment. Kentucky Career Portal allows job candidates to assess their potential for short-term and long-term business needs. For employers, this labor exchange system assists them with posting career openings.

The Kentucky Career Portal system allows employers remote access, 24/7, to manage their workforce account.

For communication to customers and internal partners, email and phone systems are complemented by the accessibility of virtual platforms such as Microsoft TEAMS or Zoom; both are used regularly and appropriately adjusted to customer needs.

**2. THE STATE POLICIES THAT WILL SUPPORT THE IMPLEMENTATION OF THE STATE’S STRATEGIES (FOR EXAMPLE. CO-ENROLLMENT POLICIES AND UNIVERSAL INTAKE PROCESSES WHERE APPROPRIATE). IN ADDITION, PROVIDE THE STATE’S GUIDELINES FOR STATE-ADMINISTERED ONE-STOP PARTNER PROGRAMS’ CONTRIBUTIONS TO A ONE-STOP DELIVERY SYSTEM AND ANY ADDITIONAL GUIDANCE FOR ONE-STOP PARTNER CONTRIBUTIONS.**

Co-enrollment in multiple programs delivers comprehensive services to customers who have barriers to employment. 20 C.F.R §679.560 describes the creation and content of the Local Board’s state plan. More specifically, (b)(2)(ii) dictates that Local Boards must describe how they will work with entities carrying out core programs to develop career pathways and co-enrollment, as appropriate.

Coordinating services and eliminating barriers to success early in the process will reduce the likelihood that customers will have to re-enter the public workforce system in the future. WIOA gives states the authority to establish policies and guidelines related to verifying WIOA and Employment Services eligibility as long as the policies are consistent with WIOA, the WIOA

regulations, the Wagner-Peyser Act, the Trade Adjustment Assistance Act, among other regulations, and federal statutes.

The *One Workforce System* embraces a culture of a united workforce so that any staff member within a Kentucky Career Center may serve a customer (job-seeker or business). In order to implement co-enrollment, individuals enrolled in WIOA Title I Adult and Dislocated Worker Programs must be co-enrolled in both Wagner-Peyser and the Trade Adjustment Assistance (TAA) Programs, if applicable. Although WIOA encourages co-enrollment in all four core programs (i.e., WIOA Title I, Wagner-Peyser, Vocational Rehabilitation and Adult Education), the efforts of co-enrollment addresses REQUIRED co-enrollment of participants under the WIOA Title I Adult and Dislocated Worker (DW) programs, Wagner-Peyser, and the Trade Adjustment Assistance.

In addition to the United States Department of Labor (USDOL) required co-enrollment with the WIOA DW program, based on the needs of the trade-affected worker, co-enrollment can be further enhanced and expanded to include a broad range of services available through other workforce programs in order to produce successful outcomes. Such programs include, but are not limited to, Wagner-Peyser Act Employment Service (ES) activities, WIOA Adult program, WIOA Dislocated Worker Grant (DWG) program, Unemployment Insurance (UI), other WIOA partner programs, faith-based and community-based programs, vocational rehabilitation services, and services for veterans. Partnerships may be facilitated at the state and local board level, as that leadership is deemed vital to the success of co-enrollment.

The policy in Kentucky states that adults and dislocated workers who receive KCC services other than self-service and informational activities will be co-enrolled in Wagner-Peyser, WIOA, and if eligible Trade Adjustment Assistance through an automated process in the state's official system of record. Staff shall ensure the correct activities are recorded for the respective programs and verify date of birth (DOB) / Veteran (VETS) information in the system of record. Customers will then be co-enrolled and counted in both Wagner-Peyser, WIOA, and if eligible Trade Adjustment Assistance (TAA) performance measures.

Under 20 CFR §680.110(a), registration is the process of collecting information to support a determination of eligibility. Participation occurs after the registration process when the individual receives a staff-assisted WIOA service, which does not include self-service or information activities. Under 20 §CFR §680.110 (b), adults and dislocated workers who receive services funded under Title I other than self-service or informational activities must be registered and must be a participant.

As part of the Welcome, Orientation, and Assessment (WOA), staff will verify the customer's DOB and VETS information, if applicable and record any activities that have been completed. An overnight batch process will then look for activities that trigger co-enrollment and the customer will be enrolled in both WIOA, Wagner-Peyser, and if eligible, Trade Adjustment Assistance.

Eligible registrants may access self-service and informational services available at all locations. Customers may not receive any funded career or training services until additional WIOA eligibility documentation has been completed. Staff should check the DOB/VETS Verification tab in the system of record on prior registered customers who return to any Career Center for services and update the record with proper DOB/VETS information as legacy records will not have complete information. Staff should determine if the current DOB documentation has expired and update it as needed. Failure of the customer to provide needed documentation shall not preclude delivery of services to the customer.

TAA Program, WIOA DW, and DWG co-enrollment may provide trade-affected workers with career and supportive services that are not available through the TAA Program. DWG co-enrollment can be used to provide potential trade-affected workers with career, training, and supportive services when state WIOA DW funds are not sufficient to provide such services. Eligible trade-affected workers may receive DWG-funded training only if the TAA Program does not cover the available training.

DWG and TAA funds must be managed in a coordinated manner to best meet the needs of the trade-affected workers while abiding by all applicable statutes, regulations, and federal policies. The DWG project guidance, TEGL No. 12-19, provides more details on the circumstances for provisions of training. The Trade Act, as amended, allows states to pay for a training program approved under the Act with TAA funds or from other sources, but does not allow duplication of payment of training costs. (See 20 CFR §618.625.) Under certain circumstances, a state can use funding from more than one program to fund training; however, TAA funds can only reimburse training costs incurred after a trade-affected worker was certified and determined individually eligible for TAA, and that training must be TAA-approved.

Additionally, 20 CFR §618.625(c) requires that the TAA Program be the primary source of assistance to trade-affected workers. To the extent trade-affected workers enrolled in the TAA Program require assistance or services not authorized under the TAA Program, or for which TAA Program funds are unavailable or insufficient (including for required employment and case management services), states must provide such assistance through other federal programs, including programs in the AJC network.

### 3. STATE PROGRAM AND STATE BOARD OVERVIEW

#### A. STATE AGENCY ORGANIZATION

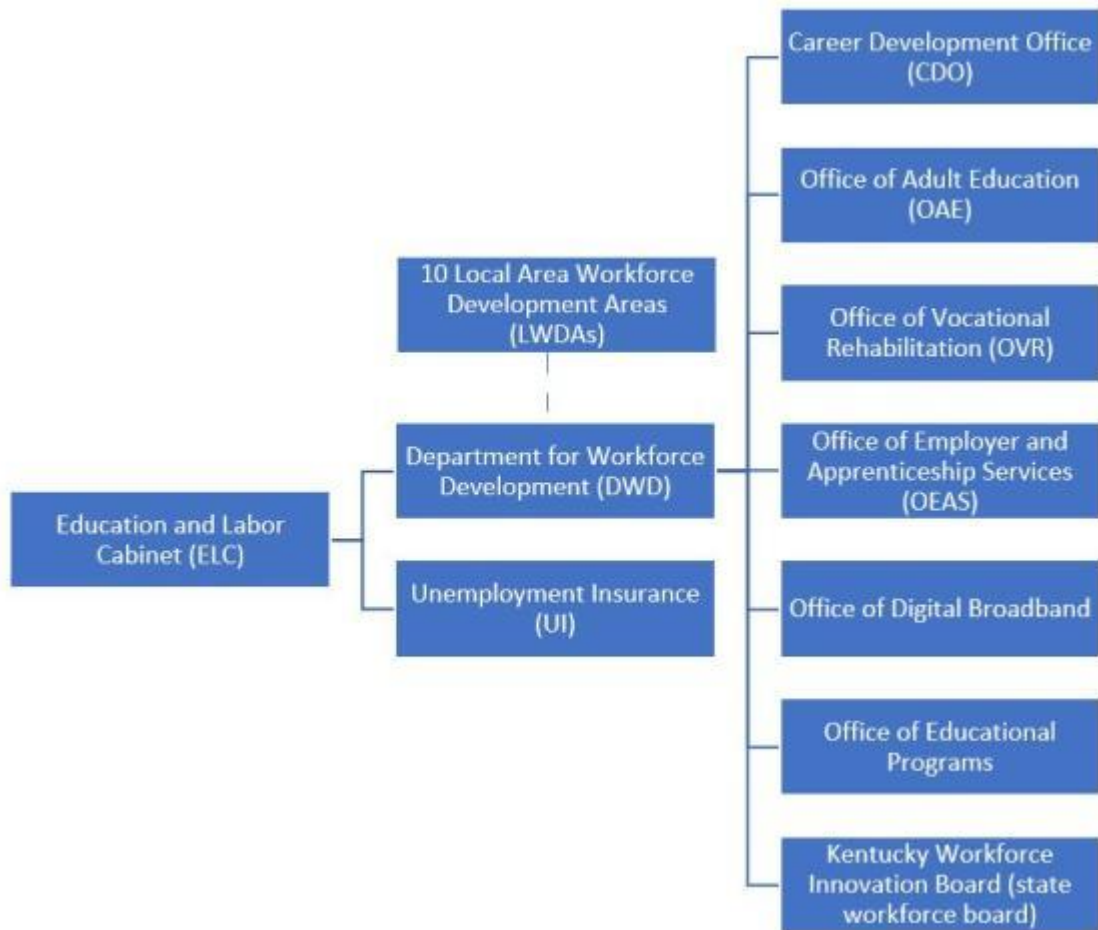
Describe the organization and delivery systems at the State and local levels for the programs covered in the plan, including the organizational structure. Include an organizational chart.

Commonwealth of Kentucky's workforce development, education, and training activities connected to the core WIOA programs are housed within the Department of Workforce Development (DWD) at the Kentucky Education & Labor Cabinet (ELC). Title I programs (adult, dislocated worker, and youth) are administered by the 10 Local Workforce Development Boards (located across the five regions of Kentucky, pictured below) and their respective service providers, while Title II program (Adult Education and Family Literacy) is within the Kentucky Office of Adult Education, Title III (Wagner-Peyser) is within the Career Development Office. Title IV (Vocational Rehabilitation) is within the Office of Vocational Rehabilitation (OVR). DWD also houses the state-registered apprenticeship agency known as the Office of Employer and Apprenticeship Services (OEAS) and the Office of Educational Programs, which has a targeted mission of growing youth employment through the Governor's Everybody Counts initiative. Furthermore, the Kentucky Workforce Innovation Board (KWIB) is administratively attached and within DWD.

In addition to the core WIOA programs, this Combined State Plan incorporates: Jobs for Veterans State Grant (JVSG), Trade Adjustment Assistance (TAA), Migrant and Seasonal Farmworkers (MSFW), and Unemployment Insurance (UI) programs. JVSG, TAA, and MSFW are in the Career Development Office (CDO) within DWD.

Below is the Education and Labor Cabinet Organizational Chart.





## B. STATE BOARD

Provide a description of the State Board activities that will assist State Board members and staff in carrying out State Board functions effectively. Also, provide a membership roster for the State Board consistent with 20 CFR 679.110-120, including members' organizational affiliations and position titles.

New KWIB members receive orientation to the responsibilities of being KWIB member and opportunities to engage across the various committees and workgroups. The goal is to discuss the strategic nature of the board and where the perspective of the board member can truly drive strategy to be more agile and responsive to the board's goals. Orientation covers the following state board activities:

Activities include assisting the Governor in the following:

- (a)** Development, implementation, and modification of the 4-year State Plan;
- (b)** Review of statewide policies, programs, and recommendations on actions that the state must take to align workforce development programs to support a comprehensive and streamlined workforce development system. Such review of policies, programs, and recommendations must include a review and provision of comments on the State Plans, if any, for programs and activities of one-stop partners that are not core programs;

**(c)** Development and continuous improvement of the workforce development system, including—

**(1)** Identification of barriers and means for removing barriers to better coordinate, align, and avoid duplication among programs and activities;

**(2)** Development of strategies to support career pathways for the purpose of providing individuals, including low-skilled adults, youth, and individuals with barriers to employment, including individuals with disabilities, with workforce investment activities, education, and supportive services to enter or retain employment;

**(3)** Development of strategies to provide effective outreach to and improved access for individuals and employers who could benefit from the workforce development system;

**(4)** Development and expansion of strategies to meet the needs of employers, workers, and job seekers particularly through industry or sector partnerships related to in-demand industry sectors and occupations;

**(5)** Identification of regions, including planning regions for WIOA sec. 106(a), and the designation of local areas under WIOA sec. 106, after consultation with Local WDBs and chief elected officials;

**(6)** Develop and continuously improve of the one-stop delivery system in local areas, including assisting Local WDBs, one-stop operators, one-stop partners, and providers. Such assistance includes assistance with planning and delivering services, including training and supportive services, to support the effective delivery of services to workers, job seekers, and employers, and

**(7)** Development of strategies to support staff training and awareness across the workforce development system and its programs;

**(d)** Development and updating of comprehensive State performance and accountability measures to assess core program effectiveness under WIOA sec. 116(b);

**(e)** Identification and dissemination of information on best practices, including best practices for—

**(1)** The effective operation of one-stop centers, relating to the use of business outreach, partnerships, and service delivery strategies, including strategies for serving individuals with barriers to employment;

**(2)** The development of effective Local WDBs, which may include information on factors that contribute to enabling Local WDBs to exceed negotiated local levels of performance, sustain fiscal integrity, and achieve other measures of effectiveness; and

**(3)** Effective training programs that respond to real-time labor market analysis, that effectively use direct assessment and prior learning assessment to measure an individual's prior knowledge, skills, competencies, and experiences for adaptability, to support efficient placement into employment or career pathways;

**(f)** Development and review of statewide policies affecting the coordinated provision of services through the State's one-stop delivery system described in WIOA sec. 121(e), including the development of—

**(1)** Objective criteria and procedures for use by Local WDBs in assessing the effectiveness, physical and programmatic accessibility and continuous improvement of one-stop centers.

Where a Local WDB serves as the one-stop operator, the State WDB must use such criteria to assess and certify the one-stop center;

**(2)** Guidance for the allocation of one-stop center infrastructure funds under WIOA sec. 121(h); and

**(3)** Policies relating to the appropriate roles and contributions of entities carrying out one-stop partner programs within the one-stop delivery system, including approaches to facilitating equitable and efficient cost allocation in the system;

**(g)** Development of strategies for technological improvements to facilitate access to, and improve the quality of services and activities provided through the one-stop delivery system, including such improvements to—

**(1)** Enhance digital literacy skills (as defined in sec. 202 of the Museum and Library Service Act, 20 U.S.C. 9101);

**(2)** Accelerate acquisition of skills and recognized postsecondary credentials by participants;

**(3)** Strengthen professional development of providers and workforce professionals; and

**(4)** Ensure technology is accessible to individuals with disabilities and individuals residing in remote areas;

**(h)** Development of strategies for aligning technology and data systems across one-stop partner programs to enhance service delivery and improve efficiencies in reporting on performance accountability measures, including design implementation of common intake, data collection, case management information, and performance accountability measurement and reporting processes and the incorporation of local input into such design and implementation to improve coordination of services across one-stop partner programs;

**(i)** Development of allocation formulas for the distribution of funds for employment and training activities for adults and youth workforce investment activities, to local areas as permitted under WIOA secs. 128(b)(3) and 133(b)(3);

**(j)** Preparation of the annual reports described in paragraphs (1) and (2) of WIOA sec. 116(d);

**(k)** Development of the statewide workforce and labor market information system described in sec. 15(e) of the Wagner-Peyser Act; and

**(l)** Develop other policies that may promote statewide objectives for and enhance the performance of the workforce development system in the State.

<b>Name</b>	<b>Member Type</b>
Johnny Collett, Human Development Institute	Business
Tony Georges, UPS, VP	Business
Suhas Kulkarni, IT Consultant, Owner	Business
Keith Sparks, Enerfab, Director	Business
Jimmy Staton, Southern Star, Director	Business
Karen Trial, Hitachi, VP	Business
Michael Buckentin, Logan Aluminum, CEO	Business
Ryan Holmes, EHI Consultant, Director	Business
Kim Humphrey, Alliance Coal, VP	Business
Heidi Margulis, Healthcare Consultant	Business
Lori Ulrich, Fleming-Mason Energy, Director	Business
Kevin Butt, Toyota, Director	Business
Beth Davisson, KY Chamber, VP	Business
Kim Menke (Chairman), Toyota, Regional Director	Business
Kevin Smith, Small Business Consultant, Owner	Business
Kevin Nolan, GE Appliances, VP	Business
Amy Luttrell, Goodwill Industries	Workforce
Scott Pierce, Union, Labor	Labor
Terry Sexton, Union, Labor	Labor
Todd Dunn, Union, Labor	Labor
Sharon Price, Community Action Council	Workforce
Robert Blythe, Mayor	City Mayor
Dianne Owen	Workforce
John Gregory, Executive Director	Office of Adult Education
Cora McNabb, Executive Director	Office of Vocational Rehabilitation
Jimmy Higdon, Senator	Kentucky Senate
Bobby McCool, Representative	Kentucky House of Representatives
Beth Brinly, Deputy Secretary	Education and Labor Cabinet

Owen McNeill, Judge Executive	County Judge Executive
Andy Beshear, Governor	Governor's Office
Aaron Thompson, President	Council on Post-secondary Education (CPE)
Ryan Quarles, President	KY Community and Technical College System (KCTCS)
Bo Matthews, Superintendent	Local Education partner
Jacqueline Coleman, Lt Governor	Governor's Office
Beth Hargis, Associate Commissioner	Kentucky Dept of Education
John Hicks, Secretary	Governor's Office
Jamie Link, Secretary	Education and Labor Cabinet
Jeff Noel, Secretary	Cabinet for Economic Development

#### State Workforce Board (KWIB) Staff

Name	Title
Alisher Burikhanov	Executive Director
Debbie Dennison	Deputy Executive Director
Elishah Taylor	Administrative Assistant
LaChrista Ellis	Administrative Assistant

#### 4. ASSESSMENT AND EVALUATION OF PROGRAMS AND ONE-STOP PROGRAM PARTNERS

##### A. ASSESSMENT OF CORE AND ONE-STOP PROGRAM PARTNER PROGRAMS.

Describe how the core programs will be assessed each year based on State performance accountability measures described in section 116(b) of WIOA. Describe how other one-stop delivery system partner program services and Combined State Plan partner programs included in the plan will be assessed each year. This State assessment must include the quality, effectiveness, and improvement of programs broken down by local area or provider. Such state assessments should take into account local and regional planning goals.

Considering the review of local and regional planning, assessing state performance and outcomes will be an important function. One avenue this can be accomplished is through the One-Stop Certification standards where all partners are held accountable to their intended outcomes and performance; additionally, this is also an opportunity to assess customer satisfaction with the quality of services.

They are further instilling the opportunity for One-Stop partners to consider embracing good job principles in their service delivery. Good job principles encompass competitive wages, benefits, career advancement, voice, diversity, occupational safety, recruitment of untapped talent pools, and positive organizational culture. One-Stop partners could assess the quality of jobs customers are placed in and at the same time the job quality businesses are hiring. Ensuring that individual customers and employers offer good job opportunities, outcomes should be higher employee satisfaction with better recruitment and retention for the business.

##### B. PREVIOUS ASSESSMENT RESULTS

For each four-year state plan and state plan modification, provide the results of assessments of the effectiveness of the core programs and other one-stop partner programs and Combined State Plan partner programs included in the Unified or Combined State plan during the preceding 2-year period (i.e. the 2-year period of the plan modification cycle), in accordance with methods described in 4(A). Describe how the State is adapting its strategies based on these assessments.

To assess the impact of the workforce development system and understand the perception of stakeholders, the Kentucky Workforce Innovation Board (KWIB) conducted a statewide listening tour in preparation of the 2024 WIOA State Plan. From July through the end of October 2023, all ten Kentucky Local Workforce Development Areas (LWDA) contributed to the work.

The framework for the tour involved working with the local LWDA Board directors and their teams to invite workforce stakeholders to conduct a brief overview of the purpose of the WIOA State Plan and breakout into focus groups to gain insight into specific perspectives. The focus groups were broken into:

- Workforce Partners (community-based organizations, nonprofits, MOU partners, educators)
- Employers
- Elected Officials
- Individual Customers

In total, 33 focus groups were held that involved 348 participants in the listening tours with the breakdown of: 198 workforce partners, 82 employers, 51 elected officials, and 17 individual customers contributing their perspective.

The main line of questioning proposed to each group was a reflection on the existing workforce development system and a reimagined future state of workforce development, with the main intention of learning best practices, challenges, and opportunities that can be pursued. The following findings were shared which align closely to the four strategic goals of the commonwealth:

### **1. Youth Employment - the Future of Workforce**

- The most cited point and critically important point of continuous “exposure to careers” and opportunities for work-based learning
- A key point of career exposure was also to involve parents and teachers in understanding all options available in the world of work
- Ensuring that the workforce system reaches youth before they become “opportunity youth”
- Lack of mentors and mentorship programs leads to disengaged youth
- The value of essential skills and work ethic is critical

### **2. Hiring and Supporting Non-Traditional Talent / Workers (Untapped Talent)**

- The most cited talent group was justice-involved as several statewide and locally run programs are actively engaged in employment services

- Kentucky has a high number of individuals with disabilities with many employment programs that can be braided and leveraged
- English language learners, refugees, and immigrants
- Veterans/Military
- The aging population provides the benefits of higher retention

### **3. Business Engagement & Industry Innovation**

- Importance of businesses being an engaged partner; being an active voice at the table
- The workforce system must emphasize support for small and medium-sized companies
- Employer investment in work-based learning/on-the-job training is critical
- Employer time is limited; using webinars, blogs, and direct communication to share resources
- Businesses are interested in actively engaging with other businesses, starting organic sector partnerships, opportunities to collaborate on sector training, employee support systems (sector-operated childcare center)
- Support to county and municipal government as an employer as competition has created hard-to-fill local government jobs: emergency response, road department, sewer and water, etc.
- Businesses are facing succession planning as retirements grow; looking at apprenticeship as a knowledge-sharing program is building momentum
- Supporting the recovery population in an ongoing basis through resources (or peer support specialists)

### **4. Enhanced Collaboration within Workforce and with Education**

- Enhanced flexibility and partnership between education and workforce; lines need to be blurred
- Communication among workforce partners to raise awareness of available programs for businesses
- Continuous education to combat the perception of the Kentucky Career Center as the “unemployment office”
- Educational continuum needs to be embraced, “K through Gray” or “Cradle to Grave” as individuals become lifelong learners
- Reduced WIOA funding impact on local area providers; collaboration and braiding of funding and services is a necessity; collaboration also balances out duplication of services
- Addressing mental health impacts on over-burdened service providers
- Co-location of multiple partners in one physical space provides best services; while at the same time, rethinking brick and mortar locations; meeting customers where they are

- Ongoing staff training and exposure to the greater Kentucky workforce ecosystem

Funding to meet necessary activities can be directed as appropriate to the respective agencies with DWD, while agencies outside of ELC can be engaged to provide supportive or braided funding to accomplish a given activity. Further, the allocation set aside by WIOA for the Governor’s discretionary fund, known as the Kentucky Statewide Reserve Fund, is divided into three primary categories of investment:

- Local innovation: allocated to innovative workforce development projects on the local or regional level
- Local implementation of the Governor’s priorities
- State investment in the Governor’s priorities (including on-going state transformational projects)

Furthermore, the Department of Workforce Development (DWD) intends to procure an assessment and evaluation for the effectiveness of services across the core programs to ensure a deeper and on-going assessment and evaluation.

### C. EVALUATION

Describe how the State will conduct evaluations and research projects of activities carried out in the State under WIOA core programs; how such projects will be coordinated with, and designed in conjunction with, State and local boards and with State agencies responsible for the administration of all respective core programs; and, further, how the projects will be coordinated with the evaluations provided for by the Secretary of Labor and the Secretary of Education under WIOA (WIOA Section 116(e)).

As mentioned above, the Department of Workforce Development (DWD) intends to procure an assessment and evaluation for the effectiveness of services across the core programs. DWD will work with all core partners and Combined State Plan partner to coordinate this effort to gather a holistic and comprehensive evaluation of the entire system.

Currently, there is a project in progress from the Center for Business and Economic Research (CBER) that is analyzing all state-funded workforce development programs; the goal is to have the evaluation proposed by DWD to complement this study with information from federal-funded workforce development programs.

## 5. DISTRIBUTION OF FUNDS FOR CORE PROGRAMS

Describe the methods and factors the State will use in distributing funds under the core programs in accordance with the provisions authorizing such distributions.

### A. FOR TITLE I PROGRAMS

Provide a description of the written policies that establish the State's methods and factors used to distribute funds to local areas for—

#### I. YOUTH ACTIVITIES IN ACCORDANCE WITH WIOA SECTION 128(B)(2) OR (B)(3)

Per Policy 23-003

(<https://kwib.ky.gov/WIOA%20Planning%20and%20Policy/Pages/default.aspx>)



Title I Formula Allocation Methodology, the allocation of Youth activities funds to LWDAs, DWD may use either the allocation formula described in WIOA Section 128(b)(2) or the discretionary allocation formula in WIOA Section 128(b)(3).

A. Allocation Formula: Thirty-three and one-third percent (33 1/3%) of the total funds available for local allocations are allocated based on each LWDA's relative share of each data factor listed below:

- The relative number of unemployed individuals in Areas of Substantial Unemployment (ASUs) in each LWDA, compared to the total number of unemployed individuals in ASUs in all LWDAs in the state.
- The relative excess number of unemployed individuals in each LWDA, compared to the total excess number of unemployed individuals in all LWDAs in the state. See the definition of "excess number" below, which requires a comparison of the excess unemployed in ASUs with excess unemployed in all LWDAs.
- The relative number of disadvantaged youth (age 16 to 21, excluding college students not in the workforce and military), in each LWDA, compared to the total number of disadvantaged youth in all LWDAs in the state. The number of disadvantaged youth comes from special tabulations of data from the ACS prepared in accordance with the definition provided in WIOA.

## II. ADULT AND TRAINING ACTIVITIES IN ACCORDANCE WITH WIOA SECTION 133(B)(2) OR (B)(3)

In allocating Adult Activities funds to LWDAs, DWD may use either the allocation formula described in WIOA Section 133(b)(2)(A) or the discretionary allocation formula in WIOA Section 133(b)(3).

A. Allocation Formula: The adult formula allocations are based on the same factors used in youth formula allocations except for disadvantaged adults age 22 to 72, which are based on Low Income.

## III. DISLOCATED WORKER EMPLOYMENT AND TRAINING ACTIVITIES IN ACCORDANCE WITH WIOA SECTION 133(B)(2) AND BASED ON DATA AND WEIGHTS ASSIGNED

In allocating Dislocated Worker Activities funds to local areas, DWD will distribute Dislocated Worker Activities funds among local workforce areas (subject to the Governor's reservation of up to twenty-five percent [25%] for statewide Rapid Response activities).

Allocation Formula: Under WIOA, the data factors that must be included are:

- Insured unemployment data;
- Unemployment concentrations;
- Plant closure and mass layoff data;
- Declining industries data;
- Farmer-rancher economic hardship data; and
- Long-term unemployment data.

The farmer-rancher economic hardship data factor is based on the designation of Significant Migrant Seasonal Farm Worker (MSFW) State, Significant MSFW One-Stop Center (now branded

as Kentucky Career Centers [KCCs]), and Significant Multilingual MSFW One-Stop Centers, in accordance with the number of MSFWs who participate or are estimated to be available to participate in the employment services provided in those states and through those One-Stop Centers.

WIOA Title I formula allotment methodologies and/or weights will be reviewed before communicating the coming program year local area allotments. Subsequently, a recommendation will be prepared as an agenda item at a regularly scheduled or special Kentucky Workforce Innovation Board (KWIB) meeting for review and approval of proposed allotment methodologies and/or weights. If the KWIB does not adopt the proposed allotment and/or weights, the preceding program year methodologies and/or weights will remain in effect.

In response to an emergency or disaster (i.e., large, unexpected layoff event causing significant job losses) DWD's Office of the Kentucky Workforce Innovation Board website (shall have discretionary Authority, with the written approval of the DWD Commissioner, to propose and adjust allotment methodologies and/or weights to remedy such emergent activities.

Title 1 program policy for distribution of funds can be found in policy 23-001 located on our state workforce development board site (<https://kwib.ky.gov>) ; Additional guidance on allowable costs and financial reporting requirements of funds are also available on that site.

## B. FOR TITLE II

### I. DESCRIBE THE METHODS AND FACTORS THE ELIGIBLE AGENCY WILL USE TO DISTRIBUTE TITLE II FUNDS.

The Office of Adult Education distributes Title II funds consistent with the model and metrics used by the US Department of Education, Office of Career, Technical, and Adult Education (OCTAE) to distribute AEFLA funds to the eligible agencies/states. The OAE uses the American Community Survey (ACS) data regarding working-age adults in Kentucky who do not possess a secondary diploma, or it's recognized equivalent, which is the GED in Kentucky. The ACS data across the 120 counties in Kentucky is utilized to determine the amount of funding each eligible provider per WIOA Section 203 (5) receives for a particular performance year. The 26 eligible providers, who submitted applications and were subsequently deemed eligible to receive funds through the 2022 -2025 competitive Request for Applications (RFA) process, are awarded funds based on the eligible individuals per the ACS data in the counties within their respective service areas. This funding model applies to funds related to Sections 231 and 225 as well as Section 243 of WIOA. ACS data for English language learners (ELLs) within the counties across the eligible provider's service area is used for eligible providers awarded Section 243 funds via the 2022-2025 competitive RFA process.

The OAE has implemented a performance funding model that distributes 95% of the eligible provider's allotted budget per ACS data each performance year and based on meeting certain performance requirements annotated in the Kentucky Adult Education Program Manual (PM), eligible providers can earn the additional 5% of their total budget.

### II. DESCRIBE HOW THE ELIGIBLE AGENCY WILL ENSURE DIRECT AND EQUITABLE ACCESS TO ALL ELIGIBLE PROVIDERS TO APPLY AND COMPETE FOR FUNDS AND HOW THE ELIGIBLE AGENCY WILL ENSURE THAT IT IS USING THE SAME GRANT OR CONTRACT ANNOUNCEMENT AND APPLICATION PROCEDURE FOR ALL ELIGIBLE PROVIDERS.

Direct and equitable access Section III(b)5.B.(ii)]: All KYAE RFAs for grant/contract awards will be competed (as described above) and adhere to direct and equitable provisions to award funds

under WIOA sections 225 (Corrections Education), 231 (Grants and Contracts for Eligible Providers), and 243 (Integrated English Literacy and Civics Education). All RFAs issued under AEFLA will prescribe to the competitive process outlined above. Applications will be evaluated by review teams using the same rubric and scoring criteria. The grant or contract announcement and application and application review processes will be in effect for all applicants; all applicants will be treated in the same manner. The application process will be designed so that direct application to the State eligible agency is clearly evident, customary, and non-negotiable. Grants will be awarded directly to eligible and approved service providers and not through third-party agreements. [See also III(b)5.B.i and III(b)5.B.ii - Distribution of Funds for Core Programs, Title II.]

### C. VOCATIONAL REHABILITATION PROGRAM

In the case of a State that, under section 101(a)(2)(A)(i) of the Rehabilitation Act designates a State agency to administer the part of the Vocational Rehabilitation (VR) services portion of the Unified or Combined State Plan under which VR services are provided for individuals who are blind, describe the process and the factors used by the State to determine the distribution of funds among the two VR agencies in the State.

The Rehabilitation Act defines the amount of funds each state receives to provide vocational rehabilitation services in Sec. 8 (a). The funding is based on the ratio of the per capita income of each state to the per capita income of the United States for the three most recent consecutive years for which data is available. The funding allotment has a minimum of 33.3 percent and a maximum of 75 percent and is promulgated by the secretary of the U.S. Department of Education from Oct. 1—Dec. 31 of each even-numbered year and is in effect beginning the following federal fiscal year.

Effective October 1, 2018, Kentucky has one Combined Agency the Office of Vocational Rehabilitation.

## 6. PROGRAM DATA

### A. DATA ALIGNMENT AND INTEGRATION

Describe the plans of the lead State agencies with responsibility for the administration of the core programs, along with the State Board, to align and integrate available workforce and education data systems for the core programs, unemployment insurance programs, and education through postsecondary education, and to the extent possible, the Combined State Plan partner programs included in this plan. The description of the State's plan for integrating data systems should include the State's goals for achieving integration and any progress to date.

Describe data-collection and reporting processes used for all programs and activities, including the State's process to collect and report data on co-enrollment, and for those present in the one-stop centers.

#### I. DESCRIBE THE STATE'S PLANS TO MAKE THE MANAGEMENT INFORMATION SYSTEMS FOR THE CORE PROGRAMS INTEROPERABLE TO MAXIMIZE THE EFFICIENT EXCHANGE OF COMMON DATA ELEMENTS TO SUPPORT ASSESSMENT AND EVALUATION

The Kentucky Center for Statistics (KYSTATS) collects and links data to evaluate education and workforce efforts in the Commonwealth, including developing reports, responding to research requests, and providing statistical data about these efforts so policymakers, practitioners, and the general public can make better informed decisions. KYSTATS is within the Education and Labor Cabinet and works closely with the agencies with the Department of Workforce

Development. Through the intuitive dashboards based on core program data, KYSTATS is able to provide information on all Combined State Plan partners in addition to other cabinet agencies that serve individuals that may also cross paths with Title I-IV programs and WIOA State Plan partners. The dashboard can include justice-involved population that received training and then entered a registered apprenticeship program – such interoperable data points provide the foundation for career pathways, co-enrollment, and overall better decision-making.

## II. DESCRIBE THE STATE'S PLANS TO INTEGRATE DATA SYSTEMS TO FACILITATE STREAMLINED INTAKE AND SERVICE DELIVERY TO TRACK PARTICIPATION ACROSS ALL PROGRAMS INCLUDED IN THIS PLAN

Department of Workforce Development will be procuring a new Case Management System that will be an integrated data system to facilitate a streamlined intake and service delivery to track participation across all the programs and Combined State Plan partners. The estimated timeline is to have the procurement components completed and implemented before the next WIOA State Plan to ensure continuous progress.

## III. EXPLAIN HOW THE STATE BOARD WILL ASSIST THE GOVERNOR IN ALIGNING TECHNOLOGY AND DATA SYSTEMS ACROSS REQUIRED ONE-STOP PARTNER PROGRAMS (INCLUDING DESIGN AND IMPLEMENTATION OF COMMON INTAKE, DATA COLLECTION, ETC.) AND HOW SUCH ALIGNMENT WILL IMPROVE SERVICE DELIVERY TO INDIVIDUALS, INCLUDING UNEMPLOYED INDIVIDUALS

The Department of Workforce Development will be procuring a new Case Management System. The state workforce board, Kentucky Workforce Innovation Board (KWIB) will assist in the Request for Proposal (RFP) creation to ensure that the system is aligned with the strategic goals and objectives to the board's vision.

## IV. DESCRIBE THE STATE'S DATA SYSTEMS AND PROCEDURES TO PRODUCE THE REPORTS REQUIRED UNDER SECTION 116, PERFORMANCE ACCOUNTABILITY SYSTEM. (WIOA SECTION 116(D)(2)).

The Commonwealth of Kentucky uses KEE Suites as its main data system for customers. This system will be replaced as noted previously through the procurement process. KYSTATS, introduced in the previous section, will be the anchor that will assist the workforce system understanding trends, longitudinal data points, and the overall effectiveness of the services. Locally, KEE Suites is the system of choice to produce reports required under section 116. The Kentucky Integrated Business Engagement System (KIBES) is utilized to track engagement with employers.

### B. ASSESSMENT OF PARTICIPANTS' POST-PROGRAM SUCCESS

Describe how lead State agencies will use the workforce development system to assess the progress of participants who are exiting from core programs in entering, persisting in, and completing postsecondary education, or entering or remaining in employment. States may choose to set additional indicators of performance.

Currently utilizing KEE Suite, the opportunity with the future procured system would track monthly/quarterly progress including whether additional services are needed, employment data, post-secondary education, service satisfaction, and employment satisfaction. This data can be cross-referenced to see the impact of attaining credentials, participating in work-based Learning, and/or achieving measurable skills gains.

### C. USE OF UNEMPLOYMENT INSURANCE (UI) WAGE RECORD DATA

Explain how the State will meet the requirements to utilize quarterly UI wage records for performance accountability, evaluations, and as a source for workforce and labor market information, consistent with Federal and State law. (This Operational Planning element applies to core programs.)

UI wage records are utilized in performance accountability by matching those records to customers and participants who have been served by WIOA, Adult Education, Wagner Peyser, and OVR. They are matched to see who is employed in both the 2nd quarter and 4th quarter after exit. In addition, they are utilized in the Median Earnings calculation.

#### D. PRIVACY SAFEGUARDS

Describe the privacy safeguards incorporated in the State's workforce development system, including safeguards required by section 444 of the General Education Provisions Act (20 U.S.C. 1232g) and other applicable Federal laws.

The Education and Labor Cabinet (ELC) and Commonwealth Office of Technology (COT) use the National Institute of Standards and Technology (NIST) 800-53 list of controls to support the development, security and privacy of the systems used to process, store, transmit and access information. Following these standards ensures the confidentiality, integrity and availability of the information necessary to carry out the functions of the Cabinet.

NIST standards require the Cabinet to categorize information based on its level of confidentiality, potential impact to personal information if a breach occurred and the importance of data availability. Data is then secured based on these categories. Additionally, these categories are used to apply privacy controls, complete assessments, and provide disaster recovery support.

Access to systems is limited and only granted through a controlled process. Requests for access must be submitted by a manager and are reviewed by the Office of Information Technology. Once access is approved, ELC works with COT to grant access to all users through a unique username and password. Further, physical security controls are also in place to ensure the privacy of information. Only authorized staff are allowed within the secured areas unless escorted by authorized staff.

ELC must maintain detailed system security and privacy plans that include information on the enterprise architecture, describe the controls in place to meet the NIST standards, describe threats and how the agency plans to overcome those, and activities affecting the system that require planning and coordination. These documents are sensitive in nature and maintained within the agency to safeguard the integrity of the system.

Finally, annual audits are performed by several agencies, including the Commonwealth of Kentucky Auditor of Public Accounts that focus on application security measures and data protection.

### 7. PRIORITY OF SERVICE FOR VETERANS.

A. DESCRIBE HOW THE STATE WILL IMPLEMENT THE PRIORITY OF SERVICE PROVISIONS FOR COVERED PERSONS IN ACCORDANCE WITH THE REQUIREMENTS OF THE JOBS FOR VETERANS ACT, CODIFIED AT SECTION 4215 OF 38 U.S.C., WHICH APPLIES TO ALL EMPLOYMENT AND TRAINING PROGRAMS FUNDED IN WHOLE OR IN PART BY THE DEPARTMENT OF LABOR.

B. DESCRIBE HOW THE STATE WILL MONITOR PRIORITY OF SERVICE PROVISIONS FOR VETERANS.

C. DESCRIBE THE TRIAGE AND REFERRAL PROCESS FOR ELIGIBLE VETERANS AND OTHER POPULATIONS DETERMINED ELIGIBLE TO RECEIVE SERVICES FROM THE JOBS FOR VETERANS STATE GRANTS (JVSG) PROGRAM'S DISABLED VETERANS' OUTREACH PROGRAM (DVOP) SPECIALIST/CONSOLIDATED POSITION.

**A. Describe how the State will implement the priority of service provisions for covered persons in accordance with the requirements of the Jobs for Veterans Act, codified at section 4215 of 38 U.S.C., which applies to all employment and training programs funded in whole or in part by the Department of Labor.**

The Commonwealth is committed to ensuring that veterans continue to receive speedy and priority services. Recent measures have been taken to update and expand consistency in all facets of program delivery, including the standardization of protocols and procedures to continually provide model program delivery.

“Priority of Service” means that veterans and eligible spouses are given priority over non-covered persons for the receipt of employment, training, and placement services provided under a qualified job training program. This “priority” allows a veteran or an eligible spouse to either receive access to a service earlier in time than a non-covered person or, if the resource is limited, the veteran or eligible spouse receives access to the service instead of or before the non-covered person.

It is the responsibility of the public workforce system to provide priority of service for all veterans and eligible spouses who receive services under any qualified job training program, including career assistance provided under workforce services.

For a service such as classroom training or other training services, the priority of service applies to the selection procedure as follows.

- First, if there is a waiting list for the formation of a training class or other training services, then the priority of service requires a veteran or other eligible to go to the top of that list.
- Second, priority of service applies up to the point at which an individual is both approved for funding and accepted or enrolled in a training class. Priority of service is not intended to allow a veteran or eligible spouse to “bump” the non-covered person from that training class.

It is important to distinguish between the identification of a veteran for priority of services and the verification of a veteran's status or the verification of an eligible spouse. If an individual self-identifies as a veteran or eligible spouse, at the American Job Center (i.e., Kentucky Career Center), that individual should be provided with immediate priority in the delivery of employment services. When a veteran or eligible spouse undergoes eligibility determination for enrollment (e.g., in WIOA Adult Program), it is appropriate to initiate verification of veteran status. The only employment services that require prior verification of eligibility for priority of service are those that require a commitment such as classroom training.

American Job Centers (AJCs) (i.e., the Kentucky Career Center) must ensure that veterans and eligible spouses are identified at the “point of entry” (e.g., reception area, resource area, websites, self-service and informational bulletin boards etc.). When identifying veterans and

eligible spouses, the AJC's and other grantees and sub-grantees must ensure that veterans and eligible spouses are made aware of:

- Their entitlement to the priority of services;
- The full array of employment, training and placement services available; and
- Applicable eligibility requirements for programs and services.

**Procedure to Implement Priority of Service Provisions:**

1. Identify veterans and eligible spouses when they visit service delivery points.
2. Display signs that clearly describe the priority of services and the registration process. This information must also be conveyed when veterans and eligible spouses access services electronically or by telephone.
3. It is neither necessary nor appropriate to require verification of the status of a veteran or eligible spouses at the point of entry.
4. If a person self identifies as a veteran or eligible spouse immediate priority of service is required.
5. Monitoring the priority of services will be done at the point of entry and during training or employment services

**B. Describe how the state will monitor priority of service provisions for veterans.**

The State Veterans' Program Coordinator analyzes the Performance Report for Jobs for Veterans' State Grants data generated by the Workforce Integrated Performance System (WIPS) quarterly, to include Sections:

1. Summary Information,
2. Participant Summary and Service Information,
3. Employment Barrier,
4. Core Indicators of Performance, and
5. Veterans' Priority of Service.

The data generated from the reports include covered entrants from point of entry, services provided and distinguishes from veterans and eligible spouses. The Quarterly Manager's Reports on Services to Veterans, along with onsite office validations and desk audits, are used to ensure compliance with this directive and other guidance as given by DOL ETA, VETS, and the Kentucky Education & Labor Cabinet.

**C. Describe the triage and referral process for eligible veterans and other populations determined eligible to receive services from the Jobs for Veterans State Grants (JVSG) program's Disabled Veterans' Outreach Program (DVOP) specialist/Consolidated Position.**

**Disabled Veterans' Outreach Program (DVOP) specialist/Consolidated Triage and Referral Process:**

The Intake Staff at the Kentucky Career Centers are the first points of contact and will identify eligible veterans, eligible spouses, or other family members who indicate they are caregivers of

such wounded, ill, or injured members. Persons who self-identify at the point of entry and who have not already been determined to be eligible for DVOP services will be asked to fill out the Veteran Information Form to determine eligibility. The Veteran Information Form asks for an answer of “yes” or “no” to all significant barriers and additional designated populations in accordance with VPL 03-14, including changes 1&2, and VPL 03-19. When filling out the Veteran Information Form:

1. Answering “yes” to any of the questions in the section Barriers to Employment would indicate that the veteran is eligible for DVOP services or eligible spouses or other family who indicate they are caregivers of such wounded, ill, or injured members.
2. In the section 2020 Poverty Guidelines, the Poverty Guidelines chart is updated yearly in accordance with US DOL. This information can be located at <https://aspe.hhs.gov/poverty-guidelines>. A veteran who is within the guidelines indicates that they are eligible for DVOP services.

The Intake Staff determines if the individual meets the criteria and eligibility requirements for DVOP services. Those who are eligible for DVOP services are referred to the DVOP. In the event that a DVOP specialist is not available, the veteran or spouse will be referred to the appropriate Wagner-Peyser or WIOA staff in addition to scheduling or referring to an available DVOP specialist by appointment.

**Significant Barriers to Employment (SBE)** as outlined by VPL 03-14, including changes 1&2, and additional designated populations as outlined in VPL 03-19 include:

- A special disabled or disabled veteran, as those terms are defined in 38 U.S.C § 4211(1) and (3); special disabled and disabled veterans are those:
  - who are entitled to compensation (or who, but for the receipt of military retired pay, would be entitled to compensation) under laws administered by the Secretary of Veterans Affairs; or,
  - were discharged or released from active duty because of a service-connected disability;
- A homeless person, as defined in Sections 103(a) and (b) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. I 1302(a) and (b)), as amended;
- A recently-separated service member, as defined in 38 U.S.C § 4211(6), who has been unemployed for 27 or more weeks in the previous 12 months;
- An offender, as defined by WIOA Section 3 (38), who is currently incarcerated or who has been released from incarceration;
- A veteran lacking a high school diploma or equivalent certificate; or
- A low-income individual (as defined by WIOA Section 3 (36));
- A veteran lacking a high school diploma or equivalent certificate; or
- Veterans aged 18-24;
- Vietnam-era Veterans;
- Eligible Transitioning Service Members, Spouses, and Caregivers



- Transitioning members of the Armed Forces who have been identified as in need of intensive services (now referred to as Individualized Career Services)
- Members of the Armed Forces who are wounded, ill, or injured and receiving treatment in military treatment facilities (MTF) or warrior transition units (WTU); and
- The spouses or other family caregivers of such wounded, ill, or injured members.

Again, eligible veterans and eligible spouses who are determined to have a significant barrier to employment are referred to a DVOP specialist. Additionally, any eligible veterans or eligible spouses who are part of a designated additional population will be referred to the DVOP. These referrals will be made following an initial identification of a Significant Barrier to Employment (SBE) through the registration process. Customers registering electronically using Kentucky's state system of record and labor exchange module will be asked a series of questions to determine if they are priority of service eligible. If they are identified as eligible, they are presented with a screen defining the priority of service and directed to their local career center for further information on services and programs.

#### 8. ADDRESSING THE ACCESSIBILITY OF THE ONE-STOP DELIVERY SYSTEM FOR INDIVIDUALS WITH DISABILITIES

Describe how the one-stop delivery system (including one-stop center operators and the one-stop delivery system partners), will comply with section 188 of WIOA (if applicable) and applicable provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) regarding the physical and programmatic accessibility of facilities, programs, services, technology, and materials for individuals with disabilities. This also must include a description of compliance through providing staff training and support for addressing the needs of individuals with disabilities. Describe the State's one-stop center certification policy, particularly the accessibility criteria.

The Department of Workforce Development will continue to comply with Section 188 of WIOA and applicable provisions of the American with Disabilities Act of 1990 so that all individuals with disabilities can fully utilize services and resources to obtain competitive integrated employment. As a priority, accessibility is addressed at every level and through venues in the Kentucky Career Center (KCC). The KCC offices provide both physical and programmatic accessibility to facilities, programs, services, technology and materials.

The Office of Vocational Rehabilitation (OVR), a partner agency, has counselors for both general and blind services, deaf and hard of hearing and other staff housed at KCC locations and for this reason, staff has a heightened sense of assuring that the service and accessibility needs of individuals with disabilities are met. The Education and Labor Cabinet, Office of Communications has a staff person who is dedicated to ensuring all communications for the Cabinet are in an accessible format. In addition, OVR has a dedicated staff member who serves as the gatekeeper for all written, internal, and external communications to ensure documents reach individuals with disabilities in an accessible format. All staff are required to have documents reviewed for accessibility by the designated staff before distributing to provide statewide resources to ensure compliance.

Each KCC office:

- Is fully ADA compliant;

- Is feasible (As new center locations are selected, KCC offices are located in areas that are convenient for their customers, close to major highways, on public transportation routes, centrally located, close to heavily trafficked areas such as malls and shopping centers, etc.);
- Provides assistive technology to assist customers with disabilities (visual, hearing and physical) so they can access computers and other KCC resources/services;
- Evaluates assistive technology annually to ensure it is up-to-date and fully functioning;
- Provides free parking and inclusive parking spaces that are adequate for the average level of customer traffic, especially for individuals with disabilities; and
- Makes services accessible to customers who have language and literacy barriers (non—English speakers or individuals with hearing impairments, disabilities, or literacy/reading barriers).

All KCC offices are expected to ensure universal access to programs and activities for all eligible individuals. Kentucky has taken steps to ensure equitable access to and participation in federally funded programs for all consumers and agency staff regardless of race, color, national origin, sex, sexual orientation, gender identity or age. For assistive technology, the objective is to design a computer workstation/kiosk that can be used by individuals with the widest possible range of abilities and/or circumstances. Kentucky follows the guidelines set forth by the Job Accommodation Network, One-Stop Disability Resource Manual.

The Department of Workforce Development will comply with the provisions of the Americans with Disabilities Act (ADA) and applicable federal regulations prohibiting discrimination against otherwise qualified disabled individuals under any program or activity and adhere to the U.S. Department of Labor Final Rule on Federal Executive Order 11246.

#### 9. ADDRESSING THE ACCESSIBILITY OF THE ONE-STOP DELIVERY SYSTEM FOR INDIVIDUALS WHO ARE ENGLISH LANGUAGE LEARNERS

Describe how the one-stop delivery system (including one-stop center operators and the one-stop delivery system partners) will ensure that each one-stop center is able to meet the needs of English language learners, such as through established procedures, staff training, resources, and other materials. Describe how English language learners will be made aware of the opportunity to enroll and/or co-enroll in all the core programs for which they are eligible.

In adhering to the Adult Priority of Service requirement in WIOA section 134(c)(3)(E), which mandates that American Job Center staff prioritize recipients of public assistance, low-income individuals, and individuals who are basic skills deficient (including English language learners) when using WIOA Adult program funds for individualized career and training services, the Office of Employer and Apprenticeship Services, in collaboration with the ETPL Coordinator, is dedicated to a proactive and vigilant approach.

To effectively implement and monitor this priority of service requirement, we have devised a multifaceted strategy:

1. **Training and Capacity Building:** The Office of Employer and Apprenticeship Services and the ETPL Coordinator will collaborate closely with state and local Workforce Innovation Boards and local WIOA contractors. This partnership is instrumental in ensuring that front-line employees, including American Job Center staff, are well-informed and adequately trained on the requirements and nuances of the priority of service

provisions. This training will equip them with the knowledge and skills necessary to identify and provide specialized services to eligible individuals promptly.

2. **Clear Guidelines and Procedures:** We are committed to developing and providing clear and concise guidelines and procedures that outline how the priority of service should be implemented in practice. These guidelines will include detailed instructions on identifying eligible individuals and the specific services and support they are entitled to under WIOA. By disseminating this information throughout our workforce network, we ensure consistent and equitable service delivery.
3. **Application Monitoring:** The implementation of the Adult Priority of Service requirement also necessitates robust application monitoring processes. Our strategy includes training front-line staff and monitors to ensure that WIOA applications for services are not only processed efficiently but also filled out completely and accurately. This proactive approach helps in the accurate determination of eligibility and prevents inadvertent discrimination against eligible individuals.
4. **Regular Audits and Compliance Checks:** To maintain accountability and adherence to the priority of service requirements, we will conduct regular audits and compliance checks. This process includes periodic reviews of service delivery to verify that the priority individuals are receiving the support they are entitled to, as well as assessing the accuracy and completeness of application processes.
5. **Feedback Mechanisms:** We will establish mechanisms for feedback and reporting. Front-line staff, monitors, and clients will have channels through which they can report concerns or violations of the priority of service requirement. This feedback loop ensures that any issues are addressed promptly and that corrective actions are taken.

Kentucky recently conducted a competitive Request for Applications in March 2022 for the 1 July 2022 – 30 June 2025 Grant Cycle. As a result of the competition, three adult education-eligible applicants were awarded IELCE funding under Section 243: Bluegrass Community and Technical College; Jefferson County Public Schools, and Southcentral Kentucky Community and Technical College. These three applicants cover the following high-volume ELL Kentuckians: Fayette, Jefferson, and Warren.

In PY22, IELCE PROGRAMS SERVED 1,723 English Learner Students (ELLs), attaining 642 measurable skill gains (MSGs). All IELCE programs have access to Integrated Education and Training (IET) opportunities through both state and program-specific partnerships with providers across the commonwealth. Intentional and intense IET-specific training and IELCE guidance have been conducted with IELCE program directors and will continue in the future.

For eligible IELCE applicants of the RFA, the service area for which they apply for core services funds must have met a minimum of 2,000 ELLs. Applicants are required to submit separate forms describing the program's plan of service and indicate how resources would be allocated in the budget and budget narrative. The eligible applicants are required to provide the two (2) most recent fiscal years' data indicating the ELL total population, the number of ELLs enrolled in the previous two (2) years, and the projected number of ELL enrollments.

KYAE reinforced communication of IELCE requirements in the RFA. Eligible applicants are required to describe the program's plan of service and indicate how resources will be allocated in the budget and budget narrative as well as address the 13 considerations among other requirements annotated in the RFA 2022-2025. As a result of the monitoring process, KYAE will

assess to ensure that all IELCE program components are fully integrated into those programs awarded IELCE funds as a result of the 2022 grant competition.

KYAE's purchase of Burlington English positively contributes to IELCE participants blended instructional experience, civics education, and career exploration. The courseware is CASAS-aligned and provides academic instruction for ELL students. Of particular interest is its inclusion of soft skills, career exploration courses, and comprehensive technical/professional learning support services. The Revised English Language Proficiency Instructional Framework aligns with CASAS Life & Work and CLAS-E more explicitly with the ELP Standards in a streamlined and simplified format.

During 2023 and currently, PAPC, using Office of Career, Technical, and Adult Education (OCTAE) resources, is conducting technical assistance sessions specifically targeting IELCE programs and Integrated Education and Training (IET) models.

KYAE is intentional in seeking guidance and assistance from the appropriate US DOE OCTAE Subject Matter Experts to gain greater levels of knowledge on all applicable requirements and guidelines. The goal is to continue attending training sessions and seeking guidance for requirements for current year activities and programs as well as set the conditions to move forward in the future.

IELCE program students will have access to partnership programs. KYAE has significantly increased access to IET/WPL partnerships via the IET/WPL Review Team and Planning Tool process. Kentucky has moved away from the co-enrollment integrated education and training program offered in partnership with the Kentucky Community and Technical College System (KCTCS) as the state model. The KCTCS remains a prominent component of the overall IET/WPL process, however, all eligible providers including IELCE providers now have individual IET/WPL partnerships to enhance access for all eligible participants.

KYAE has 26 local providers who offer programs designed to meet labor market needs and increase credential attainment for adults. KYAE leadership meets periodically with the Kentucky Department of Workforce Development (DWD) offices as well as the Kentucky Center for Statistics (KY STATS) and the Kentucky Council on Postsecondary Education (CPE) to discuss marketing strategies, enrollment trends, and student success outcomes.

KYAE continues to explore ways in which to partner with organizations to offer core adult education services concurrently with occupational skills training. At the same time, these services may not include all the wraparound support services as a fully articulated career pathway program, defined in WIOA Section 3 (Def. 7), they provide an opportunity for adult education providers to collaborate with training organizations to accelerate student learning by attaining adult education contextualized academic support and aligned occupational skills training simultaneously.

Additionally, the KYAE Outreach and Strategic Partnerships Branch continues to engage with local workforce innovation boards (LWIB) and Kentucky Career Centers to offer students opportunities to engage in work-based learning activities leading to potential job placements with community employers. The reengagement is necessary as the totality of the circumstances of all eligible participants which includes the second/fair chance population, veterans/family members, and individuals aging out of the foster care system as well as the unhoused/homeless population requires a synchronized approach that aligned with the priorities of the Commonwealth of Kentucky.

KYAE wants to continue to grow and expand the concept of IET in Kentucky beyond the current programs to include prospective collaborations with employers, pre-apprenticeship programs, public and private four-year universities, etc., to support the occupational training element of an IET model by offering a variety of ways students can accelerate their educational and career accomplishments as emerging opportunities are created by leveraging historic infrastructure investments such as BIL, CHIPS, and IRA.

KYAE has reorganized and re-missioned the Strategic Partnership Coordinators in the Outreach and Strategic Partnership Division as well as the PASC Branch to better address student needs and emerging opportunities across in-demand careers in Kentucky. The new focus is multi-fold, which includes but not limited to the following: connecting and coordinating services and activities through Kentucky Career Centers (KCCs) and identify new and innovative opportunities to serve more students by liaising with and expanding local community partnerships.

KYAE continually provides opportunities to connect local providers with local partners to enhance student access, support, and success.

Based on historical enrollment, KYAE is developing strategies to improve the referral process to increase referrals from employers, community agencies, and WIOA core partners per year. With the use of available resources, technical assistance, periodic monitoring, and offering additional trainings and workshops with our local partners, our IELCE providers will continue to help our state identify how to best align adult education activities with postsecondary, workforce, and local partner needs.

In conclusion, our approach to implementing and monitoring the Adult Priority of Service requirement in WIOA is comprehensive and focused on ensuring equitable access to services for the specified priority groups. Through training, clear guidelines, application monitoring, audits, and feedback mechanisms, we aim to create a system that not only adheres to federal regulations but also reflects our commitment to the welfare and development of all eligible individuals in our state. This approach ensures that the American Job Center staff provide tailored, supportive, and effective services to those who need them most.

#### IV. COORDINATION WITH STATE PLAN PROGRAMS

Describe the methods used for joint planning and coordination among the core programs, and with the required one-stop partner programs and other programs and activities included in the Unified or Combined State Plan.

Through interagency touch points and continuous communication between agency leaders responsible for the State Planning process. Combined State Plan partners also played a critical role in the listening sessions conducted in the local areas.

The Kentucky Workforce Innovation Board (KWIB) conducted a statewide listening tour in preparation of the 2024 WIOA State Plan. From July through the end of October 2023, all ten Kentucky Local Workforce Development Areas (LWDA) contributed to the work.

The framework for the tour involved working with the local LWDA Board directors and their teams to invite workforce stakeholders to conduct a brief overview of the purpose of the WIOA State Plan and breakout into focus groups to gain insight into specific perspectives. The focus groups were broken into:

- Workforce Partners (community-based organizations, nonprofits, MOU partners, educators)

- Employers
- Elected Officials
- Individual Customers

In total, 33 focus groups were held that involved 348 participants in the listening tours with the breakdown of: 198 workforce partners, 82 employers, 51 elected officials, and 17 individual customers contributing their perspective.

The main line of questioning proposed to each group was a reflection on the existing workforce development system and a reimagined future state of workforce development, with the main intention of learning best practices, challenges, and opportunities that can be pursued.

#### V. COMMON ASSURANCES (FOR ALL CORE PROGRAMS)

The Unified or Combined State Plan must include assurances that:

The State Plan must include	Include
1. The State has established a policy identifying circumstances that may present a conflict of interest for a State Board or local board member, or the entity or class of officials that the member represents, and procedures to resolve such conflicts;	Yes
2. The State has established a policy to provide to the public (including individuals with disabilities) access to meetings of State Boards and local boards, and information regarding activities of State Boards and local boards, such as data on board membership and minutes;	Yes
3. The lead State agencies with optimal policy-making authority and responsibility for the administration of core programs reviewed and commented on the appropriate operational planning elements of the Unified or Combined State Plan, and approved the elements as serving the needs of the populations served by such programs;	Yes
4. (a) The State obtained input into the development of the Unified or Combined State Plan and provided an opportunity for comment on the plan by representatives of local boards and chief elected officials, businesses, labor organizations, institutions of higher education, the entities responsible for planning or administering the core programs, required one-stop partners and the other Combined Plan programs (if included in the State Plan), other primary stakeholders, including other organizations that provide services to	Yes

The State Plan must include	Include
<p>individuals with barriers to employment, and the general public, and that the Unified or Combined State Plan is available and accessible to the general public;</p> <p>(b) The State provided an opportunity for review and comment on the plan by the State Board, including State agency official(s) for the Unemployment Insurance Agency if such official(s) is a member of the State Board;</p>	
<p>5. The State has established, in accordance with WIOA section 116(i), fiscal control and fund accounting procedures that may be necessary to ensure the proper disbursement of, and accounting for, funds paid to the State through allotments made for the core programs to carry out workforce development activities;</p>	Yes
<p>6. The State has taken appropriate action to secure compliance with uniform administrative requirements in this Act, including that the State will annually monitor local areas to ensure compliance and otherwise take appropriate action to secure compliance with the uniform administrative requirements under WIOA section 184(a)(3);</p>	Yes
<p>7. The State has taken the appropriate action to be in compliance with WIOA section 188, Nondiscrimination, as applicable;</p>	Yes
<p>8. The Federal funds received to carry out a core program will not be expended for any purpose other than for activities authorized with respect to such funds under that core program;</p>	Yes
<p>9. The State will pay an appropriate share (as defined by the State board) of the costs of carrying out section 116, from funds made available through each of the core programs;</p>	Yes
<p>10. The State has a one-stop certification policy that ensures the physical and programmatic accessibility of all one-stop centers with the Americans with Disabilities Act of 1990 (ADA);</p>	Yes
<p>11. Service providers have a referral process in place for directing Veterans with Significant Barriers to Employment (SBE) to DVOP services, when appropriate; and</p>	Yes

The State Plan must include	Include
12. Priority of service for veterans and eligible spouses is provided in accordance with 38 USC 4215 in all workforce preparation, development or delivery of programs or services funded directly, in whole or in part, by the Department of Labor.	Yes

**VI. PROGRAM-SPECIFIC REQUIREMENTS FOR CORE PROGRAMS**

The State must address all program-specific requirements in this section for the WIOA core programs regardless of whether the State submits either a Unified or Combined State Plan.

**PROGRAM-SPECIFIC REQUIREMENTS FOR ADULT, DISLOCATED WORKER, AND YOUTH ACTIVITIES UNDER TITLE I-B**

The Unified or Combined State Plan must include the following with respect to activities carried out under subtitle B—

**A. GENERAL REQUIREMENTS**

**1. REGIONS AND LOCAL WORKFORCE DEVELOPMENT AREAS**

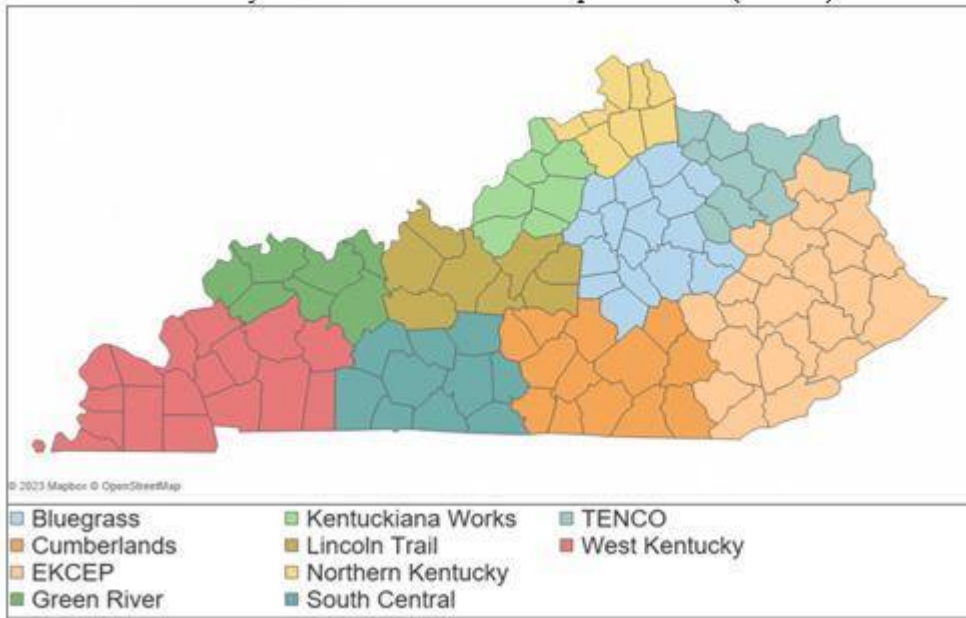
**A. IDENTIFY THE REGIONS AND THE LOCAL WORKFORCE DEVELOPMENT AREAS DESIGNATED IN THE STATE**

Kentucky identifies five regions and ten (10) local workforce areas delivering services as related to WIOA. The five (5) workforce regions have been identified as:

- Central Region consists of the Northern Kentucky, Lincoln Trail and Bluegrass local workforce development areas.
- East Region consists of the Eastern Kentucky Concentrated Employment Program (EKCEP) and Ten County Area (TENCO) local workforce development areas.
- South Central Region consists of the South Central and Cumberlands local workforce development areas.
- West Region consists of the Green River and West Kentucky workforce development areas.
- Bi-State, consisting of Southern Indiana Works Workforce Board and KentuckianaWorks Workforce Area.



Figure 10  
Kentucky's Local Workforce Development Areas (LWDA)



The ten (10) local workforce areas are:

- Bluegrass Local Workforce Area is composed of Anderson, Bourbon, Boyle, Clark, Estill, Fayette, Franklin, Garrard, Harrison, Jessamine, Lincoln, Madison, Mercer, Nicholas, Powell, Scott and Woodford counties.
- Cumberlandlands Local Workforce Area is composed of Adair, Casey, Clinton, Cumberland, Green, McCreary, Pulaski, Russell, Taylor, Rockcastle, Laurel, Whitley and Wayne counties.
- Eastern Kentucky Concentrated Employment Program Local Workforce Area composed of Bell, Breathitt, Carter, Clay, Elliot, Floyd, Harlan, Jackson, Johnson, Knott, Knox, Lawrence, Lee, Leslie, Letcher, Magoffin, Martin, Menifee, Morgan, Owsley, Perry, Pike and Wolfe counties.
- KentuckianaWorks Workforce Area — Greater Louisville Local Workforce Area is composed of Jefferson, Bullitt, Henry, Oldham, Spencer, Shelby and Trimble counties.
- Green River Local Workforce Area is composed of Daviess, Hancock, Henderson, McLean, Ohio, Union and Webster counties.
- Lincoln Trail Local Workforce Area is composed of Breckinridge, Grayson, Hardin, Larue, Marion, Meade, Nelson and Washington counties.
- Northern Kentucky Local Workforce Area is composed of Boone, Campbell, Carroll, Gallatin, Grant, Kenton, Owen and Pendleton counties.
- South Central Local Workforce Area is composed of Barren, Hart, Metcalfe, Monroe, Allen, Butler, Edmon— son, Logan, Simpson and Warren counties.
- TENCO Local Workforce Area is composed of Bath, Boyd, Bracken, Fleming, Greenup, Lewis, Mason, Montgomery, Robertson and Rowan counties.

- Western Kentucky Local Workforce Area is composed of Ballard, Caldwell, Calloway, Carlisle, Christian, Crittenden, Fulton, Graves, Hickman, Hopkins, Livingston, Lyon, Marshall, McCracken, Muhlenberg, Todd and Trigg counties.

**B. DESCRIBE THE PROCESS AND POLICY USED FOR DESIGNATING LOCAL AREAS, INCLUDING PROCEDURES FOR DETERMINING WHETHER THE LOCAL AREA MET THE CRITERIA FOR “PERFORMED SUCCESSFULLY” AND “SUSTAINED FISCAL INTEGRITY” IN ACCORDANCE WITH 106(B)(2) AND (3) OF WIOA. DESCRIBE THE PROCESS USED FOR IDENTIFYING REGIONS AND PLANNING REGIONS UNDER SECTION 106(A) OF WIOA. THIS MUST INCLUDE A DESCRIPTION OF HOW THE STATE CONSULTED WITH THE LOCAL BOARDS AND CHIEF ELECTED OFFICIALS IN IDENTIFYING THE REGIONS**

WIOA Title 1, Chapter 2, Section 106 outlines the requirements and process for the determination of regions and local areas including identification, types of regions, initial designation, subsequent designation, process, considerations, designation on recommendation by the state board and appeals. By July 1, 2015, the governor, in consultation with the Kentucky Workforce Investment Board (now Kentucky Workforce Innovation Board), developed a policy and procedure for the designation of all local areas, as well as a policy for the designation of new local areas. The policy included:

- Consultation with the state board.
- Consultation with the chief elected officials and affected local boards; and
- Consideration of comments received through a public comment process. The public comment period offered adequate time for public comment prior to the designation of the local workforce development area. It provided an opportunity for representatives of interested business, education and labor organizations to have input into the development of the formation of the local area.

The public comment period has offered adequate time for public comment prior to the designation of the local workforce development area. It provided an opportunity for representatives of interested business, education and labor organizations to have input into the development of the formation of the local area.

Specifically, Kentucky took a precise and comprehensive approach to area designation as follows:

- A request was made to the governor for a local area designation.
- KWIB established a steering committee.
- The steering committee developed draft recommendations for consideration based upon data, fiscal integrity and performance of current local areas.
- The Department of Workforce Investment (now the Department of Workforce Development) completed local input and public comment sessions and period on recommendations.
- The steering committee considered feedback, federal guidance, reviewed data, performance and fiscal integrity once again and finalized recommendations
- KWIB reviewed the public input received and the final recommendations from the steering committee.

KWIB made a recommendation to the governor on region and local area designations.

C. PROVIDE THE APPEALS PROCESS AND POLICY REFERRED TO IN SECTION 106(B)(5) OF WIOA RELATING TO DESIGNATION OF LOCAL AREAS

The appeal process is outlined as follows.

(1) A unit or combination of units of local government or a rural concentrated employment program grant recipient that requests but is not granted designation of an area as a local area by the Governor may submit an appeal to the State Board. 29 U.S.C. § 3121(b)(6)

(2) The appeal shall be filed no later than thirty (30) days after receipt of the denial of designation of an area as a local area by the Governor.

(3) The appeal shall be conducted pursuant to the administrative hearing requirements in KRS Chapter 13B.

(4) A unit or combination of units of local government or a rural concentrated employment program grant recipient that is dissatisfied with the decision of the State Board may request a review by the United States Department of Labor Secretary.

(5) The appeal shall be filed no later than thirty (30) days after receipt of written notification of the denial from the State Board. The appeal shall be submitted by certified mail, return receipt requested, to the Secretary, United States Department of Labor, Washington, D.C. 20210, Attention: ASET. A copy of the appeal shall be simultaneously provided to the State Board in care of the Executive Director, Kentucky Workforce Innovation Board, 500 Mero Street, 4<sup>th</sup> floor, Frankfort, Kentucky 40601 and the Department of Workforce Development, 500 Mero Street, 4<sup>th</sup> Floor, Frankfort, Kentucky 40601

(6) On appeal, the United States Department of Labor Secretary shall consider whether:

(i) the unit or grant recipient was not accorded procedural rights under the appeal process set forth in the State Plan, or

(ii) the unit or grant recipient meets the requirements for designation as a local area under 29 U.S.C. § 3121, as appropriate.

(7) The appeal shall be conducted in accordance with procedures established by the United States Department of Labor Secretary.

(8) The United States Department of Labor has confirmed that there is no appeal available regarding determinations under WIOA Section 106(b)(4).

D. PROVIDE THE APPEALS PROCESS AND POLICY REFERRED TO IN SECTION 121(H)(2)(E) OF WIOA RELATING TO DETERMINATIONS FOR INFRASTRUCTURE FUNDING

(1) The Governor, through assistance of the Kentucky Workforce Innovation Board, will make the final determination of each required partner's proportionate share of statewide infrastructure costs under the State funding mechanism.

(2) Any required partner may appeal the Governor's determination on the basis of a claim that:

(a) The Governor's determination is inconsistent with the proportionate share requirements of 20 CFR 678.735(a) or;

(b) The Governor's determination is inconsistent with the cost contribution caps described in 20 CFR 678.735(c) and 678.738.

(3) The process will ensure resolution of the appeal in order to ensure the funds are distributed in a timely manner, consistent with the requirements of 20 CFR 683.630.

(4) An appeal must be made within sixty (60) days of the Governor’s determination and must be submitted formally, in writing, by registered mail no later than the 60th day from the date of receipt of the notice of denial or revocation. The appeal must be submitted to the State Board in writing.

(5) The appeal must be signed/submitted by the chief executive officer of the one-stop partner submitting the appeal.

(6) The appeal must specify the circumstances and details of the appeal.

(7) The appeal may be made only on the ground that the Governor’s determination is inconsistent with proportionate share requirements in NPRM §678.735(a), the cost contribution limitations in §678.735(b), or the cost contribution caps in §678.735(c).

(8) The State Board will consider and rule on the appeal in writing within sixty (60) days of receipt.

## 2. STATEWIDE ACTIVITIES

### A. PROVIDE STATE POLICIES OR GUIDANCE FOR THE STATEWIDE WORKFORCE DEVELOPMENT SYSTEM AND FOR USE OF STATE FUNDS FOR WORKFORCE INVESTMENT ACTIVITIES

WIOA Planning and Policy Documents			
Category	Document Type	Effective	Title
AJC & WIOA	Policy	7/1/2015	15-001 WIOA Local Workforce Development Board Composition, Membership, Certification, and Functions (with attachments)
AJC & WIOA	Policy	11/1/2021	15-002 - Workforce Innovation and Opportunity Act - Interlocal Agreements, Chief Local Elected Official and Local Elected Official Roles and Responsibilities
AJC & WIOA	Policy	10/1/2015	15-003 - WIOA Local Elected Official(s) and Local Workforce Development Board Partnership Agreement

WIOA Planning and Policy Documents			
AJC & WIOA	Policy	4/6/2021	16-006 - Adult Priority of Service
AJC & WIOA	Policy	10/1/2020	16-008 - Transfer of Funds between the Adult and Dislocated Worker Local Formula Funds
AJC & WIOA	Policy	11/1/2021	17-001 - Local Workforce Board Staff Hiring
AJC & WIOA	Policy	11/1/2021	17-002 - Internal Controls and Conflicts of Interest Requirements for Entities Performing Multiple Functions
AJC & WIOA	Policy	10/1/2020	17-003 - Recapture and Re-Allotment
AJC & WIOA	Policy	4/6/2021	18-001 - Co-Enrollment Requirements for All One-Stop Partners
AJC & WIOA	Guidance/Procedure	7/1/2020	20-003 - Supportive Services
AJC & WIOA	Policy	2/9/2021	21-004 Workforce Online Reporting for Kentucky (WORK) System Monthly Expenditures
AJC & WIOA	Policy	1/1/2021	21-006 - Electronic Power of Attorney - WOTC Program
AJC & WIOA	Policy	2/1/2021	21-007 - Local and Regional Plans
AJC & WIOA	Guidance/Procedure	4/30/2021	21-008 - WOTC Guidance - Conditional Certification Program
AJC & WIOA	Policy	2/15/2022	22-001 - Data Entry Policy
AJC & WIOA	Policy	2/15/2022	22-002 - Case Notes Policy

WIOA Planning and Policy Documents			
AJC & WIOA	Policy	8/12/2022	22-003 - Disaster Recovery National Dislocated Worker Grant (DWG) Statewide Long-Term Unemployed and Significantly Underemployed Definitions
AJC & WIOA	Policy	3/16/2023	23-001 Allowable Costs
AJC & WIOA	Policy	3/16/2023	23-002 Common Exit From WIOA Partner Programs
AJC & WIOA	Policy	3/16/2023	23-003 Title I Formula Allocation Methodology
AJC & WIOA	Policy	3/16/2023	23-004 Trade Payments Reconciliation
Vets	Policy	3/16/2023	23-005 Veteran Referral Process
AJC & WIOA	Policy	3/16/2023	23-006 Financial Reporting Requirements
AJC & WIOA	Policy	7/13/2023	Data Validation (with attachments)
AJC & WIOA	Policy	10/19/2023	23-012 Kentucky Career Center American Job Center Common Identifier and Kentucky Career Center Brand Guidelines
	Memo	3/28/2022	DWI Expected Performance Measures FY22 & PY23
AJC & WIOA	Policy	3/16/2023	Grievance and Appeals Procedures for WIOA Program
	Guidance/Procedure	8/22/2022	KY Workforce Innovation Board By-Laws

WIOA Planning and Policy Documents			
Vets	Guidance/Procedure	3/16/2023	Standard Operating Procedures Jobs for Veterans State Grant (JVSG)

**B. DESCRIBE HOW THE STATE INTENDS TO USE GOVERNOR'S SET ASIDE FUNDING FOR MANDATORY AND DISCRETIONARY ACTIVITIES, INCLUDING HOW THE STATE WILL CONDUCT EVALUATIONS OF TITLE I ADULT, DISLOCATED WORKER, AND YOUTH ACTIVITIES.**

In Kentucky, the Office of Employer and Apprenticeship Services (OEAS) is the established unit designed to work with local Rapid Response coordinators and the workforce development systems in the administration of WIOA and business service team's layoff aversion/ Rapid Response programs. OEAS jointly works with Kentucky's Business Service Teams Rapid Response programs to ensure compliance with federal and state requirements

OEAS is a partner in the Kentucky Career Center (KCC) and is committed to providing workforce development solutions throughout the business cycle to all of its customers and can do so with delivery of layoff aversion strategies intended to avert or mitigate employer layoffs and/or closure.

These layoff aversion strategies, as outlined in 20 CFR 682.320, include, but are not limited to:

1. Providing assistance to employers in managing reductions in force, which may include:

- a. Early identification of firms at risk of layoffs (e.g., early warning networks or trend monitoring)
- b. Assessment of the needs of and options for at-risk firms (e.g., asset mapping, employee buy-outs, or succession planning); and
- c. The delivery of services to address these needs, as provided by section 134(d)(1)(A)(ix)(II)(cc)

2. Ongoing engagement, partnership, and relationship building activities with businesses in the community, in order to create an environment for successful layoff aversion efforts and to enable the provision of assistance to dislocated workers in obtaining reemployment as soon as possible

3. Funding feasibility studies to determine if a company's operations may be sustained through a buyout or other means to avoid or minimize layoffs

4. Developing and managing rapid response incumbent worker training (RRIWT) programs or other worker skills upgrading approaches

a. Employers may benefit from the following types of training for incumbent workers:

- Skills upgrade training
- Customized training
- Occupational skills training

b. Local areas may apply for Rapid Response Additional Assistance Layoff Aversion funds to support an incumbent worker project as part of a layoff aversion strategy. To apply for these funds, local areas must send a request for Rapid Response Addition Assistance by specifically selecting the funding type of "Layoff Aversion." , Per guidance, the following information is needed to be sent to the Office of Employer & Apprenticeship Services in the Department of Workforce Investment, Education and Workforce Development Cabinet:

- Copy of the company's request/application to the local area,
- Letter to OEAS requesting the funds including attachment A of the RRAA guidance,
- Justification that supports funds will be used for layoff aversion, and
- Description of the incumbent worker training to be provided.

5. Connecting companies to:

- Program such as On the Job Training (OJT), Work Experience, Incumbent Worker Training (IWT) or other programs designed to prevent layoffs or to quickly reemploy dislocated workers;
- Financial incentive programs from the Kentucky Economic Development Finance Authority, such as the Kentucky Reinvestment Act (KRA). KRA provides tax credits to an existing Kentucky company engaged in manufacturing and related functions on a permanent basis for a reasonable period of time that will be investing in eligible equipment and related costs of at least \$2,500,000 while agreeing to maintain at least 85% of their full-time employment base (KRS 154.34). For more information see <https://ced.ky.gov/kyedc/pdfs/KRAFactSheet.pdf?35>;
- Employer loan programs for employee skill upgrading; and
- Other Federal, State, or local resources as necessary to address other business needs that cannot be funded with resources provided under this title;

6. Establishing linkages with economic development activities at the Federal, State, and local levels, including Federal Department of Commerce programs and available State and local business retention and expansion activities;

7. Partnering or contracting with business-focused organizations to assess risks to companies, propose strategies to address those risks, implement services, and measure impacts of services delivered;

8. Conducting analyses of the suppliers of an affected company to assess their risks and vulnerabilities from a potential closing or shift in production of their major customer;



9. Engaging in proactive measures to identify opportunities for potential economic transition and training needs in growing industry sectors or expanding businesses;

10. Connecting businesses and workers to short-term, on-the-job, or customized training programs and apprenticeships before or after layoff to help facilitate rapid reemployment; and

11. Last, providing Rapid Response services thru the LWDA Rapid Response team per the Kentucky Career Center Rapid Response Manual

Based upon a thorough needs assessment, it may be determined that an employer could be better served through a program not funded by WIOA. Therefore, it is important to gather sufficient information and work with the Local Business Services team and networks to determine the appropriate mix of services to meet the employers' needs.

Furthermore, WIOA funds for layoff aversion activities should be used to establish or develop layoff aversion strategies; the funds are not to be used for the maintenance of such strategies. The goal is to develop a layoff aversion strategy that will become self-sustaining.

C. DESCRIBE HOW THE STATE WILL UTILIZE RAPID RESPONSE FUNDS TO RESPOND TO LAYOFFS AND PLANT CLOSINGS AND COORDINATE SERVICES TO QUICKLY AID COMPANIES AND THEIR AFFECTED WORKERS. STATES ALSO SHOULD DESCRIBE ANY LAYOFF AVERSION STRATEGIES THEY HAVE IMPLEMENTED TO ADDRESS AT RISK COMPANIES AND WORKERS.

Rapid Response is a funded service through Rapid Response funds. Trade is required to be a part of Rapid Response and is required to provide Rapid Response services to potential Trade impacted workers. Lay-off aversion and such are handled through the Rapid Response unit. Information regarding company closures and statewide Rapid Response information is provided by staff within our Office of Employment and Apprenticeship Services.

D. DESCRIBE THE STATE POLICIES AND PROCEDURES TO PROVIDE RAPID RESPONSES IN CASES OF NATURAL DISASTERS INCLUDING COORDINATION WITH FEMA AND OTHER ENTITIES.

Rapid Response strategies and initiatives play a pivotal role in addressing closures, layoffs, or extensive job dislocations, including those arising from natural disasters. The paramount goal is to expedite the transition of dislocated workers into new employment opportunities. In instances of natural disasters, the Rapid Response emergency assistance provisions are tailored to align with the unique characteristics of the disaster. The Kentucky Career Center (KCC) Rapid Response Unit operates collaboratively under the direction of the Kentucky Emergency Management (KEM) accessible at <https://kyem.ky.gov/> and the Federal Emergency Management Association (FEMA) at <https://www.fema.gov/>.

Within the bounds of reasonableness, necessity, and permissibility, the Rapid Response initiative may extend guidance and financial support to establish local community transition teams. These teams play a crucial role in organizing support for dislocated workers and addressing the fundamental needs of their families, encompassing provisions for heat, shelter, food, clothing, and other essential services. The collaborative effort goes beyond the resources and capabilities of the KCC alone. Following the immediate and initial response, if required, the KCC Rapid Response Unit will closely coordinate with KEM and FEMA to facilitate the delivery

of services for the project, including the involvement of local workforce development area Rapid Response teams. This coordination may also involve the submission of an application for a National Dislocated Worker Grant, if deemed necessary.

The procedural steps outlined below articulate the actions to be taken by the agency responsible for managing the aftermath of a disaster, all within the context of the WIOA state plan:

1. Identification of the affected location WIOA area(s) and specific counties – overseen by the KCC State Rapid Response Unit.
2. Contacting the appropriate WIOA area designees for both the workforce development board and fiscal agent – managed by the KCC State Rapid Response Unit.
3. Establishing communication with KEM and FEMA – coordinated by the KCC State Rapid Response Unit.
4. Ensuring robust communication and collaboration between KCC Rapid Response efforts and the initiatives of KEM and FEMA – directed by the KCC State Rapid Response Unit.
5. Discussion on the extent of the disaster and the availability of dislocated worker funds – led by the KCC State Rapid Response Unit.
6. Deliberation on projected participant service levels and re-employment need to address disaster-related outcomes – overseen by the KCC State Rapid Response Unit
7. Providing Rapid Response Additional Assistance funding request forms to local WIOA area(s) for additional funds – managed by the KCC State Rapid Response Unit.
8. Processing and reviewing the Rapid Response Additional Assistance application and making recommendations for funding – handled by the KCC State Rapid Response Unit.
9. Informing the local WIOA area designee about the approval of the award by the KCC Rapid Response Unit.
10. Determining is an application for National Dislocated Worker Grant funds is necessary – a responsibility of the KCC State Rapid Response Unit.

The policies and protocols developed through collaborative efforts will be implemented in the event of any subsequent significant natural disaster.

E. DESCRIBE HOW THE STATE PROVIDES EARLY INTERVENTION (E.G., RAPID RESPONSE) AND ENSURES THE PROVISION OF APPROPRIATE CAREER SERVICES TO WORKER GROUPS ON WHOSE BEHALF A TRADE ADJUSTMENT ASSISTANCE (TAA) PETITION HAS BEEN FILED. (SECTION 134(A)(2)(A) AND TAA SECTION 221(A)(2)(A) .) THIS DESCRIPTION MUST INCLUDE HOW THE STATE DISSEMINATES BENEFIT INFORMATION TO PROVIDE WORKERS IN THE GROUPS IDENTIFIED IN THE TAA PETITIONS WITH AN ACCURATE UNDERSTANDING OF THE PROVISION OF TAA BENEFITS AND SERVICES IN SUCH A WAY THAT THEY ARE TRANSPARENT TO THE DISLOCATED WORKER APPLYING FOR THEM (TRADE ACT SEC. 221(A)(2)(A) AND SEC. 225; GOVERNOR-SECRETARY AGREEMENT). DESCRIBE HOW THE STATE WILL USE FUNDS THAT HAVE BEEN RESERVED FOR RAPID RESPONSE TO PROVIDE SERVICES FOR EVERY WORKER GROUP THAT FILES A TAA PETITION AND HOW THE STATE WILL ENSURE THE PROVISION OF APPROPRIATE CAREER SERVICE TO WORKERS IN THE GROUPS IDENTIFIED IN THE PETITION (TAA SEC. 221(A)(2)(A)).NOTE: UNTIL THE TAA PROGRAM IS REAUTHORIZED, THE REQUIREMENTS TO PROVIDE RAPID RESPONSE AND

APPROPRIATE CAREER SERVICES TO WORKER GROUPS ON WHOSE BEHALF A PETITION HAS BEEN FILED IS NOT APPLICABLE.

Rapid Response activities include services from the following agencies:

- State and local economic development
- State and local Unemployment Insurance Benefit Programs
- Labor Market Information programs of OEAS, CDO, Adult Education, CPE, OVR
- State and local health and family services programs
- Local health departments
- Trade Adjustment Assistance Program (if qualified)
- The USDOL Employee Benefit Security Administration
- WIOA one-stop system Dislocated Worker Program services

Rapid Response services are designed to be seamless with other local one-stop services. Employees and employers receive one-stop service information during their respective service sessions. Also, during the initial on—site meeting, the local coordinator assesses whether the employer meets the criteria of a trade impacted employer in accordance with the standards established by the Trade Adjustment Assistance Act as amended. The local coordinator assists the employer with the completion and submission of a trade petition to the Office of Trade Adjustment Assistance.

In Kentucky, the Rapid Response program operates in essentially the same manner regardless of whether a TAA petition or certification is involved.

The state extends Rapid Response services to all worker groups (or on an individual basis, if applicable) covered by a TAA petition just as it provides Rapid Response services to any worker group that has been or will be permanently laid off.

In most cases, the state and its local Rapid Response team are already aware of a given dislocation event and Rapid Response activities are underway before a TAA petition is filed. If a TAA petition is the first notice of a dislocation event, the state will notify the local Rapid Response team, which will contact the employer and associated union(s) to plan worker transition services.

The minimum level of services extended must conform to established requirements described in the Statewide Activities section. When Rapid Response is extended to potentially TAA eligible worker groups, basic TAA program information must be shared, including the program enrollment process should certification occur. If the state does not have access to the worker group prior to layoff; the state will use UI claimant information to identify potentially affected workers. In this situation, the local Rapid Response team will be required to extend outreach to the laid off workers using contact information obtained from UI.

At minimum, the outreach materials must include information about the WIOA Dislocated Worker Program and basic information explaining the TAA program.

A local area may request Rapid Response funding in the form of Dislocation Grants and Additional Assistance Grants to serve potentially TAA—eligible worker groups in the same manner it requests funds for all other worker groups. The only difference is that Additional

Assistance funding can't be used to fund training once a worker group is covered by a TAA certification. If a TAA petition is certified, the state's TAA program is responsible for identifying individuals potentially eligible under the certification through worker lists supplied by the employer and/or UI claimant information.

The TAA program then uses a standard mailer to contact the potentially eligible individuals, inviting them to attend a Trade Orientation Session to learn about program benefits and register. At Trade Orientation Sessions, TAA program staff review program benefits, the process for accessing the benefits, and critical deadlines. Orientation participants are also provided written materials and referred to a handbook that covers the TAA program benefits, specific to the participant's TAA amendment year.

A representative from the WIOA Dislocated Worker program is present during orientation sessions to cover basic information about that program, enrollment and an explanation of the advantages of dual enrollment.

Kentucky is committed to continually exploring ways to make TAA program information more user friendly and improve coordination between the TAA and WIOA programs. Rapid Response teams are familiar with benefits and services offered under the trade program and attend all local or statewide trade trainings.

## B. ADULT AND DISLOCATED WORKERS PROGRAM REQUIREMENTS

### 1. WORK-BASED TRAINING MODELS

If the State is utilizing work-based training models (e.g. on-the-job training, incumbent worker training, transitional jobs, and customized training) as part of its training strategy and these strategies are not already discussed in other sections of the plan, describe the State's strategies for how these models ensure high quality training for both the participant and the employer.

In alignment with the Education and Labor Cabinet's increased focus on work-based learning, the services are actively engaging employers to develop positions offering integrated training and educational components. To further this initiative, all WIOA Title I and Trade programs are undergoing revisions to encompass expanded opportunities for on-the-job training, work experience, and Registered Apprenticeships.

### 2. REGISTERED APPRENTICESHIP

Describe how the State will incorporate Registered Apprenticeship into its strategy for service design and delivery (e.g., outreach to sponsors and prospective sponsors, identifying potential participants and connecting them to apprenticeship opportunities).

In the commitment to incorporating Registered Apprenticeship Programs (RAP) into the state's service design and delivery strategy for the next four years, the Office of Employer and Apprenticeship Services (OEAS) places a strong emphasis on outreach to sponsors and prospective sponsors, identifying potential participants, and connecting them to apprenticeship opportunities. We recognize that collaboration with various workforce partners across the state is pivotal to this endeavor, and the Kentucky Career Center serves as the unifying force connecting these efforts.

The approach encompasses working closely with a range of internal workforce partners, including the Office of Adult Education, Kentucky Department of Libraries and Archives, Career Development Office, Office of Vocational Rehabilitation, Kentucky Governor's Office of Early

Childhood, and the Workforce Innovation Board. This collaboration ensures a holistic approach to identifying and connecting potential participants with apprenticeship opportunities.

The Kentucky Career Center plays a central role in this process, acting as the linchpin in coordinating the efforts of all these partner organizations. As the connector, the Career Center ensures that orders and information are efficiently cascaded down to the local level, thus bridging the gap between workforce partners and prospective sponsors.

Through this concerted effort, we aim to achieve the following:

1. **Seamless Outreach:** Our engagement with workforce partners ensures a coordinated and comprehensive approach to reaching out to both sponsors and potential participants. By pooling resources and expertise, we can effectively target employers interested in the apprenticeship model and individuals eager to participate.
2. **Enhanced Identification:** The collaboration with various partners enables us to tap into a wider network and expertise pool for identifying potential participants. By leveraging their specific insights and resources, we can better tailor our approach to various demographics and industries.
3. **Efficient Connection:** The Kentucky Career Center's role as the central connector streamlines the process of matching potential apprentices with suitable opportunities. This not only reduces friction in the registration and placement process but also ensures that apprentices are connected with sponsors that align with their skills and career aspirations.
4. **Education and Training Coordination:** Our association with local community colleges (KCTCS), high schools, and the Department of Career and Technical Education allows us to align educational and training resources with the needs of sponsors, ensuring that apprentices are well-prepared for their roles.

By working in close concert with our network of workforce partners and with the Kentucky Career Center as the linchpin, our state plan will harness the collective strength of these entities to propel Registered Apprenticeships into the forefront of our workforce development strategy. This approach guarantees a robust and comprehensive program that efficiently identifies potential participants, links them with apprenticeship opportunities, and strengthens the overall workforce fabric of Kentucky.

### 3. TRAINING PROVIDER ELIGIBILITY PROCEDURE

Provide the procedure, eligibility criteria, and information requirements for determining training provider initial and continued eligibility, including Registered Apprenticeship programs (WIOA Section 122).

Kentucky's Eligible Training Provider List (ETPL) is a web-based system that allows training institutions to electronically submit their applications for approval by the Department of Workforce Development (DWD). Training institutions and their programs that meet specific criteria may be eligible for Kentucky's ETPL. Eligible training providers may deliver occupational training programs to Workforce Innovation and Opportunity Act (WIOA) participants. Training institutions, LWDAs, KCCs, as well as the public at-large, may access the list of approved providers at [www.etpl.ky.gov](http://www.etpl.ky.gov).

The purpose of this policy is to provide new information, criteria and procedures for the Eligible Training Provider Listing (ETPL) usage and implementation. This policy addresses the activities of the local workforce development areas (LWDAs), Kentucky Career Center (KCC) staff, as well

as those providers wishing to offer services to individuals whose training is funded through the Workforce Innovation and Opportunity Act of 2014. This update also includes guidance on the inclusion of Registered Apprenticeship programs into the ETPL functions.

### **ETPL Application Process**

The application process begins with the submission of three types of information:

1. Information regarding the Training Provider Agency or Entity
2. Information about Program Offerings
3. Student Data Collection

For information referenced in numbers 1 and 2, the information is collected via the ETPL website (<https://etpl.ky.gov>). The third piece is collected through a partner agency, the Kentucky Center for Statistics (KYSTATS).

The following is an overview of the steps required for completing the application process:

1. **Creation of ETPL Account:** Using the ETPL website (<https://etpl.ky.gov>), providers create an account to access the system. Providers must provide basic information such as Federal Employee Identification Number, email, and designation of 'provider type.' Providers fall under one of four types (categories):
  1. HEA Title IV Funded School
  2. Proprietary School
  3. Registered Apprenticeship
  4. Other (includes non-profits and schools such as cosmetology, faith-based, and mortuary science schools that do not fall under the purview of the Commission on Proprietary Education).

Any private, for-profit provider of training classes within Kentucky must have registered and received a proprietary license issued by the Kentucky Commission on Proprietary Education before they may be included on the ETPL. More information about the Kentucky Commission on Proprietary Education can be found at <http://kcpe.ky.gov/>.

Upon creation of the ETPL account, the provider submits the necessary information to the state's ETPL Coordinator. Once the information is reviewed and the account is approved by the Coordinator, the provider receives approval to access the ETPL site.

2. **Completion of the Provider Application:** The Provider Application is located within the ETPL website and captures pertinent information about the provider. Providers must successfully complete this step before training programs will be considered for approval and inclusion. Information collected on the application includes:
  - Year institution/entity established
  - Proprietary license number (if applicable)
  - Refund policy information
  - Narrative discussions regarding ability to provide training to individuals who are employed; ability to provide training to those with barriers to employment; how the

provider is partnered with local business; and how training services align with local, in-demand industry sectors and in-demand occupations

- Compliance with the 1990 Americans with Disabilities Act (ADA)
  - Provider's ability to provide an accessible training site to those with limited mobility
  - How provider collects student data (required for WIOA reporting)
  - A copy of the provider's Equal Opportunity Employment Plan
  - A copy of the provider's Limited English Proficiency Plan (LEP)
3. **Completion of Program Application\***: Providers must complete an application for each program they wish to be included on the ETPL. Information collected for each program includes:
- a. Program name
  - b. CIP code (link to codes provided on application screen)
  - c. Training program description
  - d. Date program established
  - e. Tracking plan to gather student data (required for WIOA)
  - f. HEA status (approved or not)
  - g. Degree or certificate awarded
  - h. Length of training program
  - i. Availability of online program
  - j. Costs of training program (tuition, textbooks, supplies, fees, miscellaneous costs)

Address of training program (Providers with programs at multiple locations/campuses do not have to submit multiple applications; instead, they can list multiple locations for each program.)

4. **Register with and upload student data to KYSTATS**: The KYSTATS website, <https://kystats.ky.gov>, gives detailed instructions on how providers can register and submit student level data. **PLEASE NOTE**: In-state colleges and universities that submit their student level data to the Council on Postsecondary Education (CPE) are exempt from this step because KYSTATS already has access to CPE's information.

*\*Application Process for Registered Apprenticeship (RA) Programs*: Because of the difference in the nature and oversight of the programs, the path for application to ETPL is somewhat different for Registered Apprenticeship Programs. By WIOA statute (Section 122), all Registered Apprenticeship Programs that express interest in being listed on ETPL must be included. Registered Apprenticeship Providers still must create an account and register on the ETPL website. However, they do not have to complete the Provider Application as their inclusion in the state's RA listing serves as approval. Once the RA program applies—and inclusion is verified on the state RA list -- the program will be approved by the state's ETPL Coordinator and placed on the ETPL website.

### **ETPL Approval Process**

Once the provider has completed all necessary application steps, the state ETPL Coordinator will review and approve programs. Programs that meet all requirements, and that fall within one of the in-demand industry sectors utilized by the ten local workforce development areas, will be approved. Programs that do not meet all requirements, or that fail to send complete information, will be placed in pending status until the issues can be resolved or requirements can be met. Programs that fall under the 'proprietary' category can also be placed in pending status if there is an issue with their good standing with the Kentucky Commission on Proprietary Education. Once issues are resolved, the proprietary school can be placed in good standing.

### **Removal from the ETPL**

Removal from the ETPL may occur for various reasons, including:

1. Training Provider representatives may, in writing, request to have their school and/or program removed from the ETPL for any reason at any time;
2. Training Providers that willfully and knowingly submit false information will be removed;
3. Training Providers that fail to meet required Subsequent Eligibility Requirements will be removed; and
4. Training Providers that fail to maintain required certifications and licenses will be removed.

### **Subsequent Eligibility Determination**

Programs will be evaluated on a biannual basis to determine subsequent eligibility based on student performance data. To remain on the list, providers must maintain a completion rate of 20% and an entered employment rate of 50%.

### **Program Performance Listing on ETPL (Program Report Card)**

In allowing for greater informed consumer choice, the following performance data for each program will be displayed with the program listing:

1. completion rate (number completed);
2. entered employment rate (employed second quarter after exit);
3. employment retention rate (employed fourth quarter after exit);
4. average earnings (median earnings second quarter after exit); and
5. skills credential.

Local boards, with the creation and implementation of local written policy, have the option of requiring higher levels of performance for programs, as well as requesting additional performance information from providers.

### **Submission of Student Level Data**



Training Providers will be required to submit student level data on ALL participants in listed programs each year for inclusion on ETPL. This information will be submitted through the KYSTATS website, <https://kystats.ky.gov>. Programs cannot be approved until data submission has been accepted and passed necessary validation of completion. The list of required data is found on the KYSTATS website. All data must be submitted no later than January 31<sup>st</sup> of the following program year.

### **Exclusions from Performance Calculations**

Individuals may be excluded from performance if they did not complete the course/program due to any of the following: 1) institutionalized; 2) health/medical or family care; 3) deceased; or 4) member of military forces called to active duty.

### **Utilizing Out-of-State Training Providers**

Kentucky allows out-of-state schools/programs to apply to be on the ETPL via a Reciprocal Agreement if the school or program accepts Kentucky Educational Excellence Scholarship funding ([www.kheaa.com](http://www.kheaa.com)).

### **Compliance and Monitoring**

Training Providers that receive federal financial assistance under WIOA Title I must comply with the Americans with Disabilities Act (ADA) of 1990 and the nondiscriminatory and Equal Employment provisions of federal law. Compliance for both is monitored through the application process and a desk review of submitted documents and plans. Performance monitoring of providers will take place through the yearly submission of student data and subsequent analysis.

4. DESCRIBE HOW THE STATE WILL IMPLEMENT AND MONITOR FOR THE ADULT PRIORITY OF SERVICE REQUIREMENT IN WIOA SECTION 134 (C)(3)(E) THAT REQUIRES AMERICAN JOB CENTER STAFF, WHEN USING WIOA ADULT PROGRAM FUNDS TO PROVIDE INDIVIDUALIZED CAREER SERVICES AND TRAINING SERVICES, TO GIVE PRIORITY OF SERVICE TO RECIPIENTS OF PUBLIC ASSISTANCE, LOW-INCOME INDIVIDUALS, AND INDIVIDUALS WHO ARE BASIC SKILLS DEFICIENT (INCLUDING ENGLISH LANGUAGE LEARNERS).

In adhering to the Adult Priority of Service requirement in WIOA section 134(c)(3)(E), which mandates that American Job Center staff prioritize recipients of public assistance, low-income individuals, and individuals who are basic skills deficient (including English language learners) when using WIOA Adult program funds for individualized career and training services, the Office of Employer and Apprenticeship Services, in collaboration with the ETPL Coordinator, is dedicated to a proactive and vigilant approach.

To effectively implement and monitor this priority of service requirement, we have devised a multifaceted strategy:

1. **Training and Capacity Building:** The Office of Employer and Apprenticeship Services and the ETPL Coordinator will collaborate closely with state and local Workforce Innovation Boards and local WIOA contractors. This partnership is instrumental in ensuring that front-line employees, including American Job Center staff, are well-informed and adequately trained on the requirements and nuances of the priority of service provisions. This training will equip them with the knowledge and skills necessary to identify and provide specialized services to eligible individuals promptly.

2. Clear Guidelines and Procedures: We are committed to developing and providing clear and concise guidelines and procedures that outline how the priority of service should be implemented in practice. These guidelines will include detailed instructions on identifying eligible individuals and the specific services and support they are entitled to under WIOA. By disseminating this information throughout our workforce network, we ensure consistent and equitable service delivery.

3. Application Monitoring: The implementation of the Adult Priority of Service requirement also necessitates robust application monitoring processes. Our strategy includes training front-line staff and monitors to ensure that WIOA applications for services are not only processed efficiently but also filled out completely and accurately. This proactive approach helps in the accurate determination of eligibility and prevents inadvertent discrimination against eligible individuals.

4. Regular Audits and Compliance Checks: To maintain accountability and adherence to the priority of service requirement, we will conduct regular audits and compliance checks. This includes periodic reviews of service delivery to verify that the priority individuals are receiving the support they are entitled to, as well as assessing the accuracy and completeness of application processes.

5. Feedback Mechanisms: We will establish mechanisms for feedback and reporting. Front-line staff, monitors, and clients will have channels through which they can report concerns or violations of the priority of service requirement. This feedback loop ensures that any issues are addressed promptly and that corrective actions are taken.

In conclusion, our approach to implementing and monitoring the Adult Priority of Service requirement in WIOA is comprehensive and focused on ensuring equitable access to services for the specified priority groups. Through training, clear guidelines, application monitoring, audits, and feedback mechanisms, we aim to create a system that not only adheres to federal regulations but also reflects our commitment to the welfare and development of all eligible individuals in our state. This approach ensures that the American Job Center staff provide tailored, supportive, and effective services to those who need them most.

#### 5. DESCRIBE THE STATE'S CRITERIA REGARDING LOCAL AREA TRANSFER OF FUNDS BETWEEN THE ADULT AND DISLOCATED WORKER PROGRAMS

Under the Workforce Innovation and Opportunity Act (WIOA), a local workforce board may transfer up to 100 percent of an area's program year formula allocation between adult and dislocated worker funds. This authority is provided under WIOA as long as the request meets the Governor's approval.

Policy 16-008 provide the guidance and parameters for transferring up to 100 percent of a program year allocation for adult employment and training activities and up to 100 percent of a program year allocation for dislocated worker employment and training services between the two programs.

Request of funds -- The transfer request must be submitted on the attached form and contain the following information:

- Justification for the transfer (e.g. depletion of current funds, why a need to transfer, etc.);
- How the funds transfer will impact the participant levels in both programs;

- Transfer's effect on potential recipients of services under each funding stream.
- Description of expected impact on WIOA performance outcomes for both funding streams; and
- Assurance of adequate funding for remainder of program year.

Funds not subject to transfer requests - The following funds are not subject to transfer:

- Adult or dislocated worker funds reallocated by the Department of Workforce Development;
- Funds awarded to the state under National Dislocated Worker Grants (NDWG);
- Funds reserved under the Governor's 15 percent discretionary rules; and
- Youth Funds Considerations - Transfer requests may be submitted anytime during the two-year period of availability of funds.

Funds transferred must stay within the original year of obligation. They must also stay within their respective obligation time period. Accordingly, local areas cannot transfer funds between program years. In addition, local areas must ensure that funds are not overdrawn during the time a transfer takes place. If this occurs, the transfer will not be approved.

When submitting a transfer of funds request, the request MUST include the following:

- Current labor market information to assess justification for the request to transfer the funds.
- Current performance data to assess justification in the transfer of funds.
- Summarization of the outreach process and recent increases in numbers.
- How the transfer will affect the cost per participant and the LWDB has adjusted the cost per participant for the local area
- Assurance that the LWDB has made every effort to recruit and market the availability of services to participants

Local Workforce Development Boards (LWDBs) should be aware that the lack of or a limited number of participants for a particular funding stream does not automatically provide justification for a transfer of funds from one program to another program.

Requests for transfers must be made by email and must be signed by the designated fiscal agent. LWDBs should consult with Program Directors to ensure that funding requests are in line with local and regional plans with regard to the ability to serve adult and dislocated workers based on area needs and percentages.

Implications of transferring 100 percent of funds - Local areas may not apply for additional assistance funds based on the contention of dislocated worker allocation "formula insufficiency" resulting from the transfer. However, if a local area transfers 100 percent of its dislocated worker formula funds and a dislocation event occurs in the local area, (e.g., specific employer layoff or disaster that changes the local economic conditions), the state will consider a local area request for additional assistance funds on a case-by-case basis.

Monitoring - At the local level, the workforce development area and/or the fiscal agent must conduct oversight of the transfer of WIOA adult and dislocated worker funds to ensure the transfer is being completed per this policy.

Through the state's monitoring system, fiscal monitors will review the area's transfer of adult and dislocated worker funds during the annual onsite monitoring review for compliance with federal and state laws and regulations.

Any issues will be handled through the state's monitoring resolution process. Submission Process - LWDAs shall submit the completed form to Compliance.Unit@ky.gov for processing.

6. DESCRIBE THE STATE'S POLICY ON WIOA AND TAA CO-ENROLLMENT AND WHETHER AND HOW OFTEN THIS POLICY IS DISSEMINATED TO THE LOCAL WORKFORCE DEVELOPMENT BOARDS AND REQUIRED ONE-STOP PARTNERS. TRADE ACT SEC. 239(F), SEC. 235, 20 CFR 618.325, 20 CFR 618.824(A)(3)(I).

POLICY NAME: CO-ENROLLMENT REQUIREMENTS FOR ALL ONE-STOP PARTNERS POLICY NUMBER: 18-001 DATE OF ISSUE: Reissued March 1, 2023 EFFECTIVE DATE: April 6, 2021

PURPOSE: The One Workforce System embraces a culture of a united workforce so that a customer may be served by any staff member within a Kentucky Career Center. In order to implement this policy, individuals enrolled in WIOA Title I Adult and Dislocated Worker Programs must be co-enrolled in both Wagner-Peyser and the Trade Adjustment Assistance (TAA) Programs, if applicable. Although WIOA encourages co-enrollment in all four core programs (i.e., WIOA Title I, Wagner-Peyser, Vocational Rehabilitation and Adult Education) this policy addresses REQUIRED co-enrollment of participants under the WIOA Title I Adult and Dislocated Worker (DW) programs, Wagner-Peyser, and the Trade Adjustment Assistance. In addition to the USDOL required co-enrollment with the WIOA DW program, based on the needs of the trade-affected worker, co-enrollment can be further enhanced and expanded to include a broad range of services available through other workforce programs in order to produce successful outcomes. Such programs include, but are not limited to, Wagner-Peyser Act Employment Service (ES) activities, WIOA Adult program, WIOA Dislocated Worker Grant (DWG) program, Unemployment Insurance (UI), other WIOA partner programs, faith-based and community-based programs, vocational rehabilitation services, and services for veterans

activities will be co-enrolled in Wagner-Peyser, WIOA, and if eligible Trade Adjustment Assistance through an automated process in the state's official system of record. Staff shall ensure the correct activities are recorded for the respective programs and verify DOB/Vets information in the system of record. Customers will then be co-enrolled and counted in both Wagner-Peyser, WIOA, and if eligible Trade Adjustment Assistance (TAA) performance measures. Under 20 CFR §680.110(a), registration is the process for collecting information to support a determination of eligibility. Participation occurs after the registration process when the individual receives a staff-assisted WIOA service, which does not include self-service or information activities. Under 20 CFR §680.110 (b), adults and dislocated workers who receive services funded under Title I other than self-service or informational activities must be registered and must be a participant. If the customer is receiving services at a Kentucky Career Center, staff should log into the system of record and select the DOB/Vets Verification tab in the Customer Detail module. As part of the Welcome, Orientation, and Assessment (WOA), staff will verify the customer's DOB and Vets information, if applicable and record any activities that have been completed. An overnight batch process will then look for activities that trigger co-enrollment and the customer will be enrolled in both WIOA, Wagner-Peyser, and if eligible,

Trade Adjustment Assistance. Eligible registrants may access self-service and informational services available at all locations. Customers may not receive any funded career or training services until additional WIOA eligibility documentation has been completed. Staff should check the DOB/VETS Verification tab in the system of record on prior registered customers who return to any Career Center for services and update the record with proper DOB/VETS information as legacy records will not have complete information. Staff should determine if the current DOB documentation has expired and update as needed. FAILURE OF THE CUSTOMER TO PROVIDE NEEDED DOCUMENTATION SHALL NOT PRECLUDE DELIVERY OF SERVICES TO THE CUSTOMER. TAA Program, WIOA DW, and DWG co-enrollment may provide trade-affected workers with career and supportive services that are not available through the TAA Program. DWG co-enrollment can be used to provide potential trade-affected workers with career, training, and supportive services when state WIOA DW funds are not sufficient to provide such services. Eligible trade-affected workers may receive DWG- funded training only if the available training is not covered by the TAA Program. DWG and TAA funds must be managed in a coordinated manner to best meet the needs of the trade- affected workers while abiding by all applicable statutes, regulations, and federal policies. The DWG project guidance, TEGL No. 12-19, provides more details on the circumstances for provisions of training. The Trade Act, as amended, allows states to pay for a training program approved under the Act with TAA funds or from other sources, but does not allow duplication of payment of training costs. (See 20 CFR §618.625.) Under certain circumstances, a state can use funding from more than one program to fund training; however, TAA funds can only reimburse training costs incurred after a trade-affected worker was certified and determined individually eligible for TAA, and that training must be TAA-approved. Additionally, 20 CFR §618.625(c) requires that the TAA Program be the primary source of assistance to trade-affected workers. To the extent trade-affected workers enrolled in the TAA Program require assistance or services not authorized under the TAA Program, or for which TAA Program funds are unavailable or insufficient (including for required employment and case management services), states must provide such assistance through other federal programs, including programs in the AJC network.

**7. DESCRIBE THE STATE'S FORMAL STRATEGY TO ENSURE THAT WIOA AND TAA CO-ENROLLED PARTICIPANTS RECEIVE NECESSARY FUNDED BENEFITS AND SERVICES. TRADE ACT SEC. 239(F), SEC. 235, 20 CFR 618.816(C)**

Co-enrollment in multiple programs delivers comprehensive services to customers who have barriers to employment. 20 C.F.R §679.560 describes the creation and content of the Local Board's state plan. More specifically, (b)(2)(ii) dictates that Local Boards must describe how they will work with entities carrying out core programs to develop career pathways and co-enrollment, as appropriate.

Coordinating services and eliminating barriers to success early in the process will reduce the likelihood that customers will have to re-enter the public workforce system in the future. WIOA gives states the authority to establish policies and guidelines related to verifying WIOA and Employment Services eligibility as long as the policies are consistent with WIOA, the WIOA regulations, the Wagner-Peyser Act, the Trade Adjustment Assistance Act, among other regulations, and federal statutes. Policy 18-001 provides the co-enrollment requirements for all one-stop partner.

The One Workforce System embraces a culture of a united workforce so that a customer may be served by any staff member within a Kentucky Career Center. In order to implement this policy, individuals enrolled in WIOA Title I Adult and Dislocated Worker Programs must be co-

enrolled in both Wagner-Peyser and the Trade Adjustment Assistance (TAA) Programs, if applicable.

Although WIOA encourages co-enrollment in all four core programs (i.e., WIOA Title I, Wagner-Peyser, Vocational Rehabilitation and Adult Education) this policy addresses REQUIRED co-enrollment of participants under the WIOA Title I Adult and Dislocated Worker (DW) programs, Wagner-Peyser, and the Trade Adjustment Assistance.

In addition to the USDOL required co-enrollment with the WIOA DW program, based on the needs of the trade-affected worker, co-enrollment can be further enhanced and expanded to include a broad range of services available through other workforce programs in order to produce successful outcomes. Such programs include, but are not limited to, Wagner-Peyser Act Employment Service (ES) activities, WIOA Adult program, WIOA Dislocated Worker Grant (DWG) program, Unemployment Insurance (UI), other WIOA partner programs, faith-based and community-based programs, vocational rehabilitation services, and services for veterans. Partnerships may be facilitated at the state and local board level, as that leadership is deemed vital to the success of co-enrollment.

Adults and dislocated workers who receive KCC/ AJC services other than self-service and informational activities will be co-enrolled in Wagner-Peyser, WIOA, and if eligible Trade Adjustment Assistance through an automated process in the state's official system of record. Staff shall ensure the correct activities are recorded for the respective programs and verify DOB/Vets information in the system of record.

Customers will then be co-enrolled and counted in both Wagner-Peyser, WIOA, and if eligible Trade Adjustment Assistance (TAA) performance measures. Under 20 CFR §680.110(a), registration is the process for collecting information to support a determination of eligibility. Participation occurs after the registration process when the individual receives a staff-assisted WIOA service, which does not include self-service or information activities.

Under 20 §CFR §680.110 (b), adults and dislocated workers who receive services funded under Title I other than self-service or informational activities must be registered and must be a participant. The state has established a standard for paperless co-enrollment registration based on the definition of self-attestation and implemented through the Focus Career system. Once a customer has registered in the Focus Career system, the information is electronically shared and integrated into the system of record.

If the customer is receiving services at a Kentucky Career Center, staff should log into the system of record and select the DOB/Vets Verification tab in the Customer Detail module. As part of the Welcome, Orientation, and Assessment (WOA), staff will verify the customer's DOB and Vets information, if applicable and record any activities that have been completed. An overnight batch process will then look for activities that trigger co-enrollment and the customer will be enrolled in both WIOA, Wagner-Peyser, and if eligible, Trade Adjustment Assistance.

Eligible registrants may access self-service and informational services available at all locations. Customers may not receive any funded career or training services until additional WIOA eligibility documentation has been completed.

Staff are instructed to check the DOB/VETS Verification tab in the system of record on prior registered customers who return to any Career Center for services and update the record with proper DOB/VETS information as legacy records will not have complete information. Staff should determine if the current DOB documentation has expired and update as

needed. FAILURE OF THE CUSTOMER TO PROVIDE NEEDED DOCUMENTATION SHALL NOT PRECLUDE DELIVERY OF SERVICES TO THE CUSTOMER.

TAA Program, WIOA DW, and DWG co-enrollment may provide trade-affected workers with career and supportive services that are not available through the TAA Program. DWG co-enrollment can be used to provide potential trade-affected workers with career, training, and supportive services when state WIOA DW funds are not sufficient to provide such services.

Eligible trade-affected workers may receive DWG- funded training only if the available training is not covered by the TAA Program. DWG and TAA funds must be managed in a coordinated manner to best meet the needs of the trade- affected workers while abiding by all applicable statutes, regulations, and federal policies. The DWG project guidance, TEGL No. 12-19, provides more details on the circumstances for provisions of training.

The Trade Act, as amended, allows states to pay for a training program approved under the Act with TAA funds or from other sources, but does not allow duplication of payment of training costs. (See 20 CFR §618.625.) Under certain circumstances, a state can use funding from more than one program to fund training; however, TAA funds can only reimburse training costs incurred after a trade-affected worker was certified and determined individually eligible for TAA, and that training must be TAA-approved. Additionally, 20 CFR §618.625(c) requires that the TAA Program be the primary source of assistance to trade-affected workers. To the extent trade-affected workers enrolled in the TAA Program require assistance or services not authorized under the TAA Program, or for which TAA Program funds are unavailable or insufficient (including for required employment and case management services), states must provide such assistance through other federal programs, including programs in the AJC network.

#### 8. DESCRIBE THE STATE'S PROCESS FOR FAMILIARIZING ONE-STOP STAFF WITH THE TAA PROGRAM. 20 CFR 618.804(J), 20 CFR 618.305

Training is delivered to staff during new employee orientations, region specific requests, Program Specific Standard Operating Procedures, Handbook, annual conferences, monthly and quarterly regional meetings including all partners/one stop staff and supervisors/leadership. Additional trainings/communications are shared with all one-stop staff if a need is identified.

#### C. YOUTH PROGRAM REQUIREMENTS.

With respect to youth workforce investment activities authorized in section 129 of WIOA, States should describe their strategies that will support the implementation of youth activities under WIOA. State's must-

1. IDENTIFY THE STATE-DEVELOPED CRITERIA TO BE USED BY LOCAL BOARDS IN AWARDING GRANTS OR CONTRACTS FOR YOUTH WORKFORCE INVESTMENT ACTIVITIES AND DESCRIBE HOW THE LOCAL BOARDS WILL TAKE INTO CONSIDERATION THE ABILITY OF THE PROVIDERS TO MEET PERFORMANCE ACCOUNTABILITY MEASURES BASED ON PRIMARY INDICATORS OF PERFORMANCE FOR THE YOUTH PROGRAM AS DESCRIBED IN SECTION 116(B)(2)(A)(II) OF WIOA.<sup>11</sup> FURTHER, INCLUDE A DESCRIPTION OF HOW THE STATE ASSISTS LOCAL AREAS IN DETERMINING WHETHER TO CONTRACT FOR SERVICES OR TO PROVIDE SOME OR ALL OF THE PROGRAM ELEMENTS DIRECTLY.

<sup>11</sup> Sec. 102(b)(2)(D)(i)(V)

The awarding of grants in a competitive or non-competitive process is completed in accordance with the Kentucky's procurement policy. When considering the ability of providers to meet

performance accountability measures based on primary indicators of performance for the youth program, local boards will review performance history, stability of the program design, collaboration with service providers, service delivery and other components. Performance will be reviewed and analyzed both at the state and local level to ensure all the youth elements are being made available to all youth and that youth are meeting expectations outlined in the grants.

**2. EXPLAIN HOW THE STATE ASSISTS LOCAL WORKFORCE BOARDS IN ACHIEVING EQUITABLE RESULTS FOR OUT-OF-SCHOOL AND IN-SCHOOL YOUTH. DESCRIBE PROMISING PRACTICES OR PARTNERSHIP MODELS THAT LOCAL AREAS ARE IMPLEMENTING AND THE STATE'S ROLE IN SUPPORTING AND SCALING THOSE MODELS WITHIN THE STATE FOR BOTH IN-SCHOOL AND OUT-OF-SCHOOL YOUTH.**

The Commonwealth continues to assist the Local Workforce Boards through technical assistance, policy development and guidance by establishing a framework that prioritizes equity, ensuring that both In-School and Out-of-School youth have access to opportunities and resources. Promising practices include, but are not limited to, outreach, mentorship programs, and strong collaborative partnerships with local community organizations. The commonwealth also emphasizes local partnership models to involve educational institutions, local businesses, and nonprofits to create comprehensive support systems for Kentucky youth. Support and scaling these models are ensured by providing technical assistance and facilitating cross-sector collaborations which helps address the needs of both In-School and Out-of-School youth by fostering a more inclusive and equitable workforce development approach.

**3. DESCRIBE HOW THE STATE ASSISTS LOCAL WORKFORCE BOARDS IN IMPLEMENTING INNOVATIVE MODELS FOR DELIVERING YOUTH WORKFORCE INVESTMENT ACTIVITIES, INCLUDING EFFECTIVE WAYS LOCAL WORKFORCE BOARDS CAN MAKE AVAILABLE THE 14 PROGRAM ELEMENTS DESCRIBED IN WIOA SECTION 129(C)(2); AND EXPLAIN HOW LOCAL AREAS CAN ENSURE WORK EXPERIENCE, INCLUDING QUALITY PRE-APPRENTICESHIP AND REGISTERED APPRENTICESHIP, IS PRIORITIZED AS A KEY ELEMENT WITHIN A BROADER CAREER PATHWAYS STRATEGY.**

The Commonwealth supports the local workforce areas in designing youth programs tailored to the needs of In-school and Out-of-School youth in their local communities. Stated in the regulations at 20 CFR 681.420 (b), the KWDB's must describe the design framework for the youth program and ensure the availability of the 14 program elements amongst their service delivery plans. There must also be a formal partnership agreement in place between the local boards and all service providers incorporated in their framework. Monitoring and technical assistance continue to be provided to guarantee that local area policies and procedures meet requirements of the WIOA youth program design. Dedicated workforce development youth program staff disseminate updates and guidance from the U.S. Department of Labor and others. Performance information, reports and trainings are provided to staff. Best practices are shared at all levels, including presentations at regional DOL events.

The paid and unpaid work experience program element is commonly executed throughout the Commonwealth. WIOA and 20 CFR § 681.590(a) require that a minimum of 20 percent of local area funds for Title I Youth Program be spent on work experience. This, in turn, has created an avenue to appropriate valuable pre-apprenticeship/apprenticeship programs and work-based learning opportunities around the state.

**4. PROVIDE THE LANGUAGE CONTAINED IN THE STATE POLICY FOR "REQUIRING ADDITIONAL ASSISTANCE TO ENTER OR COMPLETE AN EDUCATIONAL PROGRAM, OR TO**



SECURE AND HOLD EMPLOYMENT” CRITERION FOR OUT-OF-SCHOOL YOUTH SPECIFIED IN WIOA SECTION 129(A)(1)(B)(III)(VIII) AND FOR “REQUIRING ADDITIONAL ASSISTANCE TO COMPLETE AN EDUCATION PROGRAM, OR TO SECURE AND HOLD EMPLOYMENT” CRITERION FOR IN-SCHOOL YOUTH SPECIFIED IN WIOA SECTION 129(A)(1)(C)(IV)(VII). IF THE STATE DOES NOT HAVE A POLICY, DESCRIBE HOW THE STATE WILL ENSURE THAT LOCAL AREAS WILL HAVE A POLICY FOR THESE CRITERIA.

The local board, with assistance from state level staff, shall establish a definition and eligibility documentation requirements for the “requires additional assistance to complete an educational program, or to secure and hold employment.” The state has defined “requires additional assistance to complete an educational program, or to secure and hold employment” as:

- Has been fired from a job within the 12 months prior to application OR
- No previous work experience/never held a job OR
- Has never held a full—time job (30+ hours per week) for more than 13 consecutive weeks OR
- Difficulty with social interaction or behavioral problems OR
- History of family disruptions, such as divorce, legally separated parents, family violence, alcohol or drug abuse; one or more parents incarcerated OR
- A student participating in an alternative program/setting OR
- Has chronic attendance or discipline problems OR
- Functioning at least one or more grade levels below his/her age group in the areas of reading and math (for youth 18—24 if they are functioning at grade 11 or under) OR
- A student who has failed two or more subjects during the prior two years of school attendance OR
- One or more parent lack high school diploma/GED

#### D. SINGLE-AREA STATE REQUIREMENTS

In States where there is only one local workforce investment area, the governor serves as both the State and local chief elected official. In such cases, the State must submit any information required in the local plan (WIOA section 106(d)(2)). States with a single workforce area must include—

1. ANY COMMENTS FROM THE PUBLIC COMMENT PERIOD THAT REPRESENT DISAGREEMENT WITH THE PLAN. (WIOA SECTION 108(D)(3).)
2. THE ENTITY RESPONSIBLE FOR THE DISBURSAL OF GRANT FUNDS, AS DETERMINED BY THE GOVERNOR, IF DIFFERENT FROM THAT FOR THE STATE. (WIOA SECTION 108(B)(15).)
3. A DESCRIPTION OF THE TYPE AND AVAILABILITY OF WIOA TITLE I YOUTH ACTIVITIES AND SUCCESSFUL MODELS, INCLUDING FOR YOUTH WITH DISABILITIES. (WIOA SECTION 108(B)(9).)

N/A - we are not a single-area state

4. A DESCRIPTION OF THE ROLES AND RESOURCE CONTRIBUTIONS OF THE ONE-STOP PARTNERS.

N/A we are not a single-area state

5. THE COMPETITIVE PROCESS USED TO AWARD THE SUBGRANTS AND CONTRACTS FOR TITLE I ACTIVITIES.

N/A we are not a single-area state

6. HOW TRAINING SERVICES OUTLINED IN SECTION 134 WILL BE PROVIDED THROUGH INDIVIDUAL TRAINING ACCOUNTS AND/OR THROUGH CONTRACTS, AND HOW SUCH TRAINING APPROACHES WILL BE COORDINATED. DESCRIBE HOW THE STATE WILL MEET INFORMED CUSTOMER CHOICE REQUIREMENTS REGARDLESS OF TRAINING APPROACH.

N/A we are not a single-area state

7. HOW THE STATE BOARD, IN FULFILLING LOCAL BOARD FUNCTIONS, WILL COORDINATE TITLE I ACTIVITIES WITH THOSE ACTIVITIES UNDER TITLE II. DESCRIBE HOW THE STATE BOARD WILL CARRY OUT THE REVIEW OF LOCAL APPLICATIONS SUBMITTED UNDER TITLE II CONSISTENT WITH WIOA SECS. 107(D)(11)(A) AND (B)(I) AND WIOA SEC. 232.

N/A we are not a single-area state

8. COPIES OF EXECUTED COOPERATIVE AGREEMENTS WHICH DEFINE HOW ALL LOCAL SERVICE PROVIDERS WILL CARRY OUT THE REQUIREMENTS FOR INTEGRATION OF AND ACCESS TO THE ENTIRE SET OF SERVICES AVAILABLE IN THE ONE-STOP DELIVERY SYSTEM, INCLUDING COOPERATIVE AGREEMENTS WITH ENTITIES ADMINISTERING REHABILITATION ACT PROGRAMS AND SERVICES.

N/A we are not a single-area state

E. WAIVER REQUESTS (OPTIONAL)

States wanting to request waivers as part of their title I-B Operational Plan must include a waiver plan that includes the following information for each waiver requested:

1. IDENTIFIES THE STATUTORY OR REGULATORY REQUIREMENTS FOR WHICH A WAIVER IS REQUESTED AND THE GOALS THAT THE STATE OR LOCAL AREA, AS APPROPRIATE, INTENDS TO ACHIEVE AS A RESULT OF THE WAIVER AND HOW THOSE GOALS RELATE TO THE UNIFIED OR COMBINED STATE PLAN;
2. DESCRIBES THE ACTIONS THAT THE STATE OR LOCAL AREA, AS APPROPRIATE, HAS UNDERTAKEN TO REMOVE STATE OR LOCAL STATUTORY OR REGULATORY BARRIERS;
3. DESCRIBES THE GOALS OF THE WAIVER AND THE EXPECTED PROGRAMMATIC OUTCOMES IF THE REQUEST IS GRANTED;
4. DESCRIBES HOW THE WAIVER WILL ALIGN WITH THE DEPARTMENT'S POLICY PRIORITIES, SUCH AS:
  - A. SUPPORTING EMPLOYER ENGAGEMENT;
  - B. CONNECTING EDUCATION AND TRAINING STRATEGIES;
  - C. SUPPORTING WORK-BASED LEARNING;
  - D. IMPROVING JOB AND CAREER RESULTS, AND
  - E. OTHER GUIDANCE ISSUED BY THE DEPARTMENT.

5. DESCRIBES THE INDIVIDUALS AFFECTED BY THE WAIVER, INCLUDING HOW THE WAIVER WILL IMPACT SERVICES FOR DISADVANTAGED POPULATIONS OR INDIVIDUALS WITH MULTIPLE BARRIERS TO EMPLOYMENT; AND

6. DESCRIBES THE PROCESSES USED TO:

A. MONITOR THE PROGRESS IN IMPLEMENTING THE WAIVER;

B. PROVIDE NOTICE TO ANY LOCAL BOARD AFFECTED BY THE WAIVER;

C. PROVIDE ANY LOCAL BOARD AFFECTED BY THE WAIVER AN OPPORTUNITY TO COMMENT ON THE REQUEST;

D. ENSURE MEANINGFUL PUBLIC COMMENT, INCLUDING COMMENT BY BUSINESS AND ORGANIZED LABOR, ON THE WAIVER.

E. COLLECT AND REPORT INFORMATION ABOUT WAIVER OUTCOMES IN THE STATE'S WIOA ANNUAL REPORT.

7. THE MOST RECENT DATA AVAILABLE REGARDING THE RESULTS AND OUTCOMES OBSERVED THROUGH IMPLEMENTATION OF THE EXISTING WAIVER, IN CASES WHERE THE STATE SEEKS RENEWAL OF A PREVIOUSLY APPROVED WAIVER.

N/A to all

TITLE I-B ASSURANCES

The State Plan must include assurances that:

The State Plan must include	Include
1. The State has implemented a policy to ensure Adult program funds provide a priority in the delivery of training services and individualized career services to individuals who are low income, public assistance recipients and basic skills deficient;	Yes
2. The State has implemented a policy to ensure local areas have a process in place for referring veterans with significant barriers to employment to career services provided by the JVSG program's Disabled Veterans' Outreach Program (DVOP) specialist;	Yes
3. The State established a written policy and procedure that set forth criteria to be used by chief elected officials for the appointment of local workforce investment board members;	Yes
4. The State established written policy and procedures to ensure local workforce investment boards are certified by the governor every two years in accordance with WIOA section 107(c)(2);	Yes

The State Plan must include	Include
5. Where an alternative entity takes the place of a State Board, the State has written policy and procedures to ensure the alternative entity meets the definition under WIOA section 101(e) and the legal requirements for membership;	No
6. The State established a written policy and procedure for how the individuals and entities represented on the State Workforce Development Board help to determine the methods and factors of distribution, and how the State consults with chief elected officials in local areas throughout the State in determining the distributions;	Yes
7. The State will not use funds received under WIOA Title I to assist, promote, or deter union organizing in accordance with WIOA section 181(b)(7);	Yes
8. The State distributes adult and youth funds received under WIOA equitably throughout the State, and no local area suffers significant shifts in funding from year-to-year during the period covered by this plan;	Yes
9. If a State Workforce Development Board, department, or agency administers State laws for vocational rehabilitation of persons with disabilities, that board, department, or agency cooperates with the agency that administers Wagner-Peyser services, Adult and Dislocated Worker programs and Youth Programs under Title I;	Yes
10. The State agrees to report on the impact and outcomes of its approved waivers in its WIOA Annual Report.	Yes
11. The State has taken appropriate action to secure compliance with the Uniform Guidance at 2 CFR 200 and 2 CFR 2900, including that the State will annually monitor local areas to ensure compliance and otherwise take appropriate action to secure compliance with the Uniform Guidance under section WIOA 184(a)(3);	Yes

**ADULT PROGRAM PERFORMANCE INDICATORS**

**Performance Goals for the Core Programs**

Each state submitting a Unified or Combined State Plan is required to identify expected levels of performance for each of the primary indicators of performance for the first two years covered by the plan. The state is required to reach agreement with the Secretary of Labor, in conjunction with the Secretary of Education, on state-negotiated levels of performance for the indicators for each of the first two years of the plan.

For Program Year (PY) 2016-2019 plans, the Departments used the transition authority under section 503(a) of WIOA to designate certain primary indicators of performance as “baseline” indicators to ensure an orderly transition from the requirements of the Workforce Investment Act of 1998 to those under WIOA. A “baseline” indicator was one for which states did not propose an expected level of performance and did not come to agreement with the Departments on negotiated levels of performance because sufficient data was not available to establish such performance levels. As a result, “baseline” indicators were not used in the end of the year adjustment of performance levels and were not used to determine failure to meet adjusted levels of performance for purposes of sanctions. The Departments designated indicators as “baseline” based on the likelihood of a State having insufficient data with which to make a reasonable determination of an expected level of performance.

For PYs 2020-2023 Plans, Title I programs (Adult, Dislocated Worker, and Youth) and the Title II program (Adult Education and Family Literacy Act) will have two full years of data available to make reasonable determinations of expected levels of performance for the following indicators for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit);
- Median Earnings (Second Quarter after Exit);
- Credential Attainment Rate; and
- Measurable Skill Gains

The Wagner-Peyser Act Employment Service program, authorized under the Wagner-Peyser Act, as amended by title III of WIOA, will have two full years of data available to make a reasonable determination of expected levels of performance for the following indicators for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit); and
- Median Earnings (Second Quarter after Exit)

The Credential Attainment Rate and Measurable Skill Gains indicators do not apply to the Wagner-Peyser Act Employment Service program; therefore, this program will not submit expected levels of performance for these indicators.

For the first two years of PYs 2020-2023 Plans, the Vocational Rehabilitation (VR) program, authorized under title I of the Rehabilitation Act of 1973, as amended by title IV of WIOA, will have two full years of data available for the Measurable Skill Gains indicator only. Therefore, the Departments will designate the following indicators as “baseline” for the VR program for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);

- Employment (Fourth Quarter after Exit);
- Median Earnings (Second Quarter after Exit); and
- Credential Attainment Rate

VR agencies must continue to collect and report on all indicators, including those that have been designated as “baseline, pursuant to section 116(d) of WIOA.” The actual performance data reported by these programs for indicators designated as “baseline” for PY 2020 and PY 2021 will serve as baseline data in future years. The Departments will require VR agencies to submit expected levels of performance for these indicators for PY 2022 and PY 2023.

The Departments determined that the Effectiveness in Serving Employers indicator will be measured as a shared outcome across all six core programs within each state to ensure a holistic approach to serving employers. The Departments will continue piloting approaches for measuring this indicator for the first two years of PY 2020-2023 plans. Therefore, states are not required to submit an expected level of performance for the Effectiveness in Serving Employers indicator for PY 2020 and PY 2021. However, core programs are expected to collect data and report on this indicator for PY 2020 and PY 2021 as they did for PYs 2016-2019 plans.

Each core program must submit an expected level of performance for all of the other indicators, as applicable, with the exception of the four indicators designated as “baseline” for the VR program in PY 2020 and PY 2021. The Departments will work with states during the negotiation process to establish negotiated levels of performance for each of the primary indicators for the core programs not listed as “baseline.” Each state must update its plan to include the agreed-upon negotiated levels of performance before the Departments approve a state’s plan.

States may identify additional indicators in the plan, including additional approaches to measuring Effectiveness in Serving Employers, and may establish levels of performance for each of the state indicators. Please identify any such state indicators under Additional Indicators of Performance.

Performance Indicators	PY 2024 Expected Level	PY 2024 Negotiated Level	PY 2025 Expected Level	PY 2025 Negotiated Level
Employment (Second Quarter After Exit)	76.0%		77.0%	
Employment (Fourth Quarter After Exit)	77.0%		78.0%	
Median Earnings (Second Quarter After Exit)	7700.0		7800.0	
Credential Attainment Rate	73.0%		74.0%	
Measurable Skill Gains	55.0%		60.0%	

Performance Indicators	PY 2024 Expected Level	PY 2024 Negotiated Level	PY 2025 Expected Level	PY 2025 Negotiated Level
Effectiveness in Serving Employers	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>

<sup>1</sup>

*The Departments have not issued the final rule defining Effectiveness in Serving Employers. As a result, states will not submit expected levels of performance for this indicator and the Departments will not establish negotiated levels of performance for PYs 2024 and 2025.*

## DISLOCATED PROGRAM PERFORMANCE INDICATORS

### Performance Goals for the Core Programs

Each state submitting a Unified or Combined State Plan is required to identify expected levels of performance for each of the primary indicators of performance for the first two years covered by the plan. The state is required to reach agreement with the Secretary of Labor, in conjunction with the Secretary of Education, on state-negotiated levels of performance for the indicators for each of the first two years of the plan.

For Program Year (PY) 2016-2019 plans, the Departments used the transition authority under section 503(a) of WIOA to designate certain primary indicators of performance as “baseline” indicators to ensure an orderly transition from the requirements of the Workforce Investment Act of 1998 to those under WIOA. A “baseline” indicator was one for which states did not propose an expected level of performance and did not come to agreement with the Departments on negotiated levels of performance because sufficient data was not available to establish such performance levels. As a result, “baseline” indicators were not used in the end of the year adjustment of performance levels and were not used to determine failure to meet adjusted levels of performance for purposes of sanctions. The Departments designated indicators as “baseline” based on the likelihood of a State having insufficient data with which to make a reasonable determination of an expected level of performance.

For PYs 2020-2023 Plans, Title I programs (Adult, Dislocated Worker, and Youth) and the Title II program (Adult Education and Family Literacy Act) will have two full years of data available to make reasonable determinations of expected levels of performance for the following indicators for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit);
- Median Earnings (Second Quarter after Exit);
- Credential Attainment Rate; and
- Measurable Skill Gains

The Wagner-Peyser Act Employment Service program, authorized under the Wagner-Peyser Act, as amended by title III of WIOA, will have two full years of data available to make a reasonable determination of expected levels of performance for the following indicators for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);

- Employment (Fourth Quarter after Exit); and
- Median Earnings (Second Quarter after Exit)

The Credential Attainment Rate and Measurable Skill Gains indicators do not apply to the Wagner-Peyser Act Employment Service program; therefore, this program will not submit expected levels of performance for these indicators.

For the first two years of PYs 2020-2023 Plans, the Vocational Rehabilitation (VR) program, authorized under title I of the Rehabilitation Act of 1973, as amended by title IV of WIOA, will have two full years of data available for the Measurable Skill Gains indicator only. Therefore, the Departments will designate the following indicators as “baseline” for the VR program for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit);
- Median Earnings (Second Quarter after Exit); and
- Credential Attainment Rate

VR agencies must continue to collect and report on all indicators, including those that have been designated as “baseline, pursuant to section 116(d) of WIOA.” The actual performance data reported by these programs for indicators designated as “baseline” for PY 2020 and PY 2021 will serve as baseline data in future years. The Departments will require VR agencies to submit expected levels of performance for these indicators for PY 2022 and PY 2023.

The Departments determined that the Effectiveness in Serving Employers indicator will be measured as a shared outcome across all six core programs within each state to ensure a holistic approach to serving employers. The Departments will continue piloting approaches for measuring this indicator for the first two years of PY 2020-2023 plans. Therefore, states are not required to submit an expected level of performance for the Effectiveness in Serving Employers indicator for PY 2020 and PY 2021. However, core programs are expected to collect data and report on this indicator for PY 2020 and PY 2021 as they did for PYs 2016-2019 plans.

Each core program must submit an expected level of performance for all of the other indicators, as applicable, with the exception of the four indicators designated as “baseline” for the VR program in PY 2020 and PY 2021. The Departments will work with states during the negotiation process to establish negotiated levels of performance for each of the primary indicators for the core programs not listed as “baseline.” Each state must update its plan to include the agreed-upon negotiated levels of performance before the Departments approve a state’s plan.

States may identify additional indicators in the plan, including additional approaches to measuring Effectiveness in Serving Employers, and may establish levels of performance for each of the state indicators. Please identify any such state indicators under Additional Indicators of Performance.

Performance Indicators	PY 2024 Expected Level	PY 2024 Negotiated Level	PY 2025 Expected Level	PY 2025 Negotiated Level
Employment (Second Quarter After Exit)	79.0%		80.0%	



Performance Indicators	PY 2024 Expected Level	PY 2024 Negotiated Level	PY 2025 Expected Level	PY 2025 Negotiated Level
Employment (Fourth Quarter After Exit)	79.0%		80.0%	
Median Earnings (Second Quarter After Exit)	8700.0		8900.0	
Credential Attainment Rate	73.0%		74.0%	
Measurable Skill Gains	55.0%		60.0%	
Effectiveness in Serving Employers	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>

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*The Departments have not issued the final rule defining Effectiveness in Serving Employers. As a result, states will not submit expected levels of performance for this indicator and the Departments will not establish negotiated levels of performance for PYs 2024 and 2025.*

#### YOUTH PROGRAM PERFORMANCE INDICATORS

##### Performance Goals for the Core Programs

Each state submitting a Unified or Combined State Plan is required to identify expected levels of performance for each of the primary indicators of performance for the first two years covered by the plan. The state is required to reach agreement with the Secretary of Labor, in conjunction with the Secretary of Education, on state-negotiated levels of performance for the indicators for each of the first two years of the plan.

For Program Year (PY) 2016-2019 plans, the Departments used the transition authority under section 503(a) of WIOA to designate certain primary indicators of performance as “baseline” indicators to ensure an orderly transition from the requirements of the Workforce Investment Act of 1998 to those under WIOA. A “baseline” indicator was one for which states did not propose an expected level of performance and did not come to agreement with the Departments on negotiated levels of performance because sufficient data was not available to establish such performance levels. As a result, “baseline” indicators were not used in the end of the year adjustment of performance levels and were not used to determine failure to meet adjusted levels of performance for purposes of sanctions. The Departments designated indicators as “baseline” based on the likelihood of a State having insufficient data with which to make a reasonable determination of an expected level of performance.

For PYs 2020-2023 Plans, Title I programs (Adult, Dislocated Worker, and Youth) and the Title II program (Adult Education and Family Literacy Act) will have two full years of data available to make reasonable determinations of expected levels of performance for the following indicators for PY 2020 and PY 2021:

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VR agencies must continue to collect and report on all indicators, including those that have been designated as “baseline, pursuant to section 116(d) of WIOA.” The actual performance data reported by these programs for indicators designated as “baseline” for PY 2020 and PY 2021 will serve as baseline data in future years. The Departments will require VR agencies to submit expected levels of performance for these indicators for PY 2022 and PY 2023.

The Departments determined that the Effectiveness in Serving Employers indicator will be measured as a shared outcome across all six core programs within each state to ensure a holistic approach to serving employers. The Departments will continue piloting approaches for measuring this indicator for the first two years of PY 2020-2023 plans. Therefore, states are not required to submit an expected level of performance for the Effectiveness in Serving Employers indicator for PY 2020 and PY 2021. However, core programs are expected to collect data and report on this indicator for PY 2020 and PY 2021 as they did for PYs 2016-2019 plans.

Each core program must submit an expected level of performance for all of the other indicators, as applicable, with the exception of the four indicators designated as “baseline” for the VR program in PY 2020 and PY 2021. The Departments will work with states during the negotiation process to establish negotiated levels of performance for each of the primary indicators for the

core programs not listed as “baseline.” Each state must update its plan to include the agreed-upon negotiated levels of performance before the Departments approve a state’s plan.

States may identify additional indicators in the plan, including additional approaches to measuring Effectiveness in Serving Employers, and may establish levels of performance for each of the state indicators. Please identify any such state indicators under Additional Indicators of Performance.

Performance Indicators	PY 2024 Expected Level	PY 2024 Negotiated Level	PY 2025 Expected Level	PY 2025 Negotiated Level
Employment (Second Quarter After Exit)	70.0%		71.0%	
Employment (Fourth Quarter After Exit)	73.0%		74.0%	
Median Earnings (Second Quarter After Exit)	4,100.0		4,200.0	
Credential Attainment Rate	63.0%		64.0%	
Measurable Skill Gains	50.0%		50.0%	
Effectiveness in Serving Employers	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>

<sup>1</sup>

*The Departments have not issued the final rule defining Effectiveness in Serving Employers. As a result, states will not submit expected levels of performance for this indicator and the Departments will not establish negotiated levels of performance for PYs 2024 and 2025.*

**PROGRAM-SPECIFIC REQUIREMENTS FOR WAGNER-PEYSER PROGRAM  
(EMPLOYMENT SERVICES)**

All Program-Specific Requirements provided for the WIOA core programs in this section must be addressed for either a Unified or Combined State Plan.

**A. EMPLOYMENT SERVICE STAFF**

**1. DESCRIBE HOW THE STATE WILL STAFF THE PROVISION OF LABOR EXCHANGE SERVICES UNDER THE WAGNER-PEYSER ACT, SUCH AS THROUGH STATE EMPLOYEES, INCLUDING BUT NOT LIMITED TO STATE MERIT STAFF EMPLOYEES, STAFF OF A SUBRECIPIENT, OR SOME COMBINATION THEREOF.**

The Commonwealth of Kentucky, career development office (CDO) currently staffs the provision of labor exchange services with merit staffing as well as Federally Funded Time Limited (FFTL) staff in 13 strategically located American Job Centers (AJCs) (i.e., the Kentucky Career Center) statewide. For a complete list, please visit <https://kcc.ky.gov/Pages/Locations.aspx>.

## 2. DESCRIBE HOW THE STATE WILL UTILIZE PROFESSIONAL DEVELOPMENT ACTIVITIES FOR EMPLOYMENT SERVICE STAFF TO ENSURE STAFF IS ABLE TO PROVIDE HIGH QUALITY SERVICES TO BOTH JOBSEEKERS AND EMPLOYERS

The Career Development Office is dedicated to ensuring professional development activities for employment service staff to ensure staff is able to provide high quality services to both jobseekers and employers.

### **KEE Suite**

KEE Suite is the complete case management system for Workforce Case Managers to manage work requirements for citizens looking to meet their SNAP/Medicaid requirements and for job seekers looking for help with services and career guidance.

*Citizen Connect* - Citizens report work requirement activities, citizens may complete tasks, take tests, complete registration, and have full access to their information.

*Business Connect* – Business partners post opportunities for WIOA citizens and citizens receiving Medicaid to fulfill PATH requirements. Training providers post Offerings and enroll citizens in WIOA training.

*Staff Connect* - Staff register citizens, conduct assessments, determine WIOA eligibility, create employment plans, manage a citizen's case, and add services to citizen's profile.

### **Kentucky Labor Exchange**

This system allows customers to search for jobs, employers to post jobs and search for candidates and enables staff to view and monitor the activity for eligibility compliance while ensuring customers and employers have provided all necessary information for the system to properly function. Kentucky Labor Exchange training is provided within two months of hire and a refresher course is offered three months after basic training is completed. Job Order Writing Training and Kentucky Labor Exchange training are provided to staff with job order writing responsibilities. Training takes place as determined by local office management.

### **Personal Professional Development Training**

All staff can participate in personal professional development courses offered to the agency by a training system-MyPurpose. Staff can enroll in and attend courses to improve communication, problem-solving and business writing skills and a wide variety of topics to assist them in performing their daily job functions.

### **Program Specific Training**

The Career Development Office provides program specific trainings to staff completing program specific responsibilities. Trainings for staff members to ensure they can deliver effective services to address customer needs are developed by the department and delivered upon onboarding and refresher training throughout the year.

### **Standard Operation Procedures**

SOPs for all programs and staffing levels are currently being retooled for Career Development Office staff. Once completed, the SOPs and other information will be housed on the Education & Labor Cabinet's SharePoint. CDO is also in the process of developing a site where all these fundamental resources will be housed and made available to all staff.

### **Annual Training Advances**

The Career Development Office provides Annual Training Advances with Regional Program Managers and Office Managers to strengthen partnerships with other agencies and partners. Additionally, various topics are covered on how to best serve and upskill staff, while creating a robust toolkit for them to have readily available.

### 3. DESCRIBE STRATEGIES DEVELOPED TO SUPPORT TRAINING AND AWARENESS ACROSS CORE PROGRAMS AND THE UNEMPLOYMENT INSURANCE (UI) PROGRAM AND THE TRAINING PROVIDED FOR EMPLOYMENT SERVICES AND WIOA STAFF ON IDENTIFICATION OF UI ELIGIBILITY ISSUES AND REFERRAL TO UI STAFF FOR ADJUDICATION

UI has regional teams regarding Adjudication work. Supervisor leads have weekly meetings with appropriate staff.

Local office managers are aware of the teams and invited into the meetings.

UI provides a weekly Friday Communication on all UI information for the week. You will see local, state and federal information as well as any system changes in the communication.

#### B. EXPLAIN HOW THE STATE WILL PROVIDE INFORMATION AND MEANINGFUL ASSISTANCE TO INDIVIDUALS REQUESTING ASSISTANCE IN FILING A CLAIM FOR UNEMPLOYMENT COMPENSATION THROUGH ONE-STOP CENTERS, AS REQUIRED BY WIOA AS A CAREER SERVICE

The website is utilized for all updates for customers. Social media is used to share information with customers. Emails are sent out regularly to existing customers. Press releases are sent to media outlets as necessary. For customers, UI staff provides expectation sheets to claimants while they are at a Kentucky Career Center. Additionally, customers receive an overview of the activities completed by staff and other services available through the Kentucky Career Center are shared. The utilization of the equity grant allows for review and UI form updates to simplified plain language, which include: forms that are simple with clear direction and video resources for UI specific subjects.

#### C. DESCRIBE THE STATE'S STRATEGY FOR PROVIDING REEMPLOYMENT ASSISTANCE TO UI CLAIMANTS AND OTHER UNEMPLOYED INDIVIDUALS

### **Kentucky Unemployment Insurance**

The Federal-State (Kentucky) unemployment compensation (UC) program, (also referred to as the unemployment insurance [UI] program), created by the Social Security Act (SSA) of 1935, offers the first economic line of defense against the effects of unemployment. Through payments made directly to eligible, unemployed workers, it ensures that at least a significant proportion of the necessities of life—most notably food, shelter, and clothing—can be met on a week-to-week basis while a search for work takes place. As temporary, partial wage replacement to the unemployed, UC is of vital importance in maintaining purchasing power and in stabilizing the economy in times of economic downturn.

In addition to providing workers a much-needed safety net, the UC program provides employers the benefit of maintaining a trained workforce in the local labor market, available to return to work when needed. The UC program operates counter-cyclically, paying out higher levels of benefits during recessionary times and recouping those higher costs during recovery periods. Most workers are covered by UC under state or Federal UC laws. It is noted by the U.S. department of Labor-Employment and Training Administration. That states are responsible for

administering their individual state UC programs, and they act as agents of the Federal government in administering certain Federal UC programs (discussed below) under agreements with the Secretary of Labor.

Each state has its own set of eligibility requirements based on federal law. Your benefit amount here in Kentucky is based on how much money you made during a specified period, as reported by your employer. Workers do not pay into the UI program. UI benefits come from employer taxes and are never deducted from a worker's paycheck. Employers are notified when you file a claim and are asked to provide information.

However, all eligibility decisions are made by the Office of Unemployment Insurance. Eligible individuals may receive between 16 and 24 weeks of UI benefits during one benefit year. The duration of benefits depends upon the State Average Unemployment Rate at the time of filing. Traditional UI benefits are paid every other week. The maximum benefit amount is \$665 per week.

To be eligible for benefits you must:

- (1) Be unemployed or working less than full-time
- (2) Have earned enough money to establish a valid claim
- (3) Be unemployed through no fault of your own
- (4) Be able to work, available for work, and looking for work

Upon request for unemployment insurance, an "expectation sheet" is discussed with the client. It provides education on all services offered – sample of the form BELOW:

**Customer Name :** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Today's Experience:**

We are glad to have the opportunity to work with you on resolving your unemployment issues. Some of the issues take more time than others, so please be patient while we make the necessary adjustments to your claim. Your meeting/ appointment today will give us a better understanding of what is needed to resolve your pending issues.

**Please Remember:**

- Your claim is unique and different from anyone else's claim
- Most of your issues can be resolved in 7-10 days.
- If we have a delay in the resolutions of your claim we will contact you via phone, or email.
- If you have any questions about Kentucky's unemployment insurance process, you have access to the Claimants Guide: Your Rights and Responsibilities When Claiming Unemployment.
- Insurance Benefits that you received while filing your claim.
- The KCC.KY.GOV website is a great resource for you.
- Your Rights and Responsibilities on the KCC.KY.GOV

**Kentucky Career Center Representative:** \_\_\_\_\_

**Action Items/Comments:**

\_\_\_\_\_

**The Kentucky Career Center can:**

- assist you in finding job openings.
- screen and test you for jobs that match your skills.
- fund eligible on-the-job training and customized training needs.
- arrange space for job interviews, and in some areas, schedule interviews via video conferencing.
- provide access to detailed labor market information for the local area, Kentucky, and the nation.
- provide services to help both employer and employees when facing layoffs or other major issues
- Offer Unemployment Insurance information and make connections with Vocational Rehabilitation services (for people with disabilities) and services for the Blind.
- If you're a Veteran, we offer Priority of service and access to a Veteran Representative.

**UI's Work Search requirements**

The Kentucky General Assembly enacted changes to the state's unemployment insurance program during the 2022 regular session through House Bill 4 after overriding Governor Beshear's veto of the bill.

**Work search activities and job contacts can include, but are not limited to, any of the following examples:**

**Formal Job Application**

*Examples: Copy of application confirmation from website or submission email, copy of application email sent to employer, copy of fax application confirmation, copy of your completed paper application, legibly signed, and dated by employer or Kentucky Career Center staff, screenshot of text message showing application submission*

**Job Interview**

*Examples: Documentation of interview scheduling, form letter signed by employer*

**Job Shadowing**

*Examples: Form letter to be completed by employer, includes dates/hours/etc.*

**Job Fair or Networking Event**

*Examples: Business card from participating employer, form letter signed by participating employer or KCC staff*

**Job Search Skills Workshop or Seminar**

*Examples: Email and/or certificate from Kentucky Career Center staff, form letter signed by the presenter to certify participation, screenshots from online participation*

**Employment Search Program through Kentucky Career Center or partner**

*Examples:* Confirmation of registration in KEE Suite, documentation of job referral email, form letter signed by program staff to certify participation, screenshots from online participation

**Educational Awareness with 2023 Law changes.** An Equity Grant allowed for several projects to enhance user experiences.

### **Project 1 - Language Simplification & User Experience Enhancements**

This project will focus on two primary workstreams that will improve the readability to target low literacy adults or English-as-second language (ESL). This will assist those individuals with understanding the requirements and details of their claims. The first workstream will simplify language across all claimant-facing mediums. The second workstream will improve the accessibility and ease-of-use experience of the OUI website and UI application and establish a self-service portal for claimants to check the status of their claim. Improvements will be made using Behavioral Insights and Human-Centered design best practices.

The Kentucky Office of Unemployment Insurance (OUI) offers Unemployment Insurance (UI) related information to claimants, employers, and other stakeholders via a wide range of communication touchpoints, such as the KY OUI website, the UI application and call center, the Unemployment Insurance Handbook for Claimants, official letters or other mailers. These resources are sometimes available in web/online, telephone, printed, or PDF formats.

OUI letters, forms, the Unemployment Insurance Handbook for Claimants, webpages, and other touchpoints for communicating with claimants and employers often contain complex instructions, legal jargon, or are too lengthy, dense, or complicated for a claimant or employer to quickly and easily understand what is required of them.

KY OUI leadership is committed to the use of plain language and has expressed a commitment to implementing plain writing principles in all written communications. UI will support the plain writing initiative by communicating; the importance of using plain language; best practices and helpful tips; leadership's interest in and support of plain writing; and training opportunities (within and outside of the Agency).

Link to the Federal Plain Language Website and Guidelines:

<https://www.plainlanguage.gov/law/>

Plain Language best practices will help claimants with:

- Finding what they need
- Understanding what they find
- Using what they find to meet their needs

Each project will be scalable with funding. First reviewing start date of project, staffing resources, materials, and then outcome metrics.

### **Project 2 - Proactive Mobile Friendly Communications & Customers Experience**

Numerous regions of Kentucky have limited access to broadband internet, this presents concerns regarding equitability and access. By communicating status updates on their claims more proactively, OUI may greatly improve their effectiveness reaching these communities, increase transparency and trust with claimants and drive better mission outcomes. Additionally, these notifications will also impact call center operations and administrative burden resulting from duplicate UI filings.



- Lower wait times – avg wait time for the past 10 months is 78 minutes.
- Decrease of repeat phone inquiries for unique claimant to determine quality services. Track through Amazon Web Services (AWS). AWS is the phone system KY OUI uses to route claimant phone calls. This system can track metrics related to hold times, handle times, queue times, numbers of contacts, handled and transferred. Our goal is to cut average wait times under 40 minutes.

### **Customer Service Experience**

The growing number of customer communication channels make it difficult to maintain a consistent quality of customer experience across the board. Automating customer notifications helps maintain a level of consistency that is not possible when individual agents handle the work. Using recorded voice messages or standard text messages helps improve the customer experience and makes it easy to fine-tune content based on customer feedback or other results.

**What** are the barriers experienced? Current self-service system does not provide real-time clear and enough milestone/status updates on claims post submission. Due to this, UI claimants are unable to readily find the status of their claims. This inability represents a significant pain-point for eligible claimants resulting in issues related to accessibility, particularity in regions with limited broadband access.

**What** is the detailed description of the project? To remedy this issue and reduce the operational burden on OUI call centers, it is recommended that OUI set up automated push notification and status updates to claimants that inform them of the status of their claim. These notifications may be conditional and associated with key milestones or predefined durations in time.

In addition to an email notification, it is also recommended that OUI also send notifications via an SMS text message to increase the likelihood a claimant would see the message immediately instead of waiting until they sign onto email. This would be particularly valuable for low-income households with annual incomes of less than \$30,000 per year as only 59% have access to a desktop or laptop computer and 76% have access to a smartphone device.

Creating a real-time notification process will also affect all claimants in the system. Receiving notifications as they happen will allow claimants to respond with the documents needed 1 – 2 days faster, reducing processing time for OUI and ultimately enabling claimants to receive payment sooner.

Claimants that are unable to receive or chose not to receive messages may seek in-person or direct phone services in the 13 local offices around the Commonwealth and the dedicated call center in the main office building.

Established best practice fraud prevention procedures will run parallel to, and in conjunction, with all user experience enhancements.

Each project will be scalable with funding. First reviewing start date of project, staffing resources, materials, and then outcome metrics.

### **Project 3 - UI Connect Mobile Vehicle Services**

Procurement of a UI Connect Mobile Vehicle and establish KY OUI team members to regularly travel to designated areas to assist underserved communities and disaster recovery with all direct and related UI activities.

UI Mobile Services to include for customer experience:

- Assist with filing a UI claim and set-up of identity verification
- Request Bi-weekly Benefit Payments
- Complete your eligibility review
- Reset your pin
- Change payment method
- Change your mailing address
- Change your email address
- Report Fraudulent claims

**Project Timeline:**

1. A project manager was hired in August 2022 to oversee the project
2. In September 2022, a team was assembled to conduct research and development on various mobile units. As part of the research, a visit to a specialty vehicle dealership to view products was conducted.
3. Submission of required paperwork to our fiscal department for procurement of a purchase request (RFP-Request for Purchase), including a detailed list of required items needed for the mobile unit, is being compiled for submission in the Fall.
4. The RFP was closed on December 23, 2022, which included a detailed listing of requested items. Vendor responses were sent to the two-person evaluation team, which will render a decision on chosen vendors in the first quarter of 2023. The responsibility of the evaluation team is to review responses to make sure mandatory requirements are met. Additional vendor information, such as financial quotes will be forthcoming in the first quarter of 2023.
5. 1/13/23 (completed required SPR1)
6. 2/16/23 (Received draft contract)
7. 3/10/23 (Contract fully complete and signed)
8. 3/21/23 (submitted amendment request to extend period of performance and increase purchase to \$600k)
9. 3/31/23 (continue communications with ETA representatives to amend this project – waiting for approvals)
10. 5/12/23 (received notice of award to amend the period of performance to 3/31/2025).
11. 6/12/23 (received email status update from manufacturer saying the chassis is still pending but on schedule).
12. 8/1/23 (received email from manufacturer saying chassis is scheduled to be delivered in January 2024 which puts us on schedule for assembly to begin in March 2024).

**D. DESCRIBE HOW THE STATE WILL USE W-P FUNDS TO SUPPORT UI CLAIMANTS, AND THE COMMUNICATION BETWEEN W-P AND UI, AS APPROPRIATE INCLUDING THE FOLLOWING:**

1. COORDINATION OF AND PROVISION OF LABOR EXCHANGE SERVICES FOR UI CLAIMANTS AS REQUIRED BY THE WAGNER-PEYSER ACT;

In addition to the aforementioned processes, a key element is staff that understand what both CDO and UI do and how they are both critical to the success of the customer we are serving (Citizens and or Employers).

2. REGISTRATION OF UI CLAIMANTS WITH THE STATE'S EMPLOYMENT SERVICE IF REQUIRED BY STATE LAW;

Currently, registration in a CDO system is not required by State law, however, the work search requirements encourage connectivity.

3. ADMINISTRATION OF THE WORK TEST FOR THE STATE UNEMPLOYMENT COMPENSATION SYSTEM, INCLUDING MAKING ELIGIBILITY ASSESSMENTS (FOR REFERRAL TO UI ADJUDICATION, IF NEEDED), AND PROVIDING JOB FINDING AND PLACEMENT SERVICES FOR UI CLAIMANTS; AND

The Kentucky General Assembly enacted changes to the state's unemployment insurance program during the 2022 regular session through House Bill 4 after overriding Governor Beshear's veto of the bill.

**Work search activities and job contacts can include, but are not limited to, any of the following examples:**

**Formal Job Application**

*Examples: Copy of application confirmation from website or submission email, copy of application email sent to employer, copy of fax application confirmation, copy of your completed paper application, legibly signed, and dated by employer or Kentucky Career Center staff, screenshot of text message showing application submission*

**Job Interview**

*Examples: Documentation of interview scheduling, form letter signed by employer*

**Job Shadowing**

*Examples: Form letter to be completed by employer, includes dates/hours/etc.*

**Job Fair or Networking Event**

*Examples: Business card from participating employer, form letter signed by participating employer or KCC staff*

**Job Search Skills Workshop or Seminar**

*Examples: Email and/or certificate from Kentucky Career Center staff, form letter signed by the presenter to certify participation, screenshots from online participation*

**Employment Search Program through Kentucky Career Center or partner**

*Examples: Confirmation of registration in KEE Suite, documentation of job referral email, form letter signed by program staff to certify participation, screenshots from online participation.*

4. PROVISION OF REFERRALS TO AND APPLICATION ASSISTANCE FOR TRAINING AND EDUCATION PROGRAMS AND RESOURCES.

An Expectation Sheet is provided when services occur within the Kentucky Career Center. Website resources and social media are used to share training opportunities to the wider community.

E. AGRICULTURAL OUTREACH PLAN (AOP). EACH STATE AGENCY MUST DEVELOP AN AOP EVERY FOUR YEARS AS PART OF THE UNIFIED OR COMBINED STATE PLAN REQUIRED UNDER SECTIONS 102 OR 103 OF WIOA. THE AOP MUST INCLUDE AN ASSESSMENT OF NEED. AN ASSESSMENT NEED DESCRIBES THE UNIQUE NEEDS OF FARMWORKERS IN THE AREA BASED ON PAST AND PROJECTED AGRICULTURAL AND FARMWORKER ACTIVITY IN THE STATE. SUCH NEEDS MAY INCLUDE BUT ARE NOT LIMITED TO: EMPLOYMENT, TRAINING, AND HOUSING.

1. ASSESSMENT OF NEED. PROVIDE AN ASSESSMENT OF THE UNIQUE NEEDS OF FARMWORKERS IN THE AREA BASED ON PAST AND PROJECTED AGRICULTURAL AND FARMWORKER ACTIVITY IN THE STATE. SUCH NEEDS MAY INCLUDE BUT ARE NOT LIMITED TO: EMPLOYMENT, TRAINING, AND HOUSING.

Farm workers in the state of Kentucky have unique needs of finding employment outside farm work and meeting their training needs. Currently the Commonwealth of Kentucky helps MSFW find employment through the 11 certified full-service career centers throughout the state. These Career Centers offer services to help with resume preparation, interviewing skills, completion of applications and other services provided by Career center partners. The Career centers also provide training to develop the skills today's employers want. These training may be provided through the Career Center or the many partners. The partners included but are not limited to the KCTCS, WIOA, OVR, OTB, Kentucky Farm Works Program, Experience Works Program.

2. AN ASSESSMENT OF THE AGRICULTURAL ACTIVITY IN THE STATE MEANS: 1) IDENTIFYING THE TOP FIVE LABOR-INTENSIVE CROPS, THE MONTHS OF HEAVY ACTIVITY, AND THE GEOGRAPHIC AREA OF PRIME ACTIVITY; 2) SUMMARIZE THE AGRICULTURAL EMPLOYERS' NEEDS IN THE STATE (I.E. ARE THEY PREDOMINANTLY HIRING LOCAL OR FOREIGN WORKERS, ARE THEY EXPRESSING THAT THERE IS A SCARCITY IN THE AGRICULTURAL WORKFORCE); AND 3) IDENTIFYING ANY ECONOMIC, NATURAL, OR OTHER FACTORS THAT ARE AFFECTING AGRICULTURE IN THE STATE OR ANY PROJECTED FACTORS THAT WILL AFFECT AGRICULTURE IN THE STATE

In Kentucky, the five top labor—intensive crops are tobacco, produce, livestock, row crops and some growers are producing more vegetable crops. The months of increased agricultural activity in Kentucky are from July-December, and the geographic areas for prime activity are mainly in the Central and Western regions.

Because agricultural employers continually need more workers, employers rely heavily on hiring foreign workers due to the scarcity of a local agricultural workforce.

Tobacco companies are reducing the number and size of contracts with farmers. Most reduction in tobacco has taken place in the western part of the state with reduction up 25 percent.

3. AN ASSESSMENT OF THE UNIQUE NEEDS OF FARMWORKERS MEANS SUMMARIZING MIGRANT AND SEASONAL FARM WORKER (MSFW) CHARACTERISTICS (INCLUDING IF THEY ARE PREDOMINANTLY FROM CERTAIN COUNTRIES, WHAT LANGUAGE(S) THEY SPEAK, THE APPROXIMATE NUMBER OF MSFWs IN THE STATE DURING PEAK SEASON AND DURING LOW SEASON, AND WHETHER THEY TEND TO BE MIGRANT, SEASONAL, OR YEAR-ROUND FARMWORKERS). THIS INFORMATION MUST TAKE INTO ACCOUNT DATA SUPPLIED BY WIOA SECTION 167 NATIONAL FARMWORKER JOBS PROGRAM (NFJP) GRANTEEES, OTHER MSFW

ORGANIZATIONS, EMPLOYER ORGANIZATIONS, AND STATE AND/OR FEDERAL AGENCY DATA SOURCES SUCH AS THE U.S. DEPARTMENT OF AGRICULTURE AND THE U.S. DEPARTMENT OF LABOR (DOL) EMPLOYMENT AND TRAINING ADMINISTRATION

During the peak seasons, Kentucky has approximately 9000 Visa workers, 20000 seasonal workers, and approximately 10000 migrant workers. During the low season, there are approximately 1500 Visa workers, 2500 seasonal workers and approximately 2500 migrant workers. Mexico is the predominate country of origin of the MSFW in Kentucky, and most of these workers speak and read **Spanish**.

Staff members provide outreach to MSFWs at KCC offices across the state.

#### 4. OUTREACH ACTIVITIES

The local offices outreach activities must be designed to meet the needs of MSFWs in the State and to locate and contact MSFWs who are not being reached through normal intake activities. Describe the State agency's proposed strategies for:

Because this population is so transient, outreach to Migrant Education Program could be a source to contact additional farmworkers. The Migrant Education Program is an organization that reaches out to the children of farmworkers, so by using this organization, KCC could reach another cohort of the population. Kentucky will continue to reach out to other agencies to provide the best services possible to MSFWs. Kentucky Career Centers also provide the job seekers with one-on-one employment services including resume writing, interviewing techniques and job application completion. Additionally, KCC provides the job seeker with a Web-based program, Kentucky Career Portal, which helps develop a resume and track job leads online.

Staff members are active in the regional business service teams and have a Web-based program, Kentucky Labor Exchange (NLX), which allows employers to search online for qualified candidates.

##### A. CONTACTING FARMWORKERS WHO ARE NOT BEING REACHED BY THE NORMAL INTAKE ACTIVITIES CONDUCTED BY THE EMPLOYMENT SERVICE OFFICES

Because this population is so transient, outreach to Migrant Education Program could be a source to contact additional farmworkers. The Migrant Education Program is an organization that reaches out to the children of farmworkers, so by using this organization, KCC could reach another cohort of the population. Kentucky will continue to reach out to other agencies to provide the best services possible to MSFWs. Kentucky Career Centers also provide the job seekers with one-on-one employment services including resume writing, interviewing techniques and job application completion. Additionally, KCC provides the job seeker with a Web-based program, Kentucky Career Portal, which helps develop a resume and track job leads online.

Staff members are active in the regional business service teams and have a Web-based program, Kentucky Labor Exchange (NLX), which allows employers to search online for qualified candidates.

##### B. PROVIDING TECHNICAL ASSISTANCE TO OUTREACH STAFF. TECHNICAL ASSISTANCE MUST INCLUDE TRAININGS, CONFERENCES, ADDITIONAL RESOURCES, AND INCREASED COLLABORATION WITH OTHER ORGANIZATIONS ON TOPICS SUCH AS ONE-STOP CENTER SERVICES (I.E. AVAILABILITY OF REFERRALS TO TRAINING, SUPPORTIVE SERVICES, AND CAREER SERVICES, AS WELL AS SPECIFIC EMPLOYMENT OPPORTUNITIES), THE

EMPLOYMENT SERVICE AND EMPLOYMENT-RELATED LAW COMPLAINT SYSTEM  
("COMPLAINT SYSTEM" DESCRIBED AT 20 CFR 658 SUBPART E), INFORMATION ON THE  
OTHER ORGANIZATIONS SERVING MSFWs IN THE AREA, AND A BASIC SUMMARY OF  
FARMWORKER RIGHTS, INCLUDING THEIR RIGHTS WITH RESPECT TO THE TERMS AND  
CONDITIONS OF EMPLOYMENT.

The MSFW Program works with all KCC statewide partners to ensure that MSFW participants receive all the services provided by KCC. All MSFW participants are made aware of farmworker rights with respect to the terms and conditions of employment. All outreach staff are included in trainings provided by the Career Development Office as well as the Department of Workforce Investment. In addition, staff register to attend webinars on Workforce GPS. They are provided any technical assistance needed. Training modules and tools are provided by the National Monitoring Advocate Team

C. INCREASING OUTREACH WORKER TRAINING AND AWARENESS ACROSS CORE PROGRAMS  
INCLUDING THE UNEMPLOYMENT INSURANCE (UI) PROGRAM AND THE TRAINING ON  
IDENTIFICATION OF UI ELIGIBILITY ISSUES

KCC services including vocational rehabilitation; blind services; employment and UI services; the Kentucky Farmworker Program; and Experience Works, a service offering training through the Senior Community Service Employment Program (SCSEP) to low-income older workers in 60 counties in Kentucky, are available to all MSFW participants. All MSFWs have access to the KCC offices. All staff are included in trainings provided by the Career Development Office as well as the Department of Workforce Investment. In addition, staff register to attend webinars on Workforce GPS. They are provided any technical assistance needed.

D. PROVIDING STATE MERIT STAFF OUTREACH WORKERS PROFESSIONAL DEVELOPMENT  
ACTIVITIES TO ENSURE THEY ARE ABLE TO PROVIDE HIGH QUALITY SERVICES TO BOTH  
JOBSEEKERS AND EMPLOYERS

Staff members provide outreach to MSFWs at the more than 81 certified and more than 120 uncertified KCC offices across the state. KCC provides the job seekers with one-on-one employment services including resume writing, interviewing techniques and job application completion. Additionally, KCC provides a Web-based program, Focus Career, that helps the job seeker develop a resume and track job leads on the Internet. Staff members also are active in the regional business service teams and have a Web-based program called Focus Talent that allows employers to search online for qualified candidates.

All staff are included in trainings provided by the Career Development Office as well as the Department of Workforce Investment. In addition, staff register to attend webinars on Workforce GPS. They are provided any technical assistance needed.

KCC and the Kentucky MSFW program work closely with the Kentucky Farmworker (NFJR Grantee) program to employ farmworkers throughout Kentucky in fulltime employment outside agriculture and high paying job within agriculture. The Kentucky MSFW program also works with Migrant Education and migrant health programs to provided needed services the MSFW participants. KCC services are available to all MSFW participants, including vocational rehabilitation; blind services; employment and basic UI services; the Kentucky Farmworker Program; and Experience Works, a service offering training through the Senior Community Service Employment Program (SCSEP) to low-income, older workers in 60 counties across Kentucky

E. COORDINATING OUTREACH EFFORTS WITH NFJP GRANTEES AS WELL AS WITH PUBLIC AND PRIVATE COMMUNITY SERVICE AGENCIES AND MSFW GROUPS

The KCC and the Kentucky MSFW program collaborate and partner with the Kentucky Farmworker- National Farmworker Jobs Program (NFJP) to employ farmworkers throughout Kentucky in full-time employment outside agriculture and high-paying jobs within agriculture. The Kentucky MSFW program also partners with Migrant Education and migrant health programs to provide needed services to the MSFW participants.

KCC services are available to all MSFW participants to provide job seekers with individualized employment services, including resume writing, interviewing techniques, and job application completion. These services are available both in-person and virtually. There are also various options available on the KCC webpage: <https://kcc.ky.gov/Pages/index.aspx>. The Kentucky Labor Exchange is available to search for employers seeking qualified job seekers. As the majority of MSFWs communicate in languages other than English, the KCC partners with Interpretalk to provide services and to encourage MSFWs to utilize the resources available to them through the one-stop system.

The KCC collaborates extensively with numerous partners, including but not limited to the Kentucky Community & Technical College System (KCTCS), other state universities that offer educational information and training for agricultural employment, including the University of Kentucky, Berea College, Eastern Kentucky University, Murray State University, Western Kentucky University, and others, the Workforce Innovation & Opportunity Act (WIOA) partners, the Office of Vocational Rehabilitation (OVR), Kentucky Farm Works Program, National Farmworker Jobs Program (NFJP), Experience Works program, training through the Senior Community Service Employment Program (SCSEP) to low-income older workers throughout Kentucky

5. SERVICES PROVIDED TO FARMWORKERS AND AGRICULTURAL EMPLOYERS THROUGH THE ONE-STOP DELIVERY SYSTEM

Describe the State agency's proposed strategies for:

A. PROVIDING THE FULL RANGE OF EMPLOYMENT AND TRAINING SERVICES TO THE AGRICULTURAL COMMUNITY, BOTH FARMWORKERS AND AGRICULTURAL EMPLOYERS, THROUGH THE ONE-STOP DELIVERY SYSTEM. THIS INCLUDES:

I. HOW CAREER AND TRAINING SERVICES REQUIRED UNDER WIOA TITLE I WILL BE PROVIDED TO MSFWS THROUGH THE ONE-STOP CENTERS

II. HOW THE STATE SERVES AGRICULTURAL EMPLOYERS AND HOW IT INTENDS TO IMPROVE SUCH SERVICES

**i. How career and training services required under WIOA Title I will be provided to MSFWs through the one-stop centers**

KCC provides the job seekers with one—on—one employment services including resume writing, interviewing techniques and job application completion. Additionally, KCC provides the job seeker with a Web—based program, Focus Career, which helps develop a resume and track job leads online. Staff members are active in the regional business service teams and have a Web—based program, Focus Talent which allows employers to search online for qualified candidates.

## **ii. How the State serves agricultural employers and how it intends to improve such services**

Staff members are active in the regional business service teams and have a Web—based program, Focus Talent, which allows employers to search online for qualified candidates.

### **B. MARKETING THE EMPLOYMENT SERVICE COMPLAINT SYSTEM TO FARMWORKERS AND OTHER FARMWORKER ADVOCACY GROUPS**

The Career Development Office (“CDO”) as the State Workforce Agency shall follow the guidelines as predetermined by the U.S. Department of Labor (“DOL”) when a complaint is submitted by a migrant seasonal farm worker (“MSFW”) employed through the H-2A visa program under the complaint system for the Wagner-Peyser Act Employment Service.

#### **Filing Complaints:**

Whenever an individual files a complaint with the Employment Services (“ES”) office, the ES employee receiving the complaint shall comply with 20 C.F.R. Sec. 658.411 by: 1) ensuring the complainant or his/her representative submits the complaint in writing and signed by the complainant or his/her representative; 2) ensuring that the complaint contains sufficient information to initiate an investigation or attempt to assist the complainant obtain any further information necessary to investigate the complaint; 3) request all contact information from the complainant, and; 4) request the complainant to contact the Complaint System Representative (“CSR”) before leaving the area, and explain the need to have current contact information of the complainant for future communications. The ES office receiving the complaint shall confirm receipt of the complaint in writing via regular mail or email sent to the complainant and copied to the CSR. The CSR must request additional information from the complainant if s/he determines the complainant has not provided sufficient information to investigate the matter expeditiously.

#### **Employment-related Law Complaints:**

When a MSFW files a complaint regarding an employment-related law, the ES office or the CSR shall attempt to resolve the issue informally at the local level unless the State Monitor Advocate (“SMA”) determines that s/he must take immediate action or where it is determined that informal resolution will be detrimental to the complainant(s). In cases where it is determined that informal resolution will be detrimental to the complainant(s), the CSR or the SMA shall immediately refer the complaint to the appropriate enforcement agency and must offer to refer the MSFW to other employment services if the complainant is interested.

In the instance where an informal resolution at the local level is not reached within five (5) business days, the ES shall refer the complaint to the appropriate enforcement agency, another public agency, or a legal aid or consumer advocate organization, as appropriate for further assistance.

If the ES Office or CSR determines that the complaint must be referred to a State or Federal agency, the complaint must immediately be referred to the SMA who must immediately refer the complaint to the appropriate enforcement agency for prompt action. The CSR must also provide the complainant with the SMA’s contact information, and the SMA must notify the complainant of the enforcement agency to which his/her complaint was referred.

If the enforcement agency to which a complaint regarding an employment-related law is referred makes a final determination that the Employer violated an employment-related law and the complaint is related to a job order, the CDO shall initiate procedures to discontinue



services to the Employer immediately in accordance with DOL regulations and must notify the complainant and the Employer of this action.

#### Complaints alleging a violation of civil rights under the EEOC:

All complaints received by the CDO alleging unlawful discrimination or retaliation for protected activity in violation of EEOC regulations, or violations of civil rights laws and regulations under, for example, Title VI of the Civil Rights Act or Section 188 of WIOA on the basis of citizenship status or participant status or retaliation for protected activity must be logged and immediately referred to a local Equal Opportunity (“EO”) representative, the State EO representative or the EEOC, and the CSR must notify the complainant of the referral in writing.

#### ES Regulations Complaints (ES Complaints):

When a MSFW files an ES Complaint against an Employer, an ES Office or the CDO, the CSR shall investigate the complaint and attempt to resolve the complaint informally upon receipt. If the complaint is not resolved to the satisfaction of the complainant within 5 working days after receipt of the complaint, or within 5 days after all necessary information to investigate the complaint is received, the CSR must send the complaint to the CDO for resolution or further action. The ES Office shall notify the complainant and respondent of the determination of its investigation, or of its referral to the CDO in writing via regular mail or email.

When a MSFW complaint is filed with the CDO or referred to the CDO from an ES Office, the SMA shall investigate the complaint and attempt to resolve the complaint immediately. If the SMA is unable to resolve the complaint within 20 business days after the complaint was received or after further investigation to obtain all necessary information, the SMA must make a written determination regarding the complaint and send copies of the determination to the complainant and the respondent via certified mail and email.

The complaint determination shall include the following: 1) the results of the complaint investigation; 2) the SMA’s conclusions related to the complaint allegations, and; 3) an explanation for why resolution of the complaint was not reached. If the complaint is against the CDO, or if the complaint is against an Employer and the SMA determines that the Employer has not violated the ES regulations, the complainant shall be notified of the right to request a hearing in writing within 20 business days after the date the SMA’s determination is received.

If the CDO receives a written request for hearing by regular mail or email within 20 business days of the complainant’s receipt of the SMA’s determination regarding the complaint, the CDO shall refer the complaint to a State hearing official, and notify the complainant(s) and respondent(s) of the following: 1) the date, time and place of hearing, if known; 2) that any party may be represented at the hearing by an attorney or other representative; 3) that the parties may present witnesses and documentary evidence at the hearing; 4) that the parties may cross-examine opposing witnesses at the hearing; 5) that the decision on the complaint will be based on the evidence presented at the hearing; 6) that the assigned State hearing official may reschedule the hearing upon request of a party or their representative, and; 7) that the party requesting the hearing may withdraw the request for hearing in writing before the hearing with the consent of the CDO and the State hearing official.

If the CDO or the State hearing official after hearing makes the determination that the Employer has violated the ES regulations and the Employer has or is using the ES, the determination must also state that the CDO will initiate procedures to discontinue services to the Employer in accordance with DOL regulations.

#### Hearing and appeals process:

Pursuant to 20 C.F.R. Sec. 658.417-18, if the ES receives a request for a hearing within 20 business days after the receipt of notification, it shall be referred to a State Hearing Official for a hearing. The State Hearing Official's decision shall be the final state-level decision. All decisions of a State Hearing Official must be accompanied by a written notice informing the parties that they may appeal the decision within 20 business days of the certified date of receipt of the decision. Pursuant to KRS 13B.020(4), the State Hearing Official shall comply with federal law.

A party may appeal the final decision of the State Hearing Official in writing with the Regional Administrator pursuant to 20 CFR 658.418(c).

#### C. MARKETING THE AGRICULTURAL RECRUITMENT SYSTEM FOR U.S. WORKERS (ARS) TO AGRICULTURAL EMPLOYERS AND HOW IT INTENDS TO IMPROVE SUCH PUBLICITY.

Information on the Agricultural Recruitment System is provided at employer meetings and at agricultural trade shows.

### 6. OTHER REQUIREMENTS

#### A. COLLABORATION

Describe any collaborative agreements the state workforce agency (SWA) has with other MSFW service providers including NFJP grantees and other service providers. Describe how the SWA intends to build upon/increase collaboration with existing partners and in establishing new partners over the next four years (including any approximate timelines for establishing agreements or building upon existing agreements).

NFJP staff will continue to have access to the systems used by the Kentucky Career Centers. KCC began establishing relationships with Kentucky Migrant Education Program and the Kentucky Migrant Health Care System over the last year. KCC will continue to build a better working relationship with both agencies

#### B. REVIEW AND PUBLIC COMMENT

In developing the AOP, the SWA must solicit information and suggestions from NFJP grantees, other appropriate MSFW groups, public agencies, agricultural employer organizations, and other interested organizations. In addition, at least 45 calendar days before submitting its final AOP, the SWA must provide a proposed plan to NFJP grantees, public agencies, agricultural employer organizations, and other organizations expressing an interest and allow at least 30 days for review and comment. The SWA must: 1) Consider any comments received in formulating its final proposed AOP; 2) Inform all commenting parties in writing whether their comments have been incorporated and, if not, the reasons therefore; and 3) Transmit the comments and recommendations received and its responses with the submission of the AOP.

The AOP must include a statement confirming NFJP grantees, other appropriate MSFW groups, public agencies, agricultural employer organizations and other interested employer organizations have been given an opportunity to comment on the AOP. Include the list of organizations from which information and suggestions were solicited, any comments received, and responses to those comments.

Each State Workforce Agency (SWA) must develop an Agricultural Outreach Plan (AOP) every four (4) years as part of their State Plans required under the Workforce Innovation and Opportunity Act (WIOA). Each SWA shall operate an outreach program to locate and contact Migrant and Seasonal Farm Workers (MSFWs) who are not being reached by the normal intake activities conducted by the local offices. To this end, each state agency must include an annual Agricultural Outreach Plan in accordance with Regulations at 20 CFR 653.107, which require that the **Outreach Plan** include the following elements:

- A. Assessment of unique needs of MSFWs in the area based on past and projected agricultural and MSFW activity in the State;
- B. Provide an assessment of available resources for outreach;
- C. Describe the SWA 's proposed outreach activities, including strategies on how to contact MSFWs not being reached by the normal intake activities conducted by the one-stop center;
- D. Describe the activities planned for providing the full range of employment and training services to the agricultural community, including both MSFWs and agricultural employers, through the one-stop centers and
- E. Provide an assurance that the SWA is complying with the requirements under § 653.111 if the State has significant MSFW one-stop centers.

**A. Assessment of Unique Needs of MSFWs**

The 2023 Feeding the Economy report demonstrates the resilience and strength of America's food and agricultural sector, showing an increased economic output in every State compared to the 2022 report. These industries are responsible for over \$8.6 trillion, nearly 20%-of the country's economic activity, directly supporting nearly 23 million jobs (15% of U.S. employment). The USDA reports that in 2023, the Commonwealth of Kentucky supported 683,234 total jobs and 339,337 direct jobs related to agriculture.

In 2022, the top five commodities in the Commonwealth of Kentucky (see Chart 1 below) included corn, broilers, soybeans, and other animals, including horses and cattle/calves. In 2022, the top five agricultural exports in the Commonwealth of Kentucky (see Chart 2) included horses (other livestock), soybeans, corn, tobacco, feeds, and other grains. According to the USDA, in 2022, Kentucky's agricultural cash receipts totaled \$9.922 billion.

[Source: USDA-NASS Economic Research Service Kentucky Fact Sheet and Census of Agriculture]

Chart 1

Top Five Commodities by Sales Receipts in 2022:	
Corn billion	\$1.447
Broilers billion	\$1.427
Soybeans billion	\$1.392

Top Five Commodities by Sales Receipts in 2022:	
All other animals/products (including horses) billion	\$1.224
Cattle and Calves billion	\$1.101

[Source: USDA-NASS Economic Research Service Kentucky Fact Sheet and Census of Agriculture]

Chart 2

Top Five Agricultural Exports	
Horses (other livestock) million	\$789.3
Soybeans million	\$766.7
Corn million	\$303.3
Tobacco million	\$257.6
Feeds and other feed grains	\$229 million
Total exports:	\$3.29 billion

[Source: USDA-NASS Economic Research Service Kentucky Fact Sheet and Census of Agriculture]

The net farm income in Kentucky rose from \$3,235,538,000 in 2022 to \$4,117,607,000 in 2023, according to the USDA Farm Income and Wealth Statistics. The gross cash income for all commodity receipts totaled approximately \$9.9 billion, according to the USDA-NASS Economic Research Service Kentucky Fact Sheet and Census of Agriculture.

Kentucky Agriculture Cash Receipts in 2022:	
Animals & products billion	\$4.467
Crops billion	\$3.839
Farm-related income billion	\$2.116
Total Farm Income billion	\$9.922

[Source: USDA-NASS Economic Research Service Kentucky Fact Sheet and Census of Agriculture]

The Commonwealth of Kentucky has remained consistent with its top five commodities for over a decade, with only the output of each determining their ranking. This is not an indication of stagnation, but rather, it provides a pattern of labor-based needs in the State. Due to the fluctuation of the timing of crops and commodities, farm workers in the Commonwealth of Kentucky often need to find employment outside farm work and/or meet their training needs.

**B. Provide an assessment of available resources for outreach.**

The roles and responsibilities of outreach workers are to:

- Contact and locate MSFWs where they live, gather, or work;
- Observe the working and living conditions;
- Explain all available services;
- Refer to job openings and supportive services;
- Explain basic farmworker rights when the MSFW is referred to a job;
- Assist in making appointments and
- Provide all information relating to the job service complaint system and assist in the preparation of a worker complaint.

The KCC and the Kentucky MSFW program collaborate and partner with the Kentucky Farmworker- National Farmworker Jobs Program (NFJP) to employ farmworkers throughout Kentucky in full-time employment outside agriculture and high-paying jobs within agriculture. The Kentucky MSFW program also partners with Migrant Education and migrant health programs to provide needed services to the MSFW participants.

KCC services are available to all MSFW participants to provide job seekers with individualized employment services, including resume writing, interviewing techniques, and job application completion. These services are available both in-person and virtually. There are also various options available on the KCC webpage: <https://kcc.ky.gov/Pages/index.aspx>. The Kentucky Labor Exchange is available to search for employers seeking qualified job seekers. As the majority of MSFWs communicate in languages other than English, the KCC partners with Interpretalk to provide services and to encourage MSFWs to utilize the resources available to them through the one-stop system.

The KCC collaborates extensively with numerous partners, including but not limited to the Kentucky Community & Technical College System (KCTCS), other state universities that offer educational information and training for agricultural employment, including the University of Kentucky, Berea College, Eastern Kentucky University, Murray State University, Western Kentucky University, and others, the Workforce Innovation & Opportunity Act (WIOA) partners, the Office of Vocational Rehabilitation (OVR), Kentucky Farm Works Program, National Farmworker Jobs Program (NFJP), Experience Works program, training through the Senior Community Service Employment Program (SCSEP) to low-income older workers throughout Kentucky. Additionally, there are posters located in the KCCs with instructions on how and where to file a complaint.

**Administrative Review Process for Migrant Services Complaints**

The Career Development Office (CDO) as the State Workforce Agency shall follow the guidelines as predetermined by the U.S. Department of Labor (DOL) when a complaint is submitted by a

migrant seasonal farm worker ("MSFW") employed through the H-2A visa program under the complaint system for the Wagner-Peyser Act Employment Service.

#### Filing Complaints:

Whenever an individual files a complaint with the Employment Services (ES) office, the E.S. employee receiving the complaint shall comply with 20 C.F.R. Sec. 658.411 by 1) ensuring the complainant or his/her representative submits the complaint in writing and signed by the complainant or his/her representative; 2) ensuring that the complaint contains sufficient information to initiate an investigation or attempt to assist the complainant obtain any further information necessary to investigate the complaint; 3) request all contact information from the complainant, and; 4) request the complainant to contact the Complaint System Representative (CSR) before leaving the area, and explain the need to have current contact information of the complainant for future communications. The ES office receiving the complaint shall confirm receipt of the complaint in writing via regular mail or email sent to the complainant and copied to the C.S.R. The CSR must request additional information from the complainant if s/he determines the complainant has not provided sufficient information to investigate the matter expeditiously.

#### Employment-related Law Complaints:

When an MSFW files a complaint regarding an employment-related law, the ES office or the CSR shall attempt to resolve the issue informally at the local level unless the State Monitor Advocate (SMA) determines that s/he must take immediate action or where it is determined that informal resolution will be detrimental to the complainant(s). In cases where it is determined that informal resolution will be detrimental to the complainant(s), the CSR or the SMA shall immediately refer the complaint to the appropriate enforcement agency and must offer to refer the MSFW to other employment services if the complainant is interested.

In the instance where an informal resolution at the local level is not reached within five (5) business days, the ES shall refer the complaint to the appropriate enforcement agency, another public agency, or a legal aid or consumer advocate organization, as appropriate (the language preceding is being reinserted because the appropriate enforcement agency could be a large variety of agencies from W&H to OSHA to the State Dept.) [insert agency/entity name] for further assistance.

Suppose the ES Office or CSR determines that the complaint must be referred to a State or Federal agency. In that case, the complaint must immediately be referred to the SMA, who must immediately refer the complaint to the appropriate enforcement agency for prompt action. The CSR must also provide the complainant with the SMA's contact information, and the SMA must notify the complainant of the enforcement agency to which their complaint was referred.

Suppose the enforcement agency to which a complaint regarding an employment-related law is referred makes a final determination that the Employer violated an employment-related law and the complaint is related to a job order. In that case, the CDO shall initiate procedures to discontinue services to the Employer immediately in accordance with DOL regulations and must notify the complainant and the Employer of this action.

#### Complaints alleging a violation of civil rights under the EEOC:

All complaints received by the CDO alleging unlawful discrimination or retaliation for protected activity in violation of EEOC regulations or violations of civil rights laws and regulations under, for example, Title VI of the Civil Rights Act or Section 188 of WIOA on the basis of citizenship status or participant status or retaliation for protected activity must be logged and immediately

referred to a local Equal Opportunity (EO) representative, the State EO representative or the EEOC, and the CSR must notify the complainant of the referral in writing.

#### ES Regulations Complaints (ES Complaints):

When an MSFW files an ES Complaint against an Employer, an ES Office, or the CDO, the CSR shall investigate the complaint and attempt to resolve the complaint informally upon receipt. Suppose the complaint is not resolved to the satisfaction of the complainant within five working days after receipt of the complaint or within five days after all necessary information to investigate the complaint is received. In that case, the CSR must send the complaint to the CDO for resolution or further action. The ES Office shall notify the complainant and respondent of the determination of its investigation or its referral to the CDO in writing via regular mail or email.

When an MSFW complaint is filed with the CDO or referred to the CDO from an ES Office, the SMA shall investigate the complaint and attempt to resolve the complaint immediately. Suppose the SMA is unable to resolve the complaint within 20 business days after the complaint was received or after further investigation to obtain all necessary information. In that case, the SMA must make a written determination regarding the complaint and send copies of the determination to the complainant and the respondent via certified mail and email.

The complaint determination shall include the following: 1) the results of the complaint investigation; 2) the SMAs conclusions related to the complaint allegations; and 3) an explanation for why resolution of the complaint was not reached. If the complaint is against the CDO, or if the complaint is against an Employer and the SMA determines that the Employer has not violated the ES regulations, the complainant shall be notified of the right to request a hearing in writing within 20 business days after the date the SMAs determination is received.

If the CDO receives a written request for a hearing by regular mail or email within 20 business days of the complainant's receipt of the SMAs determination regarding the complaint, the CDO shall refer the complaint to a State hearing official and notify the complainant(s) and respondent(s) of the following: 1) the date, time and place of hearing, if known; 2) that any party may be represented at the hearing by an attorney or other representative; 3) that the parties may present witnesses and documentary evidence at the hearing; 4) that the parties may cross-examine opposing witnesses at the hearing; 5) that the decision on the complaint will be based on the evidence presented at the hearing; 6) that the assigned State hearing official may reschedule the hearing upon request of a party or their representative, and; 7) that the party requesting the hearing may withdraw the request for hearing in writing before the hearing with the consent of the CDO and the State hearing official.

Suppose the CDO or the State hearing official, after hearing, makes the determination that the Employer has violated the ES regulations, and the Employer has or is using the ES. In that case, the determination must also state that the CDO will initiate procedures to discontinue services to the Employer in accordance with DOL regulations.

#### Hearing and appeals process:

Pursuant to 20 CFR Sec. 658.417-18, if the ES receives a request for a hearing within 20 business days after the receipt of notification, it shall be referred to a State Hearing Official for a hearing. The State Hearing Official's decision shall be the final state-level decision. All decisions of a State Hearing Official must be accompanied by a written notice informing the parties that they may appeal the decision within 20 business days of the certified date of receipt of the decision. Pursuant to KRS 13B.020(4), the State Hearing Official shall comply with federal law.

A party may appeal the final decision of the State Hearing Official in writing with the Regional Administrator pursuant to 20 CFR 658.418(c).

**C. Describe the SWAs proposed outreach activities, including strategies on how to contact MSFWs not being reached by the normal intake activities conducted by the one-stop center**

Employment in agriculture is inherently difficult to estimate because agricultural production, and in particular crop production, is characterized by seasonal fluctuations in the demand for farm labor, often for short periods. For example, most crops must be planted at certain times of the year, cultivated, harvested, and prepared for market as they ripen. As a result, the Commonwealth agriculture-based employers have traditionally employed seasonal and sometimes migrant farm workers who move from farm to farm and region to region. However, official estimates of agricultural employment are derived from a survey of agricultural establishments that participate in the Unemployment Insurance (UI) system and are, therefore, more likely to count more permanent agricultural workers than MSFWs.

The Kentucky Career Center (KCC) operates an outreach program to locate, identify, and contact those MSFWs who are not being reached through normal intake activities conducted at local offices. The following plan describes the KCC outreach policy, goals, and objectives developed in accordance with federal regulations in 20 CFR 653.

In addition to internet resources, the KCC maintains a collaborative partnership with the Kentucky Farm Worker program (167 grantees), the Kentucky Department of Education's Migrant Education Program, the Kentucky Farm Bureau, the Governor's Office of Agricultural Policy, the Kentucky Department of Agriculture and the University of Kentucky Agricultural Extension Service to provide assistance in MSFW efforts and to facilitate the sharing of information and the discussion of issues that affect migrant and seasonal farm workers.

The State Monitor Advocate ensures that all KCC locations are operated consistently within the American Job Center model and offers a customer-friendly focus to enhance the use of KCC locations by the MSFW community while located in the Commonwealth.

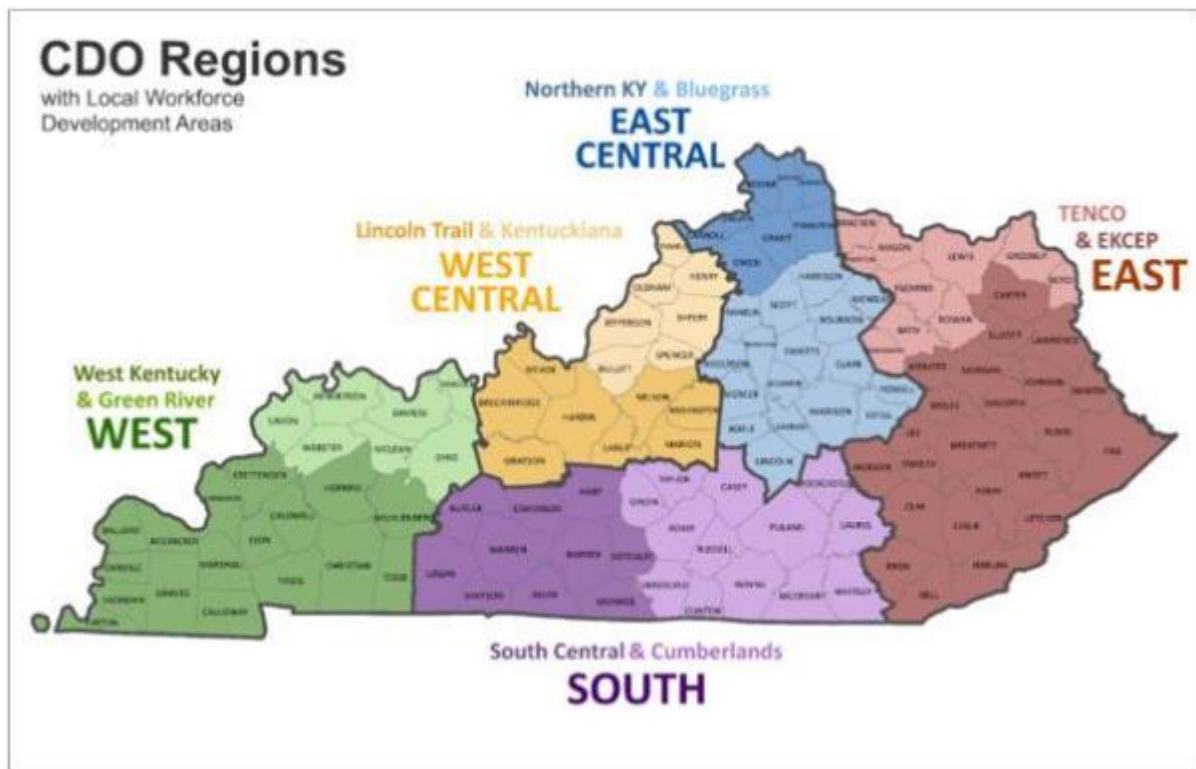
The KCC has designated staff members who are trained in the MSFW outreach methods. This staff has also received training in KCC services, the use of the complaint system, and services available from other community and state agencies. The State Monitor Advocate provides outreach services by visiting worksites, MSFW housing, and other areas of work concentration. Outreach workers carry identification as employees of KCC/ELC.

The KCC continues to provide outreach to increase the number of MSFWs contacted and informed about available resources. The outreach will be accomplished with assistance from groups such as the Latino Housing Coalition, the Kentucky Human Rights Commission, the Kentucky Department of Agriculture, the Kentucky Farm Bureau, the University of Kentucky Agricultural Extension Service, and the Kentucky Farm Worker Program.

The DOL Employment and Training Administration (ETA) requires that states ensure equity of services for MSFWs and non-MSFWs. The Commonwealth can track outcomes for regular job seekers, including MSFWs, such as receiving staff-assisted services, referrals to supportive services, referrals to jobs, career guidance, and job development contacts to ensure MSFWs receive equitable services. The ratio of MSFWs to the total population served is relatively low. The Commonwealth will utilize a regional approach to conduct outreach to MSFWs with concentrated efforts in the Bluegrass, Green River, Lincoln Trail, South Central, TENCO, and



Western Kentucky areas where there are higher numbers of MSFWs. Wagner-Peyser funding will be utilized for the services provided.



The Commonwealth of Kentucky assists MSFWs in connecting with employment opportunities through the 12 certified full-service career centers serving the State. These career centers offer services to assist with resume preparation, interviewing skills, completion of applications, and other services provided by KCC partners.

The Commonwealth makes the services of the KCC available to all job seekers, including MSFWs, in an equitable manner. Each site must offer the full range of employment services, benefits, and protections, including counseling, testing, and job and training referral services. These services are offered to MSFWs as well as non-MSFWs. Therefore, the services available from sites, including all other DOL-funded WIOA services, must be available to MSFWs in a manner appropriate to their needs as job seekers.

The 12 certified full-service career centers throughout the State assist agricultural employers by writing job orders and training employers to use the state online resources to post and attract qualified candidates for available positions. The KCC staff also encourages U.S. workers and job seekers to apply for these positions. The KCC Business Services Teams (BST) provide outreach visits to employers, including agricultural employers, to inform them about KCC services. Strong relationships with the employers are essential as the employers are able to rely on the KCC and MSFW staff to assist with filling vacancies.

The career centers and their partners also provide training opportunities to help job seekers develop the skills employers are seeking. The partners include, but are not limited to, the Kentucky Community & Technical College System (KCTCS), the Workforce Innovation & Opportunity Act (WIOA) partners, the Office of Vocational Rehabilitation (OVR), Kentucky Farm Works Program, National Farmworker Jobs Program (NFJP), Experience Works Program.

**E. Provide an assurance that the SWA is complying with the requirements under § 653.111 if the State has significant MSFW one-stop centers**

While Kentucky is considered a significant state, we do not have US DOL designated one-stop centers

per, <https://www.dol.gov/sites/dolgov/files/ETA/Significant%20MSFW%20State%20and%20One-Stop%20Center%20Designations%20PY%202021.pdf>

The agencies that will provide a copy of the AOP are:

- Kentucky Farm Worker Programs Inc.
- Kentucky Migrant Education Program
- Kentucky Migrant Health Care Program
- Kentucky Farm Bureau Federation
- Agriculture Workforce Management Association, Inc.

**C. DATA ASSESSMENT**

Review the previous four years Wagner-Peyser data reports on performance. Note whether the State has been meeting its goals to provide MSFWs quantitatively proportionate services as compared to non-MSFWs. If it has not met these goals, explain why the State believes such goals were not met and how the State intends to improve its provision of services in order to meet such goals.

KCC has met its goals, in regards to services to the MSFWs identified in the job service system.

KCC plans to work with the other agencies to better reach the MSFW population and make it aware of KCC services. Kentucky continues to work towards better integrity of its data to ensure the accuracy.

Kentucky continues to work towards better integrity of its data to ensure the accuracy.

**D. ASSESSMENT OF PROGRESS**

The plan must include an explanation of what was achieved based on the previous AOP, what was not achieved and an explanation as to why the State believes the goals were not achieved, and how the State intends to remedy the gaps of achievement in the coming year.

KCC has met its goals, in regards to services to the MSFWs identified in the job service system. KCC plans to work with the other agencies to better reach the MSFW population and make it aware of KCC services

**E. STATE MONITOR ADVOCATE**

The plan must contain a statement confirming the State Monitor Advocate has reviewed and approved the AOP.

The state monitor advocate has been involved with, and has reviewed and approved the AOP.

**WAGNER-PEYSER ASSURANCES**

The State Plan must include assurances that:

The State Plan must include	Include
1. The Wagner-Peyser Act Employment Service is co-located with one-stop centers or a plan and timeline has been developed to comply with this requirement within a reasonable amount of time (sec 121(e)(3));	Yes
2. If the State has significant MSFW one-stop centers, the State agency is complying with the requirements under 20 CFR 653.111, State Workforce Agency staffing requirements;	Yes
3. If a State Workforce Development Board, department, or agency administers State laws for vocational rehabilitation of persons with disabilities, that board, department, or agency cooperates with the agency that administers Wagner-Peyser Act services, Adult and Dislocated Worker programs and Youth Programs under Title I; and	Yes
4. SWA officials: <ul style="list-style-type: none"> <li>1) Initiate the discontinuation of services;</li> <li>2) Make the determination that services need to be discontinued;</li> <li>3) Make the determination to reinstate services after the services have been discontinued;</li> <li>4) Approve corrective action plans;</li> <li>5) Approve the removal of an employer's clearance orders from interstate or intrastate clearance if the employer was granted conditional access to ARS and did not come into compliance within 5 calendar days;</li> <li>6) Enter into agreements with State and Federal enforcement agencies for enforcement-agency staff to conduct field checks on the SWAs' behalf (if the SWA so chooses); and</li> <li>7) Decide whether to consent to the withdrawal of complaints if a party who requested a hearing wishes to withdraw its request for hearing in writing before the hearing.</li> </ul>	Yes
5. The SWA has established and maintains a self-appraisal system for ES operations to determine success in reaching goals and to correct deficiencies in performance (20 CFR 658.601).	Yes

**WAGNER PEYSER PROGRAM PERFORMANCE INDICATORS**

**Performance Goals for the Core Programs**

Each state submitting a Unified or Combined State Plan is required to identify expected levels of performance for each of the primary indicators of performance for the first two years covered by the plan. The state is required to reach agreement with the Secretary of Labor, in conjunction with the Secretary of Education, on state-negotiated levels of performance for the indicators for each of the first two years of the plan.

For Program Year (PY) 2016-2019 plans, the Departments used the transition authority under section 503(a) of WIOA to designate certain primary indicators of performance as “baseline” indicators to ensure an orderly transition from the requirements of the Workforce Investment Act of 1998 to those under WIOA. A “baseline” indicator was one for which states did not propose an expected level of performance and did not come to agreement with the Departments on negotiated levels of performance because sufficient data was not available to establish such performance levels. As a result, “baseline” indicators were not used in the end of the year adjustment of performance levels and were not used to determine failure to meet adjusted levels of performance for purposes of sanctions. The Departments designated indicators as “baseline” based on the likelihood of a State having insufficient data with which to make a reasonable determination of an expected level of performance.

For PYs 2020-2023 Plans, Title I programs (Adult, Dislocated Worker, and Youth) and the Title II program (Adult Education and Family Literacy Act) will have two full years of data available to make reasonable determinations of expected levels of performance for the following indicators for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit);
- Median Earnings (Second Quarter after Exit);
- Credential Attainment Rate; and
- Measurable Skill Gains

The Wagner-Peyser Act Employment Service program, authorized under the Wagner-Peyser Act, as amended by title III of WIOA, will have two full years of data available to make a reasonable determination of expected levels of performance for the following indicators for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit); and
- Median Earnings (Second Quarter after Exit)

The Credential Attainment Rate and Measurable Skill Gains indicators do not apply to the Wagner-Peyser Act Employment Service program; therefore, this program will not submit expected levels of performance for these indicators.

For the first two years of PYs 2020-2023 Plans, the Vocational Rehabilitation (VR) program, authorized under title I of the Rehabilitation Act of 1973, as amended by title IV of WIOA, will have two full years of data available for the Measurable Skill Gains indicator only. Therefore, the Departments will designate the following indicators as “baseline” for the VR program for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);

- Employment (Fourth Quarter after Exit);
- Median Earnings (Second Quarter after Exit); and
- Credential Attainment Rate

VR agencies must continue to collect and report on all indicators, including those that have been designated as “baseline, pursuant to section 116(d) of WIOA.” The actual performance data reported by these programs for indicators designated as “baseline” for PY 2020 and PY 2021 will serve as baseline data in future years. The Departments will require VR agencies to submit expected levels of performance for these indicators for PY 2022 and PY 2023.

The Departments determined that the Effectiveness in Serving Employers indicator will be measured as a shared outcome across all six core programs within each state to ensure a holistic approach to serving employers. The Departments will continue piloting approaches for measuring this indicator for the first two years of PY 2020-2023 plans. Therefore, states are not required to submit an expected level of performance for the Effectiveness in Serving Employers indicator for PY 2020 and PY 2021. However, core programs are expected to collect data and report on this indicator for PY 2020 and PY 2021 as they did for PYs 2016-2019 plans.

Each core program must submit an expected level of performance for all of the other indicators, as applicable, with the exception of the four indicators designated as “baseline” for the VR program in PY 2020 and PY 2021. The Departments will work with states during the negotiation process to establish negotiated levels of performance for each of the primary indicators for the core programs not listed as “baseline.” Each state must update its plan to include the agreed-upon negotiated levels of performance before the Departments approve a state’s plan.

States may identify additional indicators in the plan, including additional approaches to measuring Effectiveness in Serving Employers, and may establish levels of performance for each of the state indicators. Please identify any such state indicators under Additional Indicators of Performance.

Performance Indicators	PY 2024 Expected Level	PY 2024 Negotiated Level	PY 2025 Expected Level	PY 2025 Negotiated Level
Employment (Second Quarter After Exit)	66.0%		68.0%	
Employment (Fourth Quarter After Exit)	73.0%		74.0%	
Median Earnings (Second Quarter After Exit)	4,100.0		4,300.0	
Credential Attainment Rate	Not Applicable	Not Applicable	Not Applicable	Not Applicable
Measurable Skill Gains	Not Applicable	Not Applicable	Not Applicable	Not Applicable

Performance Indicators	PY 2024 Expected Level	PY 2024 Negotiated Level	PY 2025 Expected Level	PY 2025 Negotiated Level
Effectiveness in Serving Employers	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>

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*The Departments have not issued the final rule defining Effectiveness in Serving Employers. As a result, states will not submit expected levels of performance for this indicator and the Departments will not establish negotiated levels of performance for PYs 2024 and 2025.*

## PROGRAM-SPECIFIC REQUIREMENTS FOR ADULT EDUCATION AND FAMILY LITERACY ACT PROGRAMS

The Unified or Combined State Plan must include a description of the following as it pertains to adult education and literacy programs and activities under title II of WIOA, the Adult Education and Family Literacy Act (AEFLA).

### A. ALIGNING OF CONTENT STANDARDS

Describe how the eligible agency has aligned its content standards for adult education with State-adopted challenging academic content standards, as adopted under section 1111(b)(1) of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 6311(b)(1)).

Kentucky Adult Education (KYAE) is governed by Title II, Workforce Innovation and Opportunity Act (WIOA) and the Kentucky Adult Education Act (Senate Bill 1, 2000 KRS 151B.055). KYAE recognizes the critical need for aligning adult education curricula to meet the higher demands of College and Career Ready Standards (CCRS), a subset of state standards recognized by the Office of Career, Technical, and Adult Education (OCTAE). Kentucky is setting the conditions to address the education and training needs of adult learners across the 120 counties in the Commonwealth which includes but not limited to marginalized and compromised populations such as the second/fair chance population to provide the opportunity for transformational change across the Commonwealth. The intent is to meet adult learners where they are utilizing both the in-person and online/virtual modalities as well as a hybrid modality when and where applicable as it relates to the needs of the student. Kentucky has adopted the Common Core State Standards developed by the National Governor's Association (NGA), Council of Chief State School at all educational levels (P-12), postsecondary and adult education. KYAE recognizes the critical need for aligning adult education curricula to meet the higher demands of College and Career Ready Standards (CCRS), a subset of state standards recognized by the Office of Career, Technical, and Adult Education (OCTAE).

CCRS offers a common, consistent, and clear understanding of what students are expected to learn. Designed to be robust and relevant to real-world expectations, the CCRS reflect and afford adult students the foundational knowledge, skills, and abilities (which have evolved substantially over the last decades) to pursue postsecondary education and training, as well as career aspirations.

KYAE's standards-based instruction and integration of digital literacy align with the content and format of the fifth edition of the GED® test used to award Kentucky's High School Equivalency (HSE) Diploma. Together, these provide KYAE's students the same opportunities for college and career readiness as graduating high school seniors.

Consequently, KYAE is part of an effort to create a seamless system for students to move from adult education to earning their GED®/HSE diplomas and then, subsequently, transitioning to postsecondary education and training and/or living wage jobs, ultimately contributing to the economic vitality of the Commonwealth. KYAE has adopted the Putting Kentuckians First (PKF) program to further ensure second/fair chance Kentuckians have access and opportunities for employment through college and career focused education and training.

To ensure successful instructional effectiveness, KYAE employs comprehensive, job-embedded, and intense professional learning (PL) (using professional learning communities [PLCs] and offering professional growth electives) that encapsulates standard-based andragogy, academic content, contextualization of instruction, digital literacy integration (e.g., EdReady), effective instructional strategies, and instructional leadership. KYAE PL offerings are available via face-to-face, online, and blended formats.

KYAE continues its partnerships with the Adult Education Academy at Morehead State University to provide instructional leadership and assistance to instructors focusing on Reasoning through Language Arts and Mathematics, and the National Center for Families Learning (NCFL) to provide curricula development and facilitation of online courses, including English Language Acquisition (ELA). Both partners are integral to the development and execution of professional learning communities targeting innovative practices.

KYAE continues to develop standard-based tools to assist instructors with aligning academic and workforce preparation instruction based on best practices and extant research. Instructional Framework content and associated pedagogical assets will be examined and implemented if applicable to provide a common instructional foundation for all of Kentucky's adult education providers. Local adult educators (who successfully aligned instruction with College and Career Readiness Standards [CCRS], student assessment criteria, and program performance metrics) will be embedded into this process. Building upon local providers' input, the KYAE Mobile Response Team (MRT) spearheaded by the Program Administration, Performance, and Compliance (PAPC) Branch will ensure the alignment of all instruction statewide with the Literacy Information and Communication System (LINCS) Professional Development Center Self-Assessment Tool, the LINCS Adult Education Teacher Competencies, the Data Recognition Corporation Test of Adult Basic Education (TABE) 11/12 Blueprints (based on the College and Career Readiness Standards), and the GED® High Impact Indicators.

The Mathematics and Reasoning through Language Arts (RLA) Frameworks are constructed to provide uniformity and ease of use. A CCRS Key is placed in the framework's introduction to assist users in understanding standards abbreviations; color-coding is used to signify the type and percentage of standards-based content at each TABE Level; and a horizontal crosswalk is used to illustrate specific CCRS applications aligned with specific hyperlinked instructional resources.

The English Language Proficiency (ELP) Instructional Framework is used to continue the same uniformity and ease of use associated with the Mathematics and RLA Frameworks. The resources in the ELP Standards (ELPS) Instructional Framework are organized in two ways. First, each ELP Standard is listed with level descriptors, aligned competencies, and resources. Second, resources are listed by proficiency level. The ELPS Framework is based on the five proficiency levels identified in the LINCS ELPS for Adult Education. As with the previous frameworks, the ELPS Framework is designed to ensure conformity in standards-based instruction.

Standard-based instruction continues to be supported and improved through development and sharing of resources and tools, sharing of best practices, and input and feedback across the local provider network.

KYAE plans to continue to align professional learning, tools, and resources to the LINCS repository resources. Additionally, KYAE has adopted a continuous improvement model as it relates to performance and providing adult education services. KYAE is committed to adopting more and various instructional technologies to accommodate the needs of students through and beyond the pandemic. KYAE is in the process of engaging all partners and stakeholders across the Commonwealth as well as on the national level to examine the use of current instructional technology, determining the best courses of action, and analyzing gaps in instructor competencies. KYAE has partnered with the Education and Labor Cabinet's Digital Equity Office to further align content standards through access to digital tools and platforms.

KYAE has established Blackboard (Bb) as the Learning Management Software (LMS) to enhance instructor development through the Professional Learning Communities (PLC) process to improve overall adult learner/student outcomes across the 120 counties in Kentucky.

Competitive process Section III(b)5.B.(i)]: KYAE released the Request for Applications (RFA) for AEFLA and Title II, WIOA funding for grant years 2022-2025 in January 2022. A competitive process was conducted to determine the eligible providers that were awarded funds starting July 1, 2022. The review of proposals included rating responses addressing the 13 considerations in Title II of WIOA and State-Specific requirements that indicate the applicants' ability to produce measurable skill gains and other defined metrics based on State goals for enrollment and secondary diploma/equivalent attainment. Through this process, KYAE awarded multi-year grants to 26 eligible providers throughout the State. An eligible provider is an organization that has demonstrated effectiveness in providing adult education activities to eligible individuals and all 26 awardees demonstrated effectiveness across the requirements associated with WIOA, 2014, Section 231. Eligible grant awardees may include institutions of higher education; public or private nonprofit agencies; libraries; local educational agencies, including educational cooperatives; community-based organizations; public housing authorities; nonprofit institutions, not aforementioned; consortia or coalitions of agencies described above; or partnerships between an entity(ies) described above and an employer(s). The 26 eligible providers represent the categories annotated in WIOA, Section 203 (5). Funding is currently being distributed based on population needs and performance.

Direct and equitable access Section III(b)5.B.(ii)]: All KYAE RFAs for grant/contract awards were competed (as described above) and adhere to direct and equitable provisions to award funds under WIOA sections 225 (Corrections Education), 231 (Grants and Contracts for Eligible Providers), and 243 (Integrated English Literacy and Civics Education). All RFAs issued under AEFLA, Title II, WIOA prescribed to the competitive process outlined above. Applications will be evaluated by review teams using the same rubric and scoring criteria. The grant or contract announcement and application and application review processes was in effect and applicable for all applicants; all applicants were treated in the same manner. The application process was designed so that direct application to the State eligible agency was clearly evident, customary, and non-negotiable. Grants were awarded directly to eligible and approved service providers and not through third-party agreements. [See also III(b)5.B.i and III(b)5.B.ii - Distribution of Funds for Core Programs, Title II.]

The RFA underscored criteria for individual eligibility of adult education services, which includes:



- Have attained 16 years of age;
- Are not enrolled or required to be enrolled in secondary school under state law (which is 18 years of age in Kentucky); and
- Who are:
  - Basic-skills-deficient;
  - Lacking a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or
  - An English Language Learner (ELL)\*.

Therefore and hereafter, adult education and literacy activities are defined as programs, activities, and services offered by eligible providers that include:

*Adult education:*

- Standards-based academic instruction and education services below the postsecondary level that increase an individual's ability to read, write, and speak in English and perform mathematics or other activities necessary for attaining a secondary school diploma or its recognized equivalent, transitioning to postsecondary education and training, and obtaining employment.

*Literacy:*

- Ability to read, write, and speak English, compute, and solve

problems at levels of proficiency necessary to function on the job, in the family, and in society

*English Language Acquisition:*

- A program of study designed to help eligible individuals who are ELL achieve competency in reading, writing, speaking, and comprehension of the English language, leading to: attaining a secondary school diploma or its equivalent; transitioning to postsecondary education and training; and/or obtaining employment

*Integrated English Literacy and Civics Education (IELCE):*

- Services for ELLs that include literacy and ELA, as well as instruction on the rights and responsibilities of citizenship and civic participation; may include workforce training, enabling competency in the English language; and acquisition of basic and advanced skills to function effectively as parents, workers, and citizens

\*English Language Learner is an eligible individual who has limited ability in reading, writing, speaking, or comprehending the English language and (1) whose native language is a language other than English; or (2) who lives in a family or community environment where a language other than English is the dominant language.

*Workplace adult education and literacy activities:*

- Services, defined above, offered in collaboration with an employer or employer organization at a workplace or an offsite location designed to improve incumbent worker productivity

*Family literacy:*

- Activities of sufficient intensity and quality to make sustainable improvements in the economic prospects for a family and better enable parents or family members to support their children’s learning needs; must integrate all of the following activities:

\*Parent or family adult education and literacy activities that lead to readiness for postsecondary education or training, career advancement, and economic self-sufficiency;

\*Interactive literacy activities between parents or family members and their children;

\*Training for parents or family members regarding how to be the primary teacher for their children and full partners in the education of their children; and

\*An age-appropriate education to prepare children for success in school and life experiences

*Workforce Preparation:*

KYAE will continue to require standards-based, academic instruction to be contextualized, at a minimum, by using its Employability Standards. By strengthening contextualized instruction with online curricula courseware purchased with KYAE’s and Education and Labor Cabinet (ELC’s) incentive funds, students, while in a program of study, may earn a governor-endorsed Kentucky Essential Skills Certificate (KESC). Consequently, with all programs contextualizing standards-based, academic instruction, they need only to add training (occupational) partner activities, using common learning objectives and aligned curricula, to extend their efforts to implement Integrated Education and Training and Workplace Literacy models and/or provide adult education support within more expansive career pathways programs. The state will leverage additional courseware pathways to include but not limited to college and career readiness standards instruction.

The KESC was designed to enrich essential-skills-contextualized, standards-based instruction, but it also meets the needs of students, allowing them to celebrate a milestone and earn a stackable credential on their way to pursuing a Kentucky College Readiness Certificate and/or high school equivalency diploma. Programs are equipped to provide workforce preparation activities.

*Integrated Education and Training (IET):*

Maximizing the Work Ready Kentucky Scholarship (WRKS) as well as other initiatives and funding opportunities across various stakeholder career pathways, the intent is to launch processes that set the conditions for students to leverage all available opportunities to acquire additional knowledge and skills required to transition into the workforce and or postsecondary education. The student outcome goal remains the same; earn a GED®/HSE diploma and, at a minimum, one industry-recognized credential in support of gaining employment and educational opportunities through the lifelong learning process.

KYAE has established a robust Integrated Education and Training (IET)/Workplace Literacy Program (WPL) process that required all 26 Local Providers to have a minimum of one active IET/WPL program. This process is expanding as KYAE is in the process of collaborating with partners across the public, private, and non-profit sectors to create new programs to better education and train Kentucky adult learners. The Office of Adult Education established an IET/WPL Review Team led by the PAPC Branch. The IET/WPL Team developed an IET/WPL Planning Tool to provide necessary guidance and assistance to local providers in the development, implementation, and evaluation of IET/WPL programs and processes.

The Work Ready Kentucky Scholarship is dedicated to funding tuition for occupational training services in support of Kentucky residents pursuing approved industry-recognized certificates or associate's degrees at an eligible Kentucky college or university in an approved program of study in a high-demand workforce area. Qualifying workforce areas may change each year. Currently Kentucky's in- demand sectors: advanced manufacturing, informational technology and business, healthcare, transportation and logistics, and construction trades, however, the Kentucky Center for Statistics (KY STATS) is in the process of identifying key industries in Kentucky based on emerging trends. Recipients must maintain satisfactory academic progress once the scholarship is received to be eligible the following semester.

KYAE encourages workforce partners to consider committing funding toward required occupational training service cost requirements as well as tuition. KYAE continues to leverage the Free GED Initiative in Kentucky in which the first-time test-takers can test for all four components of the GED test is at no cost. In addition, Kentucky adult learners/ testers can use the Free GED promo for up to two retests pending the availability of funds. These measures will assist in removing barriers to enable students to remain co-enrolled and accelerate earning an HSE/GED® diploma and occupational credential.

In addition, KYAE continues to explore ways in which to partner with alternative organizations from the community and technical colleges to offer core adult education services concurrently with occupational skills training. While these services may not include all the wraparound support services as a fully articulated career pathway program, defined in WIOA Section 3 (Def. 7), they provide an opportunity for adult education providers to partner with training organizations to accelerate student learning by attaining adult education contextualized academic support and aligned occupational skills training simultaneously.

KYAE has developed a monitoring and compliance process that includes intensive technical assistance to providers as well as an IET/WPL Planning Tool and committee to ensure IET programming adheres to single set and common learning outcomes and integrated academic education and occupational skills training.

Additionally, the KYAE Outreach and Strategic Partnership Division will enhance existing partnerships with local workforce innovation boards (LWIB) and Kentucky Career Centers to offer students opportunities to engage in work-based learning activities leading to potential job placements with community employers.

KYAE will expand on the current IET/WPL process to grow and expand the concept of IET in Kentucky beyond the existing programs to include prospective collaborations with employers, pre- apprenticeship programs, public and private four-year universities, etc., to support the occupational training element of an IET model by offering a variety of ways students can accelerate their educational and career accomplishments.

## B. LOCAL ACTIVITIES

Describe how the eligible agency will, using the considerations specified in section 231(e) of WIOA and in accordance with 34 CFR 463 subpart C, fund each eligible provider to establish or operate programs that provide any of the following adult education and literacy activities identified in section 203 of WIOA, including programs that provide such activities concurrently. The Unified or Combined State Plan must include at a minimum the scope, content, and organization of these local activities.

### ADULT EDUCATION AND LITERACY ACTIVITIES (SECTION 203 OF WIOA)

- Adult education;
- Literacy;
- Workplace adult education and literacy activities;
- Family literacy activities;
- English language acquisition activities;
- Integrated English literacy and civics education;
- Workforce preparation activities; or
- Integrated education and training that—
  1. Provides adult education and literacy activities, concurrently and contextually with both, workforce preparation activities, and workforce training for a specific occupation or occupational cluster, and
  2. Is for the purpose of educational and career advancement.

**Special Rule.** Each eligible agency awarding a grant or contract under this section shall not use any funds made available under this title for adult education and literacy activities for the purpose of supporting or providing programs, services, or activities for individuals who are under the age of 16 and are enrolled or required to be enrolled in secondary school under State law, except that such agency may use such funds for such purpose if such programs, services, or activities are related to family literacy activities. In providing family literacy activities under this title, an eligible provider shall attempt to coordinate with programs and services that are not assisted under this title prior to using funds for adult education and literacy activities under this title for activities other than activities for eligible individuals.

KYAE released the Request for Applications (RFA) for AEFLA and Title II, WIOA funding for grant years 2022-2025 in January 2022. A competitive process was conducted to determine the eligible providers that were awarded funds starting July 1, 2022. The review of proposals included rating responses addressing the 13 considerations in Title II of WIOA and State-Specific requirements that indicate the applicants' ability to produce measurable skill gains and other defined metrics based on State goals for enrollment and secondary diploma/equivalent attainment. Through this process, KYAE awarded multi-year grants to 26 eligible providers throughout the State. An eligible provider is an organization that has demonstrated effectiveness in providing adult education activities to eligible individuals and all 26 awardees demonstrated effectiveness across the requirements associated with WIOA, 2014, Section 231. Eligible grant awardees may include institutions of higher education; public or private nonprofit agencies; libraries; local educational agencies, including educational cooperatives; community-based organizations; public housing authorities; nonprofit institutions, not aforementioned; consortia or coalitions of agencies described above; or partnerships between an entity(ies) described above and an employer(s). The 26 eligible providers represent the categories annotated in WIOA, Section 203 (5). Funding is currently being distributed based on population needs and performance.

Direct and equitable access Section III(b)5.B.(ii)]: All KYAE RFAs for grant/contract awards were competed (as described above) and adhere to direct and equitable provisions to award funds under WIOA sections 225 (Corrections Education), 231 (Grants and Contracts for Eligible

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problems at levels of proficiency necessary to function on the job, in the family, and in society

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- Services for ELLs that include literacy and ELA, as well as instruction on the rights and responsibilities of citizenship and civic participation; may include workforce training, enabling competency in the English language; and acquisition of basic and advanced skills to function effectively as parents, workers, and citizens

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*Workforce Preparation:*

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The KESC was designed to enrich essential-skills-contextualized, standards-based instruction, but it also meets the needs of students, allowing them to celebrate a milestone and earn a stackable credential on their way to pursuing a Kentucky College Readiness Certificate and/or high school equivalency diploma. Programs are equipped to provide workforce preparation activities.

*Integrated Education and Training (IET):*

Maximizing the Work Ready Kentucky Scholarship (WRKS) as well as other initiatives and funding opportunities across various stakeholder career pathways, the intent is to launch processes that set the conditions for students to leverage all available opportunities to acquire additional knowledge and skills required to transition into the workforce and or postsecondary education. The student outcome goal remains the same; earn a GED®/HSE diploma and, at a

minimum, one industry-recognized credential in support of gaining employment and educational opportunities through the lifelong learning process.

KYAE has established a robust Integrated Education and Training (IET)/Workplace Literacy Program (WPL) process that required all 26 Local Providers to have a minimum of one active IET/WPL program. This process is expanding as KYAE is in the process of collaborating with partners across the public, private, and non-profit sectors to create new programs to better educate and train Kentucky adult learners. The Office of Adult Education established an IET/WPL Review Team led by the PAPC Branch. The IET/WPL Team developed an IET/WPL Planning Tool to provide necessary guidance and assistance to local providers in the development, implementation, and evaluation of IET/WPL programs and processes.

The Work Ready Kentucky Scholarship is dedicated to funding tuition for occupational training services in support of Kentucky residents pursuing approved industry-recognized certificates or associate degrees at an eligible Kentucky college or university in an approved program of study in a high-demand workforce area. Qualifying workforce areas may change each year. Currently Kentucky's in-demand sectors: advanced manufacturing, informational technology and business, healthcare, transportation and logistics, and construction trades, however, the Kentucky Center for Statistics (KY STATS) is in the process of identifying key industries in Kentucky based on emerging trends. Recipients must maintain satisfactory academic progress once the scholarship is received to be eligible the following semester.

KYAE encourages workforce partners to consider committing funding toward required occupational training service cost requirements as well as tuition. KYAE continues to leverage the Free GED Initiative in Kentucky in which the first-time test-takers can test for all four components of the GED test at no cost. In addition, Kentucky adult learners/ testers can use the Free GED promo for up to two retests pending the availability of funds. These measures will assist in removing barriers to enable students to remain co-enrolled and accelerate earning an HSE/GED® diploma and occupational credential.

In addition, KYAE continues to explore ways in which to partner with alternative organizations from the community and technical colleges to offer core adult education services concurrently with occupational skills training. While these services may not include all the wraparound support services as a fully articulated career pathway program, defined in WIOA Section 3 (Def. 7), they provide an opportunity for adult education providers to partner with training organizations to accelerate student learning by attaining adult education contextualized academic support and aligned occupational skills training simultaneously.

KYAE has developed a monitoring and compliance process that includes intensive technical assistance to providers as well as an IET/WPL Planning Tool and committee to ensure IET programming adheres to single set and common learning outcomes and integrated academic education and occupational skills training.

Additionally, the KYAE Outreach and Strategic Partnership Division will enhance existing partnerships with local workforce innovation boards (LWIB) and Kentucky Career Centers to offer students opportunities to engage in work-based learning activities leading to potential job placements with community employers.

KYAE will expand on the current IET/WPL process to grow and expand the concept of IET in Kentucky beyond the existing programs to include prospective collaborations with employers, pre-apprenticeship programs, public and private four-year universities, etc., to support the occupational training element of an IET model by offering a variety of ways students can accelerate their educational and career accomplishments.

### C. CORRECTIONS EDUCATION AND OTHER EDUCATION OF INSTITUTIONALIZED INDIVIDUALS

Describe how the eligible agency will, using the considerations specified in section 231(e) of WIOA and in accordance with 34 CFR 463 subpart C, fund eligible providers to establish or operate programs that provide any of the following correctional educational programs identified in section 225 of WIOA:

- Adult education and literacy activities;
- Special education, as determined by the eligible agency;
- Secondary school credit;
- Integrated education and training;
- Career pathways;
- Concurrent enrollment;
- Peer tutoring; and
- Transition to re-entry initiatives and other post release services with the goal of reducing recidivism.

Each eligible agency using funds provided under Programs for Corrections Education and Other Institutionalized Individuals to carry out a program for criminal offenders within a correctional institution must give priority to serving individuals who are likely to leave the correctional institution within 5 years of participation in the program.

KYAE released a competitive application process (RFA/RFP 2022-2025) for federal AEFLA, Title II, WIOA funding to determine the eligible providers that were awarded funds starting July 1, 2022. The review of proposals included rating responses addressing the 13 considerations in Title II of WIOA and aligned State-Specific Performance Requirements as well as other factors that indicate the applicants' ability to produce measurable skill gains and other defined metrics. Through this process, KYAE assessed and awarded multi-year grants to eligible providers throughout the State. An eligible provider is an organization that has demonstrated effectiveness in providing adult education activities to eligible individuals. Eligible grant awardees may include institutions of higher education; public or private nonprofit agencies; libraries; local educational agencies, including educational cooperatives; community-based organizations; public housing authorities; nonprofit institutions, not aforementioned; consortia or coalitions of agencies described above; or partnerships between an entity(ies) described above and an employer(s). Funding was distributed based on population needs and performance.

All KYAE RFAs for grant/contract awards were competed (as described above) and adhered to direct and equitable provisions to award funds under WIOA sections 225 (Corrections Education), 231 (Grants and Contracts for Eligible Providers), and 243 (Integrated English Literacy and Civics Education). All RFAs issued under AEFLA prescribed to the competitive process outlined above. Applications were evaluated by review teams using the same rubric and scoring criteria. The grant or contract announcement and application and application review processes was in effect for all applicants; all applicants were treated in the same manner. The application process was designed so that direct application to the State eligible agency was clearly evident, customary, and non-negotiable. Grants were awarded directly to eligible and



approved service providers and not through third-party agreements. [See also III(b)5.B.i and III(b)5.B.ii - Distribution of Funds for Core Programs, Title II.]

With the reauthorization of WIOA, the RFA process included and will include the expectation that the following services are made accessible to inmates based on need and situational feasibility.

These services include:

- Adult education and literacy activities (as defined above), including preparation for earning a GED®/HSE;
  - Appropriate instructional accommodations for inmates identified with learning differences/disabilities;
  - Workforce preparation activities as defined above; and
  - Transition coaching and CCR-standards-based instruction.

Each eligible agency using funds provided under Programs for Corrections Education and Other Institutionalized Individuals to carry out a program for criminal offenders within a correctional institution must give priority to serving individuals who are likely to leave the correctional institution within five years of participation in the program. KYAE approaches corrections educational services based on the Jobs on Day One concept rooted in a collaborative process across government agencies, specifically the Kentucky Cabinet of Justice and Public Safety. The intent is to increase the educational levels and equip inmates with skills to become self-sufficient to transition into career and educational opportunities as well as reduce the recidivism rate. Using a multi-pronged approach to corrections education, inmates are served both in adult state correctional and local correctional facilities such as independent jails.

- *Local Corrections Education.* In local areas where full-service jails exist, adult education providers are required to partner with their local jailer to offer incarcerated adults contextualized (workforce preparation skills), standards-based academic instruction (a minimum of 10 hours of instruction per week is recommended, however, discretion is given to the adult education program director to determine if less than 10 hours of instruction per week is sufficient time to advance students). Notwithstanding the lingering impact of the pandemic, it is expected that jailers provide adequate space in a comfortable environment with student access to instructional materials to encourage additional study outside of the classroom setting. The Putting Kentuckians First (PKF) program administered by the Target Services Branch within the Office of Adult Education assists Kentuckians transitioning out of local jails to obtain a secondary diploma, if necessary, receive career-related training, and secure employment. Kentucky statute KRS 533.270-290 established a Behavioral Health Conditional Dismissal Program which allows individuals with qualifying offenses to participate in this treatment and education/training program in lieu of incarceration. The Lifelong Learning Branch administers the education and training components of this statute under KRS 533.286.
- *State Correctional Institutions.* Historically, the DOC employed KCTCS instructors to provide educational services in the 12 state correctional institutions. Currently, instructors are directly employed by the 12 institutions and primarily provide instruction during daytime hours. Counties within their respective regional service

areas will serve inmates at state institutions based on the needs of the inmates/adult learners and or to supplement DOC employed instruction, which may include providing services primarily during evening hours. Correctional adult education students must meet the same eligibility criteria as any other adult student as described above. DOC is not funded with title II funds, however, the KYAE and DOC partnership enhances the delivery of adult education services to DOC residents and Kentuckians transitioning from a facility. KYAE understands the value of the full spectrum of adult education services, including integrated education and training, career pathways, concurrent enrollment, and peer tutoring and will conduct adult education and literacy activities, including preparation for earning a GED®/HSE diploma and preparation for incarcerated adults to transition with employability/essential skills while not excluding the aforementioned services. KYAE appreciates the benefits an accelerated co-enrollment program may have for inmates and seek opportunities to implement these programs. While inmates may currently have an opportunity to avail themselves of vocational/occupation skills training, they most often must pursue these offerings subsequent to earning their GED®/HSE. A co-enrollment program may permit inmates, especially those nearest release, to accelerate the process of earning both a GED®/HSE diploma and industry-recognized technical/occupational credential. Additionally, where situationally feasible, instruction may include peer tutoring.

- As re-entry services for ex-offenders has become a priority for DOC, KYAE has been diligent in identifying ways to recruit incarcerated individuals and re-entering ex-offenders without a GED®/ HSE diploma. KYAE will enhance the partnership with DOC re-entry services to establish and hopefully codify a referral system through probation and parole officers. The goal is to align the efforts of Local program directors and regional probation and parole officers to establish locally effective processes that are focused on outcomes that positively impact the ex-offender/adult learner and workforce participation in the Commonwealth. In general, when ex-offenders are released and/or are required to meet with probation officers, they are given local adult education contact information and a referral to seek services. The goal is for the probation officer to alert the adult education provider through email and provides the individual's contact information.
- The provider is required by KYAE policies to attempt to contact the ex-offender a minimum of three times within a 30-day period. The contact attempts must be documented and are subject to review during monitoring and performance assessments. If the ex-offender does not seek adult education services, the adult education provider alerts the probation officer for further follow-up. While these steps have increased referrals, not all referrals seek services and of those who do seek services, they are plagued with insufficient hours of study to attain educational advancements. Therefore, KYAE continues to work closely with DOC to modify and refine the referral process to ensure better outcomes. Our ultimate goal in partnering with DOC is to ensure all incarcerated individuals without a high school diploma or its equivalent earn a HSE credential or set the conditions to receive other services along the adult education spectrum – preferably prior to release. If a credential is not earned prior to release, partners need to make inmates aware of services at local learning centers upon their release. The potential impact on recidivism rates could be significant. Unfortunately, Kentucky is a leading state in the opioid addiction epidemic. However,

KYAE has reengaged with recovery programs to provide adult education services to residents of these center. Because recovery residents may be subject to restrictions to remain on campus and often do not possess a high school diploma or its equivalent, local KYAE providers are leveraging virtual/digital capabilities and realizing efficiencies by serving cohorts of recovering clients on campus versus in-center instruction. (See also State Leadership, Alignment). Not less than 82.5 percent of grant funds are used to award grants under section 231. Of that amount, up to 20% may be used to support correctional education activities in section 225.

- The Putting Kentuckians First (PKF) program administered by the Targeted Services Branch will be a significant component to the transition and pre-release training process in Kentucky. Through the PKF program, the Target Services staff has established partnerships with DOC, the independent jails in multiple counties, and the courts across the Commonwealth to develop a pathway for education, training, and employment for Kentuckians transitioning out of jails/prisons through a robust pre-release program. This pre-release program is based on a new Jobs on Day Once concept established by the Kentucky Justice and Public Safety Cabinet. The Education and Labor Cabinet has partnered with the Justice and Public Safety Cabinet to develop pathways and implement pre-release classes to ensure that when residents are released from Kentucky's jails and prisons, they have received the requisite education, training, and associated wrap-around services to gain employment on day one of their release from jail or prison. The Targeted Services Branch through the PKF program is spearheading this process for KYAE in support of the Education and Labor Cabinet's Jobs on Day One priority. Under the Jobs on Day One concept, administered through the PKF program, family literacy is a necessity and a priority as many Kentuckians transitioning out of jails/prisons are parents and or fulfill a prominent role as a provider, mentor, etc. within a family structure. The PKF process through partnerships with other state offices and stakeholders across the Commonwealth will coordinate with adult education providers to ensure that services are provided to PKF participants. In the event, that some PKF participants may fall outside of the eligibility criteria, the need to set the conditions for self-sufficiency; to gain digital literacy skills; and to develop both cognitive and social skills that may have eroded during the period of incarceration, KYAE views these individuals as candidates for services under the Special Rule in Section 231 of WIOA. Per Section 231, attempts will be made to partner with other state agencies and stakeholders to provide services for these individuals, but KYAE will be prepared to provided services if partnerships cannot be established.

#### D. INTEGRATED ENGLISH LITERACY AND CIVICS EDUCATION PROGRAM

Describe how the eligible agency will, using the considerations specified in section 231(e) of WIOA and in accordance with 34 CFR 463 subpart C, fund eligible providers to establish or operate Integrated English Literacy and Civics Education (IELCE) programs under section 243 of WIOA. Describe how adult English language learners, including professionals with degrees and credentials in their native countries, are served in IELCE programs.

Describe how the Integrated English Literacy and Civics Education program under section 243(a) of WIOA will be offered in combination with integrated education and training activities found in 34 CFR section 463.36.

Describe how the Integrated English Literacy and Civics Education program under section 243(a) of WIOA will include instruction in literacy and English language acquisition and instruction on the rights and responsibilities of citizenship and civic participation.

Describe how the Integrated English Literacy and Civics Education program under section 243(a) of WIOA will be designed to prepare adults who are English language learners for, and place such adults in, unsubsidized employment in in-demand industries and occupations that lead to economic self-sufficiency.

Describe how the Integrated English Literacy and Civics Education program under section 243(a) of WIOA will be designed to integrate with the local workforce development system and its functions to carry out the activities of the program.

Kentucky recently conducted a competitive Request for Applications in March 2022 for the 1 July 2022 – 30 June 2025 Grant Cycle. As a result of the competition, three Adult Education eligible applicants were awarded IELCE funding under Section 243: Bluegrass Community and Technical College; Jefferson County Public Schools; and Southcentral Kentucky Community and Technical College. These three applicants cover the following high-volume ELL Kentuckians: Fayette, Jefferson, and Warren.

In PY22, IELCE PROGRAMS SERVED 1,723 English Learner Students (ELLs), attaining 642 measurable skill gains (MSGs). All IELCE programs have access to Integrated Education and Training (IET) opportunities through both state and program specific partnerships with providers across the Commonwealth. Intentional and intense IET-specific training and IELCE guidance has been conducted with IELCE program directors and will continue in the future.

For eligible IELCE applicants of the RFA, the service area for which they apply for core services funds must have met a minimum of 2,000 ELLs. Applicants are required to submit separate forms describing the program's plan of service and indicate how resources would be allocated in the budget and budget narrative. The eligible applicants are required to provide the two (2) most recent fiscal years' data indicating the ELL total population, number of ELLs enrolled the previous two (2) years, and the projected number of ELL enrollments.

KYAE reinforced communication of IELCE requirements in the RFA. Eligible applicants are required to describe the program's plan of service and indicate how resources will be allocated in the budget and budget narrative as well as address the 13 considerations among other requirements annotated in the RFA 2022-2025. As a result of the monitoring process, KYAE will assess to ensure that all IELCE program components are fully integrated in those programs awarded IELCE funds as a result of the 2022 grant competition.

KYAE's purchase of Burlington English positively contributes to IELCE participants blended instructional experience, civics education, and career exploration. The courseware is CASAS-aligned and provides academic instruction for ELL students. Of particular interest is its inclusion of soft skills, career exploration courses, and comprehensive technical/professional learning support services. The Revised English Language Proficiency Instructional Framework aligns with CASAS Life & Work and CLAS-E more explicitly to the ELP Standards in a streamline and simplified format.

2. Describe how the State will fund, in accordance with the requirements of title II, subtitle C, an Integrated English Literacy and Civics Education program and how the funds will be used for the program.

- Competitive process Section III(b)5.B.(i)]: Consistent with the 2022 -2025 grant cycle, KYAE has developed a competitive application process for federal AEFLA funding to determine the eligible providers that were awarded funds starting July 1, 2022. The review of proposals included rating responses addressing the 13 considerations in Title II of WIOA and other factors that indicate the applicants' ability to produce measurable skill gains and other defined metrics. Through this process, KYAE will identify, assess, and award multi-year grants to eligible providers throughout the State. This process resulted in awards to three eligible applicants in Kentucky. An eligible provider is an organization that has demonstrated effectiveness in providing adult education activities to eligible individuals. Eligible grant awardees may include institutions of higher education; public or private nonprofit agencies; libraries; local educational agencies, including educational cooperatives; community-based organizations; public housing authorities; nonprofit institutions, not aforementioned; consortia or coalitions of agencies described above; or partnerships between an entity(ies) described above and an employer(s). Funding will be distributed based on population needs and performance.

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Kentucky Adult Education (KYAE) currently provides adult education services utilizing a regional model with emphasis on regional service areas in support of a WIOA partnership ecosystem. There are 26 local providers executing services across the 120 counties in the state for PY 23/FY 24. The number of local providers beyond the 2022 – 2025 grant cycle will be dependent upon the RFA competitive award process. KYAE recognizes the importance of adhering to all requirements associated with the IELCE process. The Program Administration, Performance and Compliance (PAPC) Branch conducted evaluations of the three local IELCE program per the KYAE Program Manual utilizing the site visit administered through the OAE Mobile Response Team (MRT) Model and the desktop monitoring method.

During 2023 and currently, PAPC, using Office of Career, Technical, and Adult Education (OCTAE) resources, is conducting technical assistance sessions specifically targeting IELCE programs and Integrated Education and Training (IET) models.

The PAPC Branch has experienced personnel turnover, however, the new Director and new staff members have a significant amount of expertise and experience, and their addition has contributed to new processes and protocols that have benefited the IELCE process as well as the larger adult education service delivery and performance processes across the Commonwealth. One example is the development of the IET/WPL Review Team and IET/WPL Planning Tool. KYAE continues to take steps to ensure that all PAPC staff gain the requisite knowledge and subject matter expertise to properly ensure program administration, performance and compliance across the local provider network is in compliance with all applicable statutes, policies, and uniformed guidance. The new Director attend the OCTAE National State Directors Meeting in 2023 and staff members from PAPC as well as the Outreach and Strategic Partnerships (OSP) Branch attended the National Career Pathway Network Conference in North Carolina in 2023.

KYAE is intentional in seeking guidance and assistance from the appropriate US DOE OCTAE Subject Matter Experts to gain greater levels of knowledge on all applicable requirements and guidelines. The goal is to continue attending training sessions and seeking guidance for requirements for current year activities and programs as well as set the conditions to move forward in the future.

The PAPC Branch conducts periodic assessments to ensure strategies are being implemented and producing the desired outcomes. At the end of the fiscal year, each IELCE provider will be required to show evidence of demonstrated effectiveness and IELCE participant progress. This will serve as a monitoring tool for the PAPC Branch to assess performance outcomes, ensure compliance, address barriers to implementation, provide technical assistance, and identify key strategies and best practices to support IELCE programming.

IELCE program students will have access to partnership programs. KYAE has significantly increased access to IET/WPL partnerships via the IET/WPL Review Team and Planning Tool process. Kentucky has moved away from the co-enrollment integrated education and training program offered in partnership with the Kentucky Community and Technical College System (KCTCS) as the state model. The KCTCS still remains a prominent component of the overall IET/WPL process, however, all eligible providers including IELCE providers now have individual IET/WPL partnerships to enhance access for all eligible participants.

KYAE has 26 local providers who offer programs designed to meet labor market needs and increase credential attainment for adults. KYAE leadership meets periodically with the Kentucky Department of Workforce Development (DWD) offices as well as the Kentucky Center for Statistics (KY STATS) and the Kentucky Council on Postsecondary Education (CPE) to discuss marketing strategies, enrollment trends, and student success outcomes.

The Commonwealth initiated programs and activities dedicated to funding occupational training programs in Kentucky's in-demand sectors. Kentucky, spearheaded by KY STATS is in the process of identifying potential key industries from occupational data. Preliminary data, although incomplete, indicates that the following are the top five key industries/in-demand occupations in Kentucky: Healthcare and Social Assistance; Educational Services (state, local, private); Professional, Scientific and Technical Services; Manufacturing; and Finance and Insurance. The Kentucky Work Ready Scholarship provides adult learners (GED graduates) pursuing approved industry-recognized certificates or associate degrees to be awarded monies or tuition.

KYAE continues to explore ways in which to partner with organizations to offer core adult education services concurrently with occupational skills training. While these services may not include all the wraparound support services as a fully articulated career pathway program, defined in WIOA Section 3 (Def. 7), they provide an opportunity for adult education providers to collaborate with training organizations to accelerate student learning by attaining adult education contextualized academic support and aligned occupational skills training simultaneously.

Additionally, the KYAE Outreach and Strategic Partnerships Branch continues to engage with local workforce innovation boards (LWIB) and Kentucky Career Centers to offer students opportunities to engage in work-based learning activities leading to potential job placements with community employers. The reengagement is necessary as the totality of the circumstances of all eligible participants which includes the second/fair chance population, veterans/family members, and individuals aging out of the foster care system as well as the unhoused/homeless population requires a synchronized approach that aligned with the priorities of the Commonwealth of Kentucky.

KYAE wants to continue to grow and expand the concept of IET in Kentucky beyond the current programs to include prospective collaborations with employers, pre-apprenticeship programs, public and private four-year universities, etc., to support the occupational training element of an IET model by offering a variety of ways students can accelerate their educational and career

accomplishments as emerging opportunities are created by leveraging historic infrastructure investments such as BIL, CHIPS, and IRA.

KYAE has reorganized and re-missioned the Strategic Partnership Coordinators in the Outreach and Strategic Partnership Division as well as the PAPC Branch to better address student needs and emerging opportunities across in-demand careers in Kentucky. The new focus is multi-fold, which includes but not limited to the following: connect and coordinate services and activities through Kentucky Career Centers (KCCs) and identify new and innovative opportunities to serve more students by liaising with and expanding local community partnerships.

While all KYAE staff strategically recognize potential partnerships, they coordinate with providers, who will provide services based on the needs of students/adult learners in support of MSG goals and State-Specific Performance Requirements. The new Targeted Services Branch within OAE has and will continue to enhance the outreach and collaboration process as it relates to developing partnerships to create education, training, and employment opportunities for Kentuckians transitioning out of correctional facilities and recovery centers (many recently established or extended due to the opioid crisis), where cohorts of individuals without a high school credential reside and the potential to provide adult education services exists. Services are frequently available on-site due to the restrictions placed on residents. In addition, under the family literacy umbrella and the Special Rule annotated in Section 231 of WIOA, KYAE facilitates education and training as periods of incarceration and or substance abuse may have caused regression of knowledge and skills required for self-sufficiency and living-wage employment opportunities. The signature program of the Targeted Services Branch is the Putting Kentuckians First (PKF) program which assists Kentuckians transitioning out of the jails and prisons in Kentucky.

KYAE continually provides opportunities to connect local providers with local partners to enhance student access, support, and success.

Based on historical enrollment, KYAE is developing strategies to improve the referral process to increase referrals from employers, community agencies, and WIOA core partners per year. With the use of available resources, technical assistance, periodic monitoring, and offering additional trainings and workshops with our local partners, our IELCE providers will continue to help our state with identifying how to best align adult education activities with postsecondary, workforce, and local partner needs.

Alignment of WIOA partners: On June 27, 2019, House Bill 392 went into effect, moving all WIOA partners under one common “umbrella” cabinet. There were other organizational realignments, ultimately resulting in the following agencies falling under the Education and Labor (ELC) Cabinet’s purview: Kentucky Department of Workforce Development (DWD), Workforce Innovation Board (KWIB), Department of Libraries and Archives (KDLA), Center for Statistics (KYSTAT), Department of Education (KDOE), Commission on Proprietary Education, Educational Television (KET), Center for School Safety, Commission of the Deaf and Hard of Hearing, Governor’s Scholars Program, Unemployment Insurance Commission, Early Childhood Advisory Council, Governor’s School of Entrepreneurs, Office of Vocational Rehabilitation (OVR), Office of Career Development (CDO) [formerly Employment and Training], Employer and Apprenticeship Services, and Kentucky Adult Education. KYAE continues to forge and strengthen partnerships with WIOA and other partners, such as Kentucky Community and Technical College System (KCTCS), Kentucky Higher Education Assistance Authority (KHEAA), Department of Corrections, Career and Technical Education (CTE), Kentucky Cabinet for Health and Family Services (CHFS), the Administrative Office of the Courts (AOC), the Kentucky Council on Postsecondary Education (CPE) and more.

KYAE has become fully indoctrinated into the ELC under the Department of Workforce Development (DWD) and nurtured partnerships with workforce partners which include but not limited to the following:

- Early Childhood - Head Start: KYAE, Early Childhood Advisory Council, and Kentucky Community Action (KCA) have met at the state level and are developing a strategy to partner at the local level. The intent is for the agency and local service provider staff to become aware of viable services available to their clients. The Kentucky Governor's Office of Early Childhood was awarded a Preschool Development Grant in 2023 and KYAE has representation on the Early Childhood Advisory Council in support of this grant. KYAE will maximize the age-appropriate education under the family literacy definition in Section 203 of WIOA to best support the efforts of the Early Childhood Advisory Council and the grant process.

Additionally, KYAE will share access to its Lesson Bank and Digital Skills curriculum with local Head Start educators.

- Kentucky Department of Libraries and Archives (KDLA): KYAE has worked with KDLA in the past by encouraging local service providers to meet and share service information that can be communicated to their students/clients. KYAE continues to meet with KDLA leadership to discuss strategies to better leverage the library system across the state. Additionally, state policy development includes examining how service and connection points to service could be available in all 120 counties and still accommodate for county adult education demand. Based on the need to address services in many small, rural counties, the goal is to partner with community organizations to identify referrals to determine the best course of action to provide adult education services. Adult Education providers with greater in-demand services in other counties could still provide referrals, Career and College Navigator services, and access to computers and online courseware, connecting potential students to more robust center services more efficiently by establishing "connection points" with partners. Since libraries are often a prominent presence in most counties, they and other community organizations were targeted as apt partners to realize efficient use of services. By establishing connection points at the beginning of the program year, local providers are expected to evaluate and re-evaluate their effectiveness and modify for continued improvement of services. KYAE will monitor the strategy's successes and challenges in support of improved student outcomes.
- Perkins Leadership Grant Funds: KYAE was awarded leadership funds to reinforce its College and Career Navigator (CCN) support for FY 23. Providers must employ at least one full-time CCN per KYAE Program Manual and add more CCN services (hires) as enrollment dictates. The scope of work for the Perkins Grant was modified to address the need for training in the areas of partnership development in support of enhancing the referral process and setting the conditions for success for the IET/WPL process.

The Perkins grant afforded KYAE the opportunity to plan statewide summits to provide professional development for all KYAE staff as well better align the efforts of all WIOA partners across the Education and Labor Cabinet and the Commonwealth. The Way Ahead in FY 24 for the CCN Coordinator is to ensure CCNs complete a Career Pathway Plan on everyone adult learner served across the local provider network to navigate adult learners towards their college and or career goals. The focus will go beyond contacting clients but facilitating the necessary services clients need to mitigate barriers to their education, training, and employment goals. The CCN Coordinator provides training sessions for local navigators in



conjunction with the other branches in the Office of Adult Education. Additionally, activity logs are used to capture CCN activities in relation to student outcomes. CCNs assist students with completing a career pathway plan that is designed for students to set educational and workforce goals based on interests, workforce needs, post-secondary education and training requirements, etc. A major responsibility of the local CCN is to be aware of and refer students to support services (e.g., public assistance, community-based services, etc.) to remove barriers to educational pursuits. The Coordinator keeps the local CCNs connected through Google docs and classrooms – forums in which the Coordinator can share important communications and local CCNs can ask questions, share best practices, etc. CCNs will also be integral as the “face” of connection points, job fairs, and other awareness-inducing events. KYAE is coordinating with the Kentucky Center for Statistics (KY STATS) to determine the impact that the CCNs have on student performance.

- Kentucky Workforce Innovation Board (KWIB): KYAE leadership serves on the board and several KWIB committees – Workforce Participation and Sustainability and Education and Employer Engagement. The dashboard created by Kentucky Center for Statistics (KYSTATS), with the cooperation of individual agencies, is typically used to report out several metrics of interest for the KWIB, and one metric is adult education. KYAE shares KAERS data with KYSTATS to keep the dashboard up-to-date. The Adult Education Feedback Report located on the KY STATS website provides visibility to stakeholders to include the Local Workforce Boards regarding the progress and performance of the adult Education provider within their service area in support of Consideration #1 under Section 231 of WIOA.
- Kentucky Council on Postsecondary Education (CPE): KYAE is a member of several CPE committees and working groups which include the Student Basic Needs Action Network under the Student Success Collaborative and the Commonwealth Education Continuum. KYAE works with CPE to further provide pathways and opportunities for Kentuckians to not only transition to postsecondary education but to complete the process whether by obtaining upskilling; certifications; and or a degree. KYAE will submit proposals to the Education and Labor Cabinet for consideration regarding expanding the partnership with CPE to enhance Credential Attainment outcomes and improve the percentage of adult learners transitioning to postsecondary education.
- Work Ready Kentucky Scholarship: The Commonwealth’s WRKS is dedicated to funding tuition for up to 60 credit hours of occupational training. It also provides an annual stipend of up to \$400 for “mandatory fees”. High-School-Equivalency- (HSE)/GED-seeking students are eligible for this scholarship. While the WRKS also provides \$400 per year for mandatory fees, students frequently find course-required book, supply, equipment, etc. costs prohibitive. Kentucky offers free GED testing for first time GED test takers. KYAE plans to continue to wave the GED test fee for qualifying students dependent upon Cabinet approval and the availability of funds. These measures will assist in removing barriers to students remaining co-enrolled and accelerate earning an HSE/GED diploma and occupational credential.
- Kentucky Cabinet for Health and Family Services (CHFS): The KYAE Executive Director will continue to coordinate with CHFS regarding the implementation of Kentucky’s Medicaid Waiver and other available processes to mitigate barriers for adult learners. Representatives from various agencies review and approve proposed online courses for Medicaid recipients. By completing an approved course, Medicaid recipients are awarded banked “funds” that may be used for services, e.g., vision care, dental visits, etc.

for themselves and family members. Although the courses are short in duration, the intent is to cultivate healthy and beneficial habits. In addition, KYAE under Kentucky Statute KRS 533.270-290 (Behavioral Health Conditional Dismissal Program) works closely with CHFS, specifically the Department for Behavioral Health, Developmental and Intellectual Disabilities (DBHDID) in support of the education and training requirements for participants under KRS 533.286.

- **Strategic Partnership Coordinators:** Additionally, KYAE will require Coordinators in the Outreach and Strategic Partnerships Branch to be more outcome focused on the development of partnerships with stakeholders and adult education partners. KYAE has transitioned from the regional model to a service demand model to better address the needs of both adult learners and partners as it relates to enhancing workforce participation and the talent management process. This transition is also meant to set the conditions for an increase in IET/WPL process. A significant component of their mission is to connect and coordinate services and activities through Kentucky Career Centers (KCCs) and identify new and innovative opportunities to serve more students by liaising with and expanding local community partnerships. These efforts will also assist the IET/WPL Review Team, spearheaded by the Program Administration, Performance, and Compliance (PAPC) Branch in assisting local providers with identifying training and employment providers.

While Strategic Partnership Coordinators strategically recognize potential partnerships, they support the providers, who ultimately provide services within their geographic area of responsibility. The coordinators are having some success in collaborating with partners in some counties across the State.

Other partnerships include collaboration with the National Center for Family Learning (NCFL). The NCFL President and KYAE Executive Director and their respective staffs have submitted a proposal to the Education and Labor Cabinet to enhance service delivery in the largest adult education service area in the Commonwealth. KYAE will work to collaborate with other organizations which include but not limited to the Prichard Committee and the Goodwill Industries of Kentucky to offer GED test preparation in conjunction with entry-level employment opportunities.

- **High quality professional development:** In FY 23 and for the Way Ahead pending alignment with Education and Labor Cabinet priorities, KYAE set the following goals: (1) Improve staff digital literacy and edtech proficiency of students and provider network via Professional Learning (PL) and promotion of digital growth mindset, (2) Support successful implementation of program-initiated innovation projects, (3) Offer every student a blended learning experience, and (4). Improve overall staff professional development in support of Section 223 of WIOA with an emphasis on continuous improvement across all adult education related activities and programs to improve student outcomes.

Program Directors, Assistant Program Directors, and instructors have been introduced to new instructional technology tools used to facilitate professional learning. Google Classrooms and Zoom Videoconferencing were adopted as part of the new model, and all providers were given an opportunity to practice using the technology at each of the live rollout events. KYAE has adopted Blackboard as the primary Learning Management System (LMS) to better align and enhance professional development and professional learning opportunities for the Kentucky Adult Education community.

Professional Learning Communities (PLCs) are the centerpiece of the KYAE PL Model. PLCs emphasize student focus, provider voice, and local innovation. The goal is that PLCs will have long-term impact on cooperative problem-solving affecting local program performance.

Each of the 26 KYAE provider-based PLCs is assigned a PLC Coach tasked with facilitating PLC meetings targeted towards creating a more inclusive, flexible and data-based instructional model. PLC Coaches also work with providers to ensure an array of new student-centric instructional resources are being used to support improved student outcomes. These resources include an Instructional Framework Series designed to improve the quality and efficiency of Mathematics and Reasoning through Language Arts instruction; a Student Persistence/Retention Framework containing strategies targeted to adult learners; a website warehousing the PLC-developed culminating products, and an enhancement of the existing KYAE Lesson Bank.

KYAE Professional Learning Requirements are part of the overall KYAE PL Model re-design with an emphasis on digital capabilities in support of student outcomes. Learning requirements for Program Directors, Assistant Program Directors, and Experienced instructors working 500+ hours per year will be aligned with the re-design to allow for vertical integration and collaboration among veteran KYAE instructional staff.

Subsequently, to instill greater innovative approaches to recruiting, retaining, and awarding more credentials to students without a high school credential or its equivalent, KYAE is focusing on instructional technology and distance learning. KYAE has partnered with the Digital Equity Office within the Education and Labor Cabinet to further develop options to increase access and literacy levels across the digital space.

KYAE plans to continue to use the PLC model to foster problem-solving and decision-making based on data analytics and to unite and focus program staff. KYAE has/will analyze qualitative and quantitative data to determine supportive themes for future PLC work. Themes will target elements that improve student outcomes in support of MSG goals and State-Specific Requirements and further KYAE's strategic goals of the development of partnerships, recruiting, retaining, results, and referrals to support quality services and successes for students.

- PL plans: Professional Learning Communities (PLCs) have been reorganized to better meet the needs of the instructional staff and be more aligned with Kentucky Department of Education standards and best practices across the adult education community in the United States.

The KYAE Professional Learning Model will be further modified to address emerging statewide trends, such as the need for more robust, cohort-based, differentiated instruction. The work of PLCs will be leveraged to ensure needs are met. Specifically, emphasis will be placed on developing innovative models for cohort-based, differentiated instruction. This modification will include a multi-pronged approach.

KYAE will leverage Blackboard (Bb) as the Learning Management System (LMS) in FY 24. All course shells and all course content are developed in Bb. In addition, the KYAE Staff Development Training modules are also located on Bb.

Successful, researched-based instructional innovations launched by provider-specific PLCs will be identified, modeled for other providers, and scaled. Special emphasis will be placed on local innovations that have shown success in student cohort development. Next, new digital literacy/distance learning initiatives will focus on harnessing instructional technology for differentiated instruction and cohort development. Kentucky participated in the Teaching the

Skills that Matter process in 2023. The Office of Adult Education, Educational Technology and Digital Literacy Subject Matter Expert (SME) led a team of local provider instructors through this training process which included participating in the capstone event in Washington, D.C. This same SME will lead another team of local provider instructors through the Digital Resilience in the Workforce (DRAW) Cohort 1 training in Washington D.C. in 2024.

The KYAE Professional Learning Model utilizes cloud computing, productivity tools, collaboration tools, software, and products. These resources, along with other adult education-centric instructional technologies, will provide the infrastructure for a statewide network of distance learning and learning center-based cohorts. Professional learning rooted in best practices for edtech-based differentiation will ensure differentiated cohort sustainability. Ultimately, the initiative will also provide 21st Century digital literacy skills for students and staff.

Additionally, professional growth electives and product pilots will be launched in direct response to data-based provider needs. These electives and product pilots will simultaneously allow for greater precision in targeted approaches to develop course outlines based on fine-tuned professional development options.

- Technical assistance: KYAE has a Program Administration, Performance, and Compliance (PAPC) Branch which consists of five state-level employees, who provide technical assistance to KYAE-funded adult education providers in Kentucky. KYAE has transitioned from a regional model to Mobile Response Team (MRT) Model which will consist of subject matter expert (SME) representatives from each of the six Branches and the Morehead State University Adult Education Academy. The PAPC Branch coordinates with the Commonwealth Office of Technology (COT) through the Office of Technology Services to provide technical assistance related to the Adult Education student information system called the Kentucky Adult Education Reporting System KAERS.

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PAPC as well as other OAE staff members also conduct periodic engagements with all local program directors to review performance data and strategies for improving outcomes. Directors are asked to rate strategies for effectiveness. These engagements afford the directors the opportunity to address successes and challenges concerning their innovation, PLC plans and targets.

Throughout the year, new information relative to performance, WIOA, etc., is disseminated through training sessions, quarterly updates, mass e-mails, and other forms of online communication. KYAE State staff address local provider inquiries via telephone and e-mail correspondence and conduct site visits as requested as well as scheduled site visits via the MRT Model. The Executive Director conducts state circulation visits to meet adult learners and to

observe local provider operations and to ensure compliance with Sections 201-243 of WIOA and adherence to contract requirements.

- **Monitoring and Evaluation:** KYAE is strongly committed to ongoing data analytics supporting local program success in producing quality student outcomes based on core indicators of performance. KYAE staff monitor, evaluate, share resources, and provide TA in a myriad of ways, both directly and indirectly. KYAE will coordinate with the Kentucky Center for Statistics (KYSTATS) to enhance the Adult Education Feedback Report to provide all stakeholders, specifically local providers visibility of their progress as well as areas for improvement as it relates to performance. Presented below are some of KYAE's major monitoring, evaluation, and program support components.
- KYAE's program administration, performance, and compliance (PAPC) Branch serves as the primary point of contact for local programs regarding performance and compliance with adult education requirements. KYAE provides information on state and federal policy and procedures; monitors and evaluates program compliance and performance and assists in data-informed analysis and program plans for development; provides local programs with information on best practices; and promote the efficient and effective use of resources. In accordance with monitoring requirements and based on progress towards MSG and State-Specific Requirements goals, PAPC Branch members as part of a Mobile Response Team will conduct on-site compliance visits, gathering information to ensure local provider compliance with all applicable laws, regulations and policies and in support of achieving performance goals. An end-of-year narrative is expected to be submitted by all local programs addressing end of year performance results and mitigation strategies if applicable based on the failure to achieve MSG targets, State Goals, or State-Specific Requirements.
- Monitoring activities are conducted throughout the program year. Desktop compliance checks are performed quarterly and or as needed. Following a comprehensive review of KYAE's Kentucky Adult Education Reporting System, desk reviews are based on indicators that reflect meaningful and measurable achievement, and are aligned with established goals, and obtainable through KAERS. Additionally, a secondary data analysis further examines characteristics of performance. This action ensures that both KYAE and the local program directors are aware of and effectively use data to monitor program performance and accountability.

Each year approximately 30 of the 120 counties served by KYAE are randomly selected for annual audits conducted by the Kentucky Auditor of Public Accounts. The audits consist of both performance and financial reviews and include a review of programs' compliance with KYAE policy. KYAE will continue this practice unless regulatory guidelines dictate differently.

**Technology:** KYAE has transitioned to having the full capability to provide all services with the full integration of technology in the classroom to maximize all resources and assets to improve student outcomes – use of technology in the classroom and remotely. KYAE is actively working with the Education and Labor Cabinet Digital Equity Office to ensure access and availability of technology across all 120 counties in Kentucky regarding adult education services.

The Instructor Development and Student Outcomes (IDSO) Branch in conjunction with the Morehead State University Adult Education Academy will continue to concentrate on instructional technology support for both state and local initiatives. Many innovation projects involved technology, online courseware is used by providers (including Kentucky Educational

Television's [KET], Fast Forward, Burlington English, Aztec, EdReady, and others) and distance learning discussions. The intent is to emphasize reaching more students, new and innovative delivery mechanisms are necessary.

Google Classroom and Microsoft Teams/Zoom Videoconferencing have been adopted as essential instructional tools in the KYAE PL Model. These tools provide no-cost, easy-access options for professional learning and instruction. The goal is to model the use of instructional technology tools in all professional learning initiatives, so instructors maximize the use of technology to improve student outcomes.

Moving forward all available Instructional Technology applications and frameworks will be utilized to provide and enhance all instructional services provided to students in all 120 counties across the state. The intent is to supplement, not supplant quality in-person and synchronous instruction. This supports the KYAE philosophy that sound instruction is designed around clear learning objectives. Integration of the technology tools will allow for greater contextualization and digital literacy needed for college and career success.

Professional learning will be delivered in face-to-face, online, or blended formats by PD contractors from the Adult Education Academy at Morehead State University and the National Center for Families Learning (NCFL).

The intent of the data-driven PL Model is to improve performance across the local provider network by enhancing the digital competence and instructional acumen of both the State and local provider network staffs.

The PL Goals for FY 24 include classroom observations to identify challenges and implement research based best practices to improve student outcomes. Blackboard will be used as the KYAE LMS in support of PL pathways. These pathways will provide Math, RLA/Sci/SS, ESL, and Edtech PL tracks designed to incrementally improve instructional expertise and student outcomes. Observation data, feedback, and level setting training will be used in conjunction with performance data to re-align PL electives and PLC foci in support of improving student outcomes.

## E. STATE LEADERSHIP

### 1. DESCRIBE HOW THE STATE WILL USE THE FUNDS TO CARRY OUT THE REQUIRED STATE LEADERSHIP ACTIVITIES UNDER SECTION 223 OF WIOA

Alignment of WIOA partners: On June 27, 2019, House Bill 392 went into effect, moving all WIOA partners under one common "umbrella" cabinet. There were other organizational realignments, ultimately resulting in the following agencies falling under the Education and Labor (ELC) Cabinet's purview: Kentucky Department of Workforce Development (DWD), Workforce Innovation Board (KWIB), Department of Libraries and Archives (KDLA), Center for Statistics (KYSTAT), Department of Education (KDOE), Commission on Proprietary Education, Educational Television (KET), Center for School Safety, Commission of the Deaf and Hard of Hearing, Governor's Scholars Program, Unemployment Insurance Commission, Early Childhood Advisory Council, Governor's School of Entrepreneurs, Office of Vocational Rehabilitation (OVR), Office of Career Development (CDO) [formerly Employment and Training], Employer and Apprenticeship Services, and Kentucky Adult Education. KYAE continues to forge and strengthen partnerships with WIOA and other partners, such as Kentucky Community and Technical College System (KCTCS), Kentucky Higher Education Assistance Authority (KHEAA), Department of Corrections, Career and Technical Education

(CTE), Kentucky Cabinet for Health and Family Services (CHFS), the Administrative Office of the Courts (AOC), the Kentucky Council on Postsecondary Education (CPE) and more.

KYAE has become fully indoctrinated into the ELC under the Department of Workforce Development (DWD) and nurtured partnerships with workforce partners which include but not limited to the following:

- Early Childhood - Head Start: KYAE, Early Childhood Advisory Council, and Kentucky Community Action (KCA) have met at the state level and are developing a strategy to partner at the local level. The intent is for the agency and local service provider staff to become aware of viable services available to their clients. The Kentucky Governor's Office of Early Childhood was awarded a Preschool Development Grant in 2023 and KYAE has representation on the Early Childhood Advisory Council in support of this grant. KYAE will maximize the age-appropriate education under the family literacy definition in Section 203 of WIOA to best support the efforts of the Early Childhood Advisory Council and the grant process.

Additionally, KYAE will share access to its Lesson Bank and Digital Skills curriculum with local Head Start educators.

- Kentucky Department of Libraries and Archives (KDLA): KYAE has worked with KDLA in the past by encouraging local service providers to meet and share service information that can be communicated to their students/clients. KYAE continues to meet with KDLA leadership to discuss strategies to better leverage the library system across the state. Additionally, state policy development includes examining how service and connection points to service could be available in all 120 counties and still accommodate for county adult education demand. Based on the need to address services in many small, rural counties, the goal is to partner with community organizations to identify referrals to determine the best course of action to provide adult education services. Adult Education providers with greater in-demand services in other counties could still provide referrals, Career and College Navigator services, and access to computers and online courseware, connecting potential students to more robust center services more efficiently by establishing "connection points" with partners. Since libraries are often a prominent presence in most counties, they and other community organizations were targeted as apt partners to realize efficient use of services. By establishing connection points at the beginning of the program year, local providers are expected to evaluate and re-evaluate their effectiveness and modify for continued improvement of services. KYAE will monitor the strategy's successes and challenges in support of improved student outcomes.
- Perkins Leadership Grant Funds: KYAE was awarded leadership funds to reinforce its College and Career Navigator (CCN) support for FY 23. Providers must employ at least one full-time CCN per KYAE Program Manual and add more CCN services (hires) as enrollment dictates. The scope of work for the Perkins Grant was modified to address the need for training in the areas of partnership development in support of enhancing the referral process and setting the conditions for success for the IET/WPL process.

The Perkins grant afforded KYAE the opportunity to plan statewide summits to provide professional development for all KYAE staff as well better align the efforts of all WIOA partners across the Education and Labor Cabinet and the Commonwealth. The Way Ahead in FY 24 for the CCN Coordinator is to ensure CCNs complete a Career Pathway Plan on everyone adult learner served across the local provider network to navigate adult learners towards their

college and or career goals. The focus will go beyond contacting clients but facilitating the necessary services clients need to mitigate barriers to their education, training, and employment goals. The CCN Coordinator provides training sessions for local navigators in conjunction with the other branches in the Office of Adult Education. Additionally, activity logs are used to capture CCN activities in relation to student outcomes. CCNs assist students with completing a career pathway plan that is designed for students to set educational and workforce goals based on interests, workforce needs, post-secondary education and training requirements, etc. A major responsibility of the local CCN is to be aware of and refer students to support services (e.g., public assistance, community-based services, etc.) to remove barriers to educational pursuits. The Coordinator keeps the local CCNs connected through Google docs and classrooms – forums in which the Coordinator can share important communications and local CCNs can ask questions, share best practices, etc. CCNs will also be integral as the “face” of connection points, job fairs, and other awareness-inducing events. KYAE is coordinating with the Kentucky Center for Statistics (KY STATS) to determine the impact that the CCNs have on student performance.

- Kentucky Workforce Innovation Board (KWIB): KYAE leadership serves on the board and several KWIB committees – Workforce Participation and Sustainability and Education and Employer Engagement. The dashboard created by Kentucky Center for Statistics (KYSTATS), with the cooperation of individual agencies, is typically used to report out several metrics of interest for the KWIB, and one metric is adult education. KYAE shares KAERS data with KYSTATS to keep the dashboard up-to-date. The Adult Education Feedback Report located on the KY STATS website provides visibility to stakeholders to include the Local Workforce Boards regarding the progress and performance of the adult Education provider within their service area in support of Consideration #1 under Section 231 of WIOA.
- Kentucky Council on Postsecondary Education (CPE): KYAE is a member of several CPE committees and working groups which include the Student Basic Needs Action Network under the Student Success Collaborative and the Commonwealth Education Continuum. KYAE works with CPE to further provide pathways and opportunities for Kentuckians to not only transition to postsecondary education but to complete the process whether by obtaining upskilling; certifications; and or a degree. KYAE will submit proposals to the Education and Labor Cabinet for consideration regarding expanding the partnership with CPE to enhance Credential Attainment outcomes and improve the percentage of adult learners transitioning to postsecondary education.
- Work Ready Kentucky Scholarship: The Commonwealth’s WRKS is dedicated to funding tuition for up to 60 credit hours of occupational training. It also provides an annual stipend of up to \$400 for “mandatory fees”. High-School-Equivalency- (HSE)/GED-seeking students are eligible for this scholarship. While the WRKS also provides \$400 per year for mandatory fees, students frequently find course-required book, supply, equipment, etc. costs prohibitive. Kentucky offers free GED testing for first time GED test takers. KYAE plans to continue to waive the GED test fee for qualifying students dependent upon Cabinet approval and the availability of funds. These measures will assist in removing barriers to students remaining co-enrolled and accelerate earning an HSE/GED diploma and occupational credential.
- Kentucky Cabinet for Health and Family Services (CHFS): The KYAE Executive Director will continue to coordinate with CHFS regarding the implementation of Kentucky’s Medicaid Waiver and other available processes to mitigate barriers for adult learners.



Representatives from various agencies review and approve proposed online courses for Medicaid recipients. By completing an approved course, Medicaid recipients are awarded banked “funds” that may be used for services, e.g., vision care, dental visits, etc. for themselves and family members. Although the courses are short in duration, the intent is to cultivate healthy and beneficial habits. In addition, KYAE under Kentucky Statute KRS 533.270-290 (Behavioral Health Conditional Dismissal Program) works closely with CHFS, specifically the Department for Behavioral Health, Developmental and Intellectual Disabilities (DBHDID) in support of the education and training requirements for participants under KRS 533.286.

- Strategic Partnership Coordinators: Additionally, KYAE will require Coordinators in the Outreach and Strategic Partnerships Branch to be more outcome focused on the development of partnerships with stakeholders and adult education partners. KYAE has transitioned from the regional model to a service demand model to better address the needs of both adult learners and partners as it relates to enhancing workforce participation and the talent management process. This transition is also meant to set the conditions for an increase in IET/WPL process. A significant component of their mission is to connect and coordinate services and activities through Kentucky Career Centers (KCCs) and identify new and innovative opportunities to serve more students by liaising with and expanding local community partnerships. These efforts will also assist the IET/WPL Review Team, spearheaded by the Program Administration, Performance, and Compliance (PAPC) Branch in assisting local providers with identifying training and employment providers.

While Strategic Partnership Coordinators strategically recognize potential partnerships, they support the providers, who ultimately provide services within their geographic area of responsibility. The coordinators are having some success in collaborating with partners in some counties across the State.

Other partnerships include collaboration with the National Center for Family Learning (NCFL). The NCFL President and KYAE Executive Director and their respective staffs have submitted a proposal to the Education and Labor Cabinet to enhance service delivery in the largest adult education service area in the Commonwealth. KYAE will work to collaborate with other organizations which include but not limited to the Prichard Committee and the Goodwill Industries of Kentucky to offer GED test preparation in conjunction with entry- level employment opportunities.

- High quality professional development: In FY 23 and for the Way Ahead pending alignment with Education and Labor Cabinet priorities, KYAE set the following goals: (1) Improve staff digital literacy and edtech proficiency of students and provider network via Professional Learning (PL) and promotion of digital growth mindset, (2) Support successful implementation of program-initiated innovation projects, (3) Offer every student a blended learning experience, and (4). Improve overall staff professional development in support of Section 223 of WIOA with an emphasis on continuous improvement across all adult education related activities and programs to improve student outcomes.

Program Directors, Assistant Program Directors, and instructors have been introduced to new instructional technology tools used to facilitate professional learning. Google Classrooms and Zoom Videoconferencing were adopted as part of the new model, and all providers were given an opportunity to practice using the technology at each of the live rollout events. KYAE has adopted Blackboard as the primary Learning Management System (LMS) to better align and

enhance professional development and professional learning opportunities for the Kentucky Adult Education community.

Professional Learning Communities (PLCs) are the centerpiece of the KYAE PL Model. PLCs emphasize student focus, provider voice, and local innovation. The goal is that PLCs will have long-term impact on cooperative problem-solving affecting local program performance.

Each of the 26 KYAE provider-based PLCs is assigned a PLC Coach tasked with facilitating PLC meetings targeted towards creating a more inclusive, flexible and data-based instructional model. PLC Coaches also work with providers to ensure an array of new student-centric instructional resources are being used to support improved student outcomes. These resources include an Instructional Framework Series designed to improve the quality and efficiency of Mathematics and Reasoning through Language Arts instruction; a Student Persistence/Retention Framework containing strategies targeted to adult learners; a website warehousing the PLC-developed culminating products, and an enhancement of the existing KYAE Lesson Bank.

KYAE Professional Learning Requirements are part of the overall KYAE PL Model re-design with an emphasis on digital capabilities in support of student outcomes. Learning requirements for Program Directors, Assistant Program Directors, and Experienced instructors working 500+ hours per year will be aligned with the re-design to allow for vertical integration and collaboration among veteran KYAE instructional staff.

Subsequently, to instill greater innovative approaches to recruiting, retaining, and awarding more credentials to students without a high school credential or its equivalent, KYAE is focusing on instructional technology and distance learning. KYAE has partnered with the Digital Equity Office within the Education and Labor Cabinet to further develop options to increase access and literacy levels across the digital space.

KYAE plans to continue to use the PLC model to foster problem-solving and decision-making based on data analytics and to unite and focus program staff. KYAE has/will analyze qualitative and quantitative data to determine supportive themes for future PLC work. Themes will target elements that improve student outcomes in support of MSG goals and State-Specific Requirements and further KYAE's strategic goals of the development of partnerships, recruiting, retaining, results, and referrals to support quality services and successes for students.

- PL plans: Professional Learning Communities (PLCs) have been reorganized to better meet the needs of the instructional staff and be more aligned with Kentucky Department of Education standards and best practices across the adult education community in the United States.

The KYAE Professional Learning Model will be further modified to address emerging statewide trends, such as the need for more robust, cohort-based, differentiated instruction. The work of PLCs will be leveraged to ensure needs are met. Specifically, emphasis will be placed on developing innovative models for cohort-based, differentiated instruction. This modification will include a multi-pronged approach.

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## 2. DESCRIBE HOW THE STATE WILL USE THE FUNDS TO CARRY OUT PERMISSIBLE STATE LEADERSHIP ACTIVITIES UNDER SECTION 223 OF WIOA, IF APPLICABLE

**Technology:** KYAE has transitioned to having the full capability to provide all services with the full integration of technology in the classroom to maximize all resources and assets to improve student outcomes – use of technology in the classroom and remotely. KYAE is actively working

with the Education and Labor Cabinet Digital Equity Office to ensure access and availability of technology across all 120 counties in Kentucky regarding adult education services.

The Instructor Development and Student Outcomes (IDSO) Branch in conjunction with the Morehead State University Adult Education Academy will continue to concentrate on instructional technology support for both state and local initiatives. Many innovation projects involved technology, online courseware is used by providers (including Kentucky Educational Television's [KET], Fast Forward, Burlington English, Aztec, EdReady, and others) and distance learning discussions. The intent is to emphasize reaching more students, new and innovative delivery mechanisms are necessary.

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Moving forward all available Instructional Technology applications and frameworks will be utilized to provide and enhance all instructional services provided to students in all 120 counties across the state. The intent is to supplement, not supplant quality in-person and synchronous instruction. This supports the KYAE philosophy that sound instruction is designed around clear learning objectives. Integration of the technology tools will allow for greater contextualization and digital literacy needed for college and career success.

Professional learning will be delivered in face-to-face, online, or blended formats by PD contractors from the Adult Education Academy at Morehead State University and the National Center for Families Learning (NCFL).

The intent of the data-driven PL Model is to improve performance across the local provider network by enhancing the digital competence and instructional acumen of both the State and local provider network staffs.

The PL Goals for FY 24 include classroom observations to identify challenges and implement research based best practices to improve student outcomes. Blackboard will be used as the KYAE LMS in support of PL pathways. These pathways will provide Math, RLA/Sci/SS. ESL, and Edtech PL tracks designed to incrementally improve instructional expertise and student outcomes. Observation data, feedback, and level setting training will be used in conjunction with performance data to re-align PL electives and PLC foci in support of improving student outcomes.

## F. ASSESSING QUALITY

Describe how the eligible agency will assess the quality of providers of adult education and literacy activities under title II. Describe how the eligible agency will take actions to improve such quality, including providing the activities described in section 223(a)(1)(B) of WIOA. Describe how the eligible agency will use evaluations, data analysis, program monitoring, or other methods to improve the quality of adult education activities in the State.

### *Professional Development*

Pursuant to the local provider's contract with KYAE, the local provider is responsible for operating the program in compliance with the fiscal year's Kentucky Office of Adult Education Learning Plan. As the instructional leader of the program, the program director ensures all staff understand and fulfill the professional learning requirements included in

KYAE's Professional Learning Handbook. IDSO staff and the Morehead State University Adult Education Academy track compliance throughout the year and non-compliance is noted in the provider's file for reference during periodic monitoring sessions, quarterly director update meetings, end of year performance reviews, and grant competitions review.

KYAE utilizes PLCs for all experienced instructors, CCNs, assistant directors, and program directors working 500+ hours per year. These provider-based PLCs are required to meet four times per year under the direction of a PL coach. Currently, the 26 providers meet multiple times over the course of a fiscal year with PL Coaches to address emerging practices as well as challenges and concerns.

The capstone product is no longer a requirement as it was determined that there are other methods to maximize the PLC experience for providers. The intent is to continue to provide local providers with the tools to better instruct and serve adult learners.

#### *Program Administration, Performance and Compliance*

KYAE is continuously seeking new ways to analyze and draw conclusions from the data. KYAE uses KAERS, however, the Kentucky Center for Statistics (KYSTATS) provides the Adult Education Feedback Report to assist with the analysis of performance data across the local provider network and the 120 counties. Although local providers have been trained on the use of KAERS and reports that provide data by county, KYAE will enhance the partnership with KYSTATS to make the Adult Education Feedback Report more relevant to current operations and the Way Ahead to include aggregating performance data by local provider. The intent for FY 24 and in the coming years per this State Plan is to maximize the use of the Feedback Report on the KYSTATS website to monitor and evaluate program services, performance, student outcomes, state-specific requirements, etc. KYAE uses a data quality checklist and has provided guidance to providers on maximizing data quality.

KYAE, specifically the PAPC Branch staff, continues to engage with US DOE OCTAE Subject Matter Experts to review recent updates as well as increase the institutional knowledge. The PAPC Branch provides information on state and federal policy and procedures, monitors, and evaluates program performance and assists in data-informed analysis and program plans for development, provides local programs with information on best practices, and promotes efforts to increase the use and understanding of technology in support of student outcomes.

KYAE is strongly committed to helping ensure local program success in producing quality student outcomes based on core indicators of performance. As mentioned under Perkins Leadership Grant Funding, local CCNs are intended to be an additional support mechanism to ensure students remain in the program and achieve their education and or career goals. CCNs refer students to appropriate community services to assist in overcoming non-educational barriers, complete the Career Pathway planning form with all students, and advise them based on their Pathway Plan, labor market needs, skill sets, and interests in pursuing a credential or career.

KYAE annually publishes a *Program Manual* in which performance expectations are addressed among other KYAE requirements. These include but are not limited to, WIOA's common performance measures and goals emphasizing HSE attainment, measurable skill gains, and targeted enrollment. KYAE Guidelines are consistently being reviewed and re-written to better address the needs of adult learners in Kentucky and to ensure local providers are achieving State-Specific Requirements and Goals, in compliance with OCTAE requirements, and administering adult education services consistent with the RFA 2022-2025. The KYAE Program Manual outlines the process regarding technical assistance and monitoring for performance

which include development of a Performance Improvement Plan (PIP) that will address performance benchmarks, improvements, monitoring dates/times, and next steps based on documented progress or the failure to demonstrate continuous improvement.

States must provide written and signed certifications that:

The State Plan must include	Include
1. The plan is submitted by the State agency that is eligible to submit the plan;	Yes
2. The State agency has authority under State law to perform the functions of the State under the program;	Yes
3. The State legally may carry out each provision of the plan;	Yes
4. All provisions of the plan are consistent with State law;	Yes
5. A State officer, specified by title in the certification, has authority under State law to receive, hold, and disburse Federal funds made available under the plan;	Yes
6. The State officer who is submitting the plan, specified by the title in the certification, has authority to submit the plan;	Yes
7. The agency that is submitting the plan has adopted or otherwise formally approved the plan; and	Yes
8. The plan is the basis for State operation and administration of the program;	Yes

The State Plan must include assurances that:

The State Plan must include	Include
1. The eligible agency will expend funds appropriated to carry out title II of the Workforce Innovation and Opportunity Act (WIOA) only in a manner consistent with fiscal requirements under section 241(a) of WIOA (regarding the supplement-not-supplant requirement);	Yes
2. The eligible agency will ensure that there is at least one eligible provider serving each local area, as defined in section 3(32) of WIOA;	Yes

The State Plan must include	Include
3. The eligible agency will not use any funds made available under title II of WIOA for the purpose of supporting or providing programs, services, or activities for individuals who are not “eligible individuals” within the meaning of section 203(4) of WIOA, unless it is providing programs, services or activities related to family literacy activities, as defined in section 203(9) of WIOA;	Yes
4. Using funds made available under title II of WIOA to carry out a program for criminal offenders within a correctional institution, the eligible agency will give priority to serving individuals who are likely to leave the correctional institution within five years of participation in the program.	Yes
5. The eligible agency agrees that in expending funds made available under Title II of WIOA, the eligible agency will comply with sections 8301 through 8303 of the Buy American Act (41 U.S.C. 8301-8303).	Yes

#### ADULT EDUCATION AND FAMILY LITERACY ACT PROGRAM CERTIFICATIONS

States must provide written and signed certifications that:

The State Plan must include	Include
1. The plan is submitted by the State agency that is eligible to submit the plan;	Yes
2. The State agency has authority under State law to perform the functions of the State under the program;	Yes
3. The State legally may carry out each provision of the plan;	Yes
4. All provisions of the plan are consistent with State law;	Yes
5. A State officer, specified by title in the certification, has authority under State law to receive, hold, and disburse Federal funds made available under the plan;	Yes



The State Plan must include	Include
6. The State officer who is submitting the plan, specified by the title in the certification, has authority to submit the plan;	Yes
7. The agency that is submitting the plan has adopted or otherwise formally approved the plan; and	Yes
8. The plan is the basis for State operation and administration of the program;	Yes

**ADULT EDUCATION AND FAMILY LITERACY ACT PROGRAM ASSURANCES**

The State Plan must include assurances that:

The State Plan must include	Include
1. The eligible agency will expend funds appropriated to carry out title II of the Workforce Innovation and Opportunity Act (WIOA) only in a manner consistent with fiscal requirements under section 241(a) of WIOA (regarding the supplement-not-supplant requirement);	Yes
2. The eligible agency will ensure that there is at least one eligible provider serving each local area, as defined in section 3(32) of WIOA;	Yes
3. The eligible agency will not use any funds made available under title II of WIOA for the purpose of supporting or providing programs, services, or activities for individuals who are not "eligible individuals" within the meaning of section 203(4) of WIOA, unless it is providing programs, services or activities related to family literacy activities, as defined in section 203(9) of WIOA;	Yes
4. Using funds made available under title II of WIOA to carry out a program for criminal offenders within a correctional institution, the eligible agency will give priority to serving individuals who are likely to leave the correctional institution within five years of participation in the program.	Yes
5. The eligible agency agrees that in expending funds made available under Title II of WIOA, the eligible agency will comply with sections 8301 through 8303 of the Buy American Act (41 U.S.C. 8301-8303).	Yes

## AUTHORIZING OR CERTIFYING REPRESENTATIVE

### 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 of Lobbying Activities," 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 of Lobbying Activities," 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.

Please download and sign the forms below. Please scan and return the forms to [wioa@ed.gov](mailto:wioa@ed.gov) at the same time you submit your State Plan via the portal.

1. SF424B - Assurances – Non-Construction Programs  
(<http://www2.ed.gov/fund/grant/apply/appforms/appforms.html>)
2. Grants.gov - Certification Regarding Lobbying  
(<http://www2.ed.gov/fund/grant/apply/appforms/appforms.html>)

3. SF LLL Form – Disclosure of Lobbying Activities (required, only if applicable)  
<http://www2.ed.gov/fund/grant/apply/appforms/appforms.html>

<b>APPLICANT'S ORGANIZATION</b>	<b>Enter information in this column</b>
Applicant's Organization	Office of Adult Education (OAE) Kentucky Adult Education (KYAE), Education & Labor Cabinet
<b>PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE</b>	<b>Enter information in this column</b>
First Name	John
Last Name	Gregory
Title	Executive Director
Email	john.gregory@ky.gov

**SECTION 427 OF THE GENERAL EDUCATION PROVISIONS ACT (GEPA)**

**EQUITY FOR STUDENTS, EDUCATORS, AND OTHER PROGRAM BENEFICIARIES**

OMB Control Number 1894-0005 Expiration 02/28/2026

**Section 427 of the General Education Provisions Act (GEPA)** (20 U.S.C. 1228a) applies to a State applicant submitting a state plan for a formula grant from the US Department of Education. The State applicant is responsible for completing the GEPA Section 427 form that provides a description of the steps the State proposes to take to ensure all program beneficiaries have equitable access to, and participation in, its Federally funded, State-level project or activity. The State applicant is also responsible for ensuring that its subrecipient applicants complete the GEPA Section 427 form or a State developed form that sufficiently meets the GEPA Section 427 requirement for any local-level-project and activity and maintains the subrecipients' responses in the State office.

**GEPA Section 427 Form Instructions for State Applicants**

**State applicants must respond to the following four questions:**

1. Describe how your entity's existing mission, policies, or commitments ensure equitable access to, and equitable participation in, the proposed project or activity.
2. Based on your proposed project or activity, what barriers may impede equitable access and participation of students, educators, or other beneficiaries?
3. Based on the barriers identified, what steps will you take to address such barriers to equitable access and participation in the proposed project or activity?
4. What is your timeline, including targeted milestones, for addressing these identified barriers?

- Applicants identify any barriers that may impede equitable access and participation in the proposed project or activity, including, but not limited to, barriers based on economic disadvantage, gender, race, ethnicity, color, national origin, disability, age, language, migrant status, rural status, homeless status or housing insecurity, pregnancy, parenting, or caregiving status, and sexual orientation.

- Applicants use the associated text box to respond to each question. However, applicants might have already included some or all this required information in the narrative sections of their applications or their State Plans. In responding to this requirement, for each question, applicants may provide a cross-reference to the section(s) in their State Plans that includes the information responsive to that question on this form or may restate that information on this form.
- Applicants are not required to have mission statements or policies that align with equity to apply.
- Applicants that have already undertaken steps to address barriers must still provide an explanation and/or description of the steps already taken in each text box, as appropriate, to satisfy the GEPA Section 427 requirement.
- Applicants that believe no barriers exist must still provide an explanation and/or description to each question to validate that perception, as appropriate, to satisfy the GEPA Section 427 requirement.

### **GEPA Section 427 Instructions to State Applicants for their Subrecipient Applicants**

The State grantee provides a subrecipient applicant seeking Federal assistance instructions and guidance for how it must comply with the GEPA Section 427 requirement. The State grantee determines the form and content of the information a subrecipient applicant must include in its application regarding the steps it proposes to take to ensure equitable access to, and equitable participation in, its local-level project or activity. For example:

- The State grantee may require its subrecipient applicant to use and submit the GEPA Section 427 form that it is required to submit to the Department; or
- The State grantee may use a State-developed form that is sufficient to meet the GEPA Section 427 requirement.
- The State grantee maintains the subrecipient applicants' responses in the State office.

Please refer to GEPA 427 - Form Instructions for AEFLA Application Package

1. DESCRIBE HOW YOUR ENTITY'S EXISTING MISSION, POLICIES, OR COMMITMENTS ENSURE EQUITABLE ACCESS TO, AND EQUITABLE PARTICIPATION IN, THE PROPOSED PROJECT OR ACTIVITY.

***Section 427 of the General Education Provisions Act (GEPA) (20 U.S.C. 1228a) applies to a State applicant submitting a state plan for a formula grant from the US Department of Education. The State applicant is responsible for completing the GEPA Section 427 form that provides a description of the steps the State proposes to take to ensure all program beneficiaries have equitable access to, and participation in, its Federally funded, State-level project or activity. The State applicant is also responsible for ensuring that its subrecipient applicants complete the GEPA Section 427 form or a State developed form that sufficiently meets the GEPA Section 427 requirement for any local-level-project and activity and maintains the subrecipients' responses in the State office.***

*GEPA 427 - Form Instructions for AEFLA Application Package*

***State applicants must respond to four questions.***

***The first of four questions is:***

*Describe how your entity's existing mission, policies, or commitments ensure equitable access to, and equitable participation in, the proposed project or activity.*

KYAE will take any and all necessary steps to ensure equitable access to, and participation in this Federally-assisted program for all populations across the Commonwealth of Kentucky. All adult literacy programs and services and associated functions executed in Kentucky will consider and address at a minimum the six types of barriers highlighted in the statute. The steps to mitigate challenges associated with barriers will include but not limited to the following: (1) Distributing brochures and other associated content about proposed programs and services to potential participants in their native language; (2) Making materials available on audio tape or in braille to accommodate specific student needs; and (3) Conducting outreach efforts to reach across all genders and identities.

The State engages in an active process to identify accommodations and services related to potential obstacles for individuals with disabilities and or members of marginalized populations across the six types of barriers. The State's efforts include but not limited to: (1) making facilities accessible to all individuals to include persons with disabilities; (2) modifying work schedules and training sessions to accommodate all citizens regardless of demographics or disability status; and (3) provisions for readers and interpreters.

The State will continue to review all services, programs and processes on a periodic basis to identify barriers that may impede access and to develop courses of action to address any gaps in equitable access across the adult education spectrum.

The State provides equitable access to all staff projects, training events, and associated professional development activities for all citizens with consideration for the six types of barriers highlighted in the statute.

Direct and equitable access Section III(b)5.B.(ii): All KYAE RFAs for grant/contract awards will be competed (as described above) and adhere to direct and equitable provisions to award funds under WIOA sections 225 (Corrections Education), 231 (Grants and Contracts for Eligible Providers), and 243 (Integrated English Literacy and Civics Education). All RFAs issued under AEFLA will prescribe to the competitive process outlined above. Applications will be evaluated by review teams using the same rubric and scoring criteria. The grant or contract announcement and application and application review processes will be in effect for all applicants; all applicants will be treated in the same manner. The application process will be designed so that direct application to the State eligible agency is clearly evident, customary, and non-negotiable. Grants will be awarded directly to eligible and approved service providers and not through third-party agreements. [See also III(b)5.B.i and III(b)5.B.ii - Distribution of Funds for Core Programs, Title II.]

Kentucky completed the RFA process for services under WIOA. As part of that RFA process, each applicant was directed to address the thirteen AEFLA considerations. Consideration number two addresses special needs populations and barriers. KYAE weighted the responses provided in the considerations in the selection of applicants for service. Applicants addressed how they will serve special needs populations and students with barriers through ADA compliance, Office of Rehabilitation (OVR) assessment on physical disabilities, assistive technologies and other reasonable accommodations as well as partnerships with state agencies that provide support services to students with barriers or special needs. All programs have been supplied with the Burlington English product as one tool to use with non-English speaking students. In addition, all local programs sign contracts and affidavits that cover Title IX and affirm they will not discriminate on the basis of age, color, race or any protected class under Title VI and VII of the

Civil Right Act of 1964, Age discrimination Act of 1975, Americans with Disabilities Act of 1990 and all applicable laws which prohibit discrimination. Programs are continually monitored by state staff of Administration and Accountability and on a rotating basis participate in an agreed upon procedures audit by the State Auditor of Public Accounts as to the terms of the contract.

KYAE, an office of Education and Labor Cabinet (ELC), provides policy guidance, technical assistance and professional learning opportunities to state and local provider staff to support and ensure quality adult education services and student achievement. KYAE hosts quarterly program director meetings to provide information, technical assistance, and opportunities for feedback. Hiring directives (e.g., position descriptions, educational and skill requirements, etc.) guide the state and local providers to recruit and select qualified and degreed candidates. KYAE supports professional development to improve instruction strategies for instructors and instructional leaders with the goal of advancing high quality, standards-based academic instruction; workforce preparation and occupational technical education contextualization of content; and integration of digital literacy and other pertinent content into academic instructional practices. This has included yearlong institutes, online courses, and/or professional learning communities. The PAPC Branch monitors provider compliance and provides technical assistance so that policy and procedures, designed to perpetuate quality services and student outcomes, are implemented.

State employees are hired and operate according to the legislative, regulatory, and policy mandates of the Kentucky Personnel Cabinet and the ELC. State employees may avail themselves of several development opportunities and provide feedback to administrative authorities. State employees are encouraged to express their concerns regarding existing or potential barriers or prohibitions to equal employment opportunity due to race, color, national origin, sex, age, religion, sexual orientation, gender identity, ancestry, veteran status, and disability in accordance with state and federal laws. EEO assistance is available by contacting the Human Resources EEO Counselor/Coordinator or the State EEO Coordinator.

**2. BASED ON YOUR PROPOSED PROJECT OR ACTIVITY, WHAT BARRIERS MAY IMPEDE  
EQUITABLE ACCESS AND PARTICIPATION OF STUDENTS, EDUCATORS, OR OTHER  
BENEFICIARIES?**

***Section 427 of the General Education Provisions Act (GEPA) (20 U.S.C. 1228a) applies to a State applicant submitting a state plan for a formula grant from the US Department of Education. The State applicant is responsible for completing the GEPA Section 427 form that provides a description of the steps the State proposes to take to ensure all program beneficiaries have equitable access to, and participation in, its Federally funded, State-level project or activity. The State applicant is also responsible for ensuring that its subrecipient applicants complete the GEPA Section 427 form or a State developed form that sufficiently meets the GEPA Section 427 requirement for any local-level-project and activity and maintains the subrecipients' responses in the State office.***

GEPA 427 - Form Instructions for AEFLA Application Package

***State applicants must respond to four questions.***

***The second of four questions is:***

*Based on your proposed project or activity, what barriers may impede equitable access and participation of students, educators, or other beneficiaries?*

N/A

3. BASED ON THE BARRIERS IDENTIFIED, WHAT STEPS WILL YOU TAKE TO ADDRESS SUCH BARRIERS TO EQUITABLE ACCESS AND PARTICIPATION IN THE PROPOSED PROJECT OR ACTIVITY?

**Section 427 of the General Education Provisions Act (GEPA) (20 U.S.C. 1228a)** applies to a State applicant submitting a state plan for a formula grant from the US Department of Education. The State applicant is responsible for completing the GEPA Section 427 form that provides a description of the steps the State proposes to take to ensure all program beneficiaries have equitable access to, and participation in, its Federally funded, State-level project or activity. The State applicant is also responsible for ensuring that its subrecipient applicants complete the GEPA Section 427 form or a State developed form that sufficiently meets the GEPA Section 427 requirement for any local-level-project and activity and maintains the subrecipients' responses in the State office.

GEPA 427 - Form Instructions for AEFLA Application Package

**State applicants must respond to four questions.**

**The third of four questions is:**

*Based on the barriers identified, what steps will you take to address such barriers to equitable access and participation in the proposed project or activity?*

N/A

4. WHAT IS YOUR TIMELINE, INCLUDING TARGETED MILESTONES, FOR ADDRESSING THESE IDENTIFIED BARRIERS?

**Section 427 of the General Education Provisions Act (GEPA) (20 U.S.C. 1228a)** applies to a State applicant submitting a state plan for a formula grant from the US Department of Education. The State applicant is responsible for completing the GEPA Section 427 form that provides a description of the steps the State proposes to take to ensure all program beneficiaries have equitable access to, and participation in, its Federally funded, State-level project or activity. The State applicant is also responsible for ensuring that its subrecipient applicants complete the GEPA Section 427 form or a State developed form that sufficiently meets the GEPA Section 427 requirement for any local-level-project and activity and maintains the subrecipients' responses in the State office.

GEPA 427 - Form Instructions for AEFLA Application Package

**State applicants must respond to four questions.**

**The final of four questions is:**

*What is your timeline, including targeted milestones, for addressing these identified barriers?*

N/A

ADULT EDUCATION AND LITERACY PROGRAM PERFORMANCE INDICATORS

**Performance Goals for the Core Programs**

Each state submitting a Unified or Combined State Plan is required to identify expected levels of performance for each of the primary indicators of performance for the first two years covered by the plan. The state is required to reach agreement with the Secretary of Labor, in conjunction with the Secretary of Education, on state-negotiated levels of performance for the indicators for each of the first two years of the plan.

For Program Year (PY) 2016-2019 plans, the Departments used the transition authority under section 503(a) of WIOA to designate certain primary indicators of performance as “baseline” indicators to ensure an orderly transition from the requirements of the Workforce Investment Act of 1998 to those under WIOA. A “baseline” indicator was one for which states did not propose an expected level of performance and did not come to agreement with the Departments on negotiated levels of performance because sufficient data was not available to establish such performance levels. As a result, “baseline” indicators were not used in the end of the year adjustment of performance levels and were not used to determine failure to meet adjusted levels of performance for purposes of sanctions. The Departments designated indicators as “baseline” based on the likelihood of a State having insufficient data with which to make a reasonable determination of an expected level of performance.

For PYs 2020-2023 Plans, Title I programs (Adult, Dislocated Worker, and Youth) and the Title II program (Adult Education and Family Literacy Act) will have two full years of data available to make reasonable determinations of expected levels of performance for the following indicators for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit);
- Median Earnings (Second Quarter after Exit);
- Credential Attainment Rate; and
- Measurable Skill Gains

The Wagner-Peyser Act Employment Service program, authorized under the Wagner-Peyser Act, as amended by title III of WIOA, will have two full years of data available to make a reasonable determination of expected levels of performance for the following indicators for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit); and
- Median Earnings (Second Quarter after Exit)

The Credential Attainment Rate and Measurable Skill Gains indicators do not apply to the Wagner-Peyser Act Employment Service program; therefore, this program will not submit expected levels of performance for these indicators.

For the first two years of PYs 2020-2023 Plans, the Vocational Rehabilitation (VR) program, authorized under title I of the Rehabilitation Act of 1973, as amended by title IV of WIOA, will have two full years of data available for the Measurable Skill Gains indicator only. Therefore, the Departments will designate the following indicators as “baseline” for the VR program for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit);
- Median Earnings (Second Quarter after Exit); and
- Credential Attainment Rate



VR agencies must continue to collect and report on all indicators, including those that have been designated as “baseline, pursuant to section 116(d) of WIOA.” The actual performance data reported by these programs for indicators designated as “baseline” for PY 2020 and PY 2021 will serve as baseline data in future years. The Departments will require VR agencies to submit expected levels of performance for these indicators for PY 2022 and PY 2023.

The Departments determined that the Effectiveness in Serving Employers indicator will be measured as a shared outcome across all six core programs within each state to ensure a holistic approach to serving employers. The Departments will continue piloting approaches for measuring this indicator for the first two years of PY 2020-2023 plans. Therefore, states are not required to submit an expected level of performance for the Effectiveness in Serving Employers indicator for PY 2020 and PY 2021. However, core programs are expected to collect data and report on this indicator for PY 2020 and PY 2021 as they did for PYs 2016-2019 plans.

Each core program must submit an expected level of performance for all of the other indicators, as applicable, with the exception of the four indicators designated as “baseline” for the VR program in PY 2020 and PY 2021. The Departments will work with states during the negotiation process to establish negotiated levels of performance for each of the primary indicators for the core programs not listed as “baseline.” Each state must update its plan to include the agreed-upon negotiated levels of performance before the Departments approve a state’s plan.

States may identify additional indicators in the plan, including additional approaches to measuring Effectiveness in Serving Employers, and may establish levels of performance for each of the state indicators. Please identify any such state indicators under Additional Indicators of Performance.

Performance Indicators	PY 2024 Expected Level	PY 2024 Negotiated Level	PY 2025 Expected Level	PY 2025 Negotiated Level
Employment (Second Quarter After Exit)	40.2%	40.2%	41.2%	41.2%
Employment (Fourth Quarter After Exit)	42.2%	42.2%	43.2%	43.2%
Median Earnings (Second Quarter After Exit)	\$4,100	\$4,100	\$4,200	\$4,200
Credential Attainment Rate	39.6%	39.6%	40.6%	40.6%
Measurable Skill Gains	48.2%	48.2%	50.2%	50.2
Effectiveness in Serving Employers	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>

<sup>1</sup>

The Departments have not issued the final rule defining Effectiveness in Serving Employers. As a result, states will not submit expected levels of performance for this indicator and the Departments will not establish negotiated levels of performance for PYs 2024 and 2025.

**PROGRAM-SPECIFIC REQUIREMENTS FOR STATE VOCATIONAL REHABILITATION  
(COMBINED OR GENERAL)**

The Vocational Rehabilitation (VR) Services Portion of the Unified or Combined State Plan must include the following descriptions and estimates, as required by sections 101(a) and 606 of the Rehabilitation Act of 1973, as amended by title IV of WIOA.

**A. STATE REHABILITATION COUNCIL.**

1. ALL VR AGENCIES, EXCEPT FOR THOSE THAT HAVE AN INDEPENDENT CONSUMER-CONTROLLED COMMISSION, MUST HAVE A STATE REHABILITATION COUNCIL (COUNCIL OR SRC) THAT MEETS THE CRITERIA IN SECTION 105 OF THE REHABILITATION ACT. THE DESIGNATED STATE AGENCY OR DESIGNATED STATE UNIT, AS APPLICABLE, HAS:

Select A or B:

*(A) is an independent State commission*

*(B) has established a State Rehabilitation Council*

(B) has established a State Rehabilitation Council

2. IN ACCORDANCE WITH ASSURANCE (A)(1)(B), IF SELECTED, PLEASE PROVIDE INFORMATION ON THE CURRENT COMPOSITION OF THE COUNCIL BY REPRESENTATIVE TYPE, INCLUDING THE TERM NUMBER OF THE REPRESENTATIVE, AS APPLICABLE, AND ANY VACANCIES, AS WELL AS THE BEGINNING DATES OF EACH REPRESENTATIVE'S TERM.

Select 'Edit' to edit the narrative.

Note, please do not edit the table header or formatting. Only edit the table contents.

If you accidentally edit the table headers and structure, open this link to the blank table. You can copy and paste the table into the narrative field, and start over if needed.

Council Representative	Current Term Number/Vacant	Beginning Date of Term Mo./Yr.
Statewide Independent Living Council (SILC)	2	06/21
Parent Training and Information Center	2	02/24
Client Assistance Program	1	10/21
Qualified Vocational Rehabilitation (VR) Counselor (Ex Officio if Employed by the VR Agency)	1	01/22
Community Rehabilitation Program Service Provider	2	08/22

Council Representative	Current Term Number/Vacant	Beginning Date of Term Mo./Yr.
Business, Industry, and Labor	2	08/22
Business, Industry, and Labor	2	08/22
Business, Industry, and Labor	2	08/22
Business, Industry, and Labor	1	02/23
National Federation for the Blind	1	08/22
Kentucky Council for the Blind	1	08/22
Bluegrass Council for the Blind	1	08/22
Committee of Blind Vendors	Vacant	
Current or Former Applicants for, or Recipients of, VR services	1	02/24
Representative of a disability group that includes individuals with physical, cognitive, sensory, and mental disabilities.	2	02/24
Representative of a disability group that includes individuals with disabilities who have difficulty representing themselves or are unable due to their disabilities to represent themselves.	2	06/21
Section 121 Project Directors in the State (as applicable)	N/A	
State Educational Agency Responsible for Students with Disabilities Eligible to Receive Services under Part B of the Individuals with Disabilities Education Act (IDEA)	1	02/24
State Workforce Development Board	1	02/24
VR Agency Director (Ex Officio)	2	07/19

3. IF THE SRC IS NOT MEETING THE COMPOSITION REQUIREMENTS IN SECTION 105(B) OF THE REHABILITATION ACT AND/OR IS NOT MEETING QUARTERLY AS REQUIRED IN SECTION 105(F) OF THE REHABILITATION ACT, PROVIDE THE STEPS THAT THE VR AGENCY IS TAKING TO ENSURE IT MEETS THOSE REQUIREMENTS.

Kentucky's State Rehabilitation Council (SRC) is established under the Kentucky Office of Vocational Rehabilitation (OVR) by Kentucky Revised Statute (KRS) 151B.245, as the Kentucky Statewide Council for Vocational Rehabilitation (hereafter referred to as "SCVR" or "Council").

The SCVR convenes at least four (4) quarterly meetings each year, in accordance with Section 105(f) of the Rehabilitation Act of 1973, as amended by Title IV of WIOA and 34 CFR 361.17(j). Each quarterly meeting has a hybrid option for both in-person and video teleconference options for members to attend and participate and for members of the public to observe in compliance with the Open Meetings Laws. Minutes from each quarterly meeting of a 2-year period are posted on the OVR website for public viewing.

The SRC's required composition in Section 105(b) mandates at least fifteen (15) members for specific represented categories. The SCVR has fulfilled each applicable category required in Section 105(b) and encompasses an additional four (4) member categories in accordance with KRS 151B.245 to ensure representation for the blind and visually impaired. Currently, the Council has one (1) vacancy. Efforts are being made by the Council to fulfill the vacancy identified in the previous section and required in KRS 151B.245. In Kentucky, the Governor has the sole discretion to appoint members to the state's SRC. The Council continues to carry out its functions since "no vacancy affects the power of the remaining members to execute the duties of the Council" as stated in 34 CFR §361.17(f)(2).

4. IN ACCORDANCE WITH THE REQUIREMENTS IN SECTION 101(A)(21)(A)(II)(III) OF THE REHABILITATION ACT, INCLUDE A SUMMARY OF THE COUNCIL'S INPUT (INCLUDING HOW IT WAS OBTAINED) INTO THE STATE PLAN AND ANY STATE PLAN REVISIONS, INCLUDING RECOMMENDATIONS FROM THE COUNCIL'S ANNUAL REPORTS, THE REVIEW AND ANALYSIS OF CONSUMER SATISFACTION AND OTHER COUNCIL REPORTS.

The Kentucky Statewide Council for Vocational Rehabilitation (SCVR) is established under the Office of Vocational Rehabilitation (OVR) by KRS 151B.245 as Kentucky's State Rehabilitation Council (SRC) in accordance with 34 CFR 361.16(a)(2).

As part of the agency's commitment, OVR will continue to provide funding support for the SCVR to be used for the publication of the Annual Report and conducting both the Consumer Satisfaction Survey (CSS) and the Comprehensive Statewide Needs Assessment (CSNA). Reimbursement of expenses will be provided to members for expenses incurred related to activities and functions of the Council.

OVR works with the SCVR to seek input and recommendations, which may occur through both formal and informal communications, such as during committee meetings and trainings. Due to the complexity and comprehensiveness of the agency, OVR provides an Annual Refresher Training for existing members and support staff as well as a New Members Training to address the learning needs of rotating and newly appointed members. OVR encourages questions and seeks advice from the Council to make the agency aware of any concerns and to ensure the voice of the consumer is heard through these formal and informal occurrences.

The SCVR has met quarterly with a full quorum in attendance from October 1, 2022, through September 30, 2023. Each quarterly full Council meeting is a hybrid meeting, allowing an in-person and video teleconferencing option for members and members of the public to observe in accordance with the Kentucky Open Meetings Laws. Additionally, the SCVR meeting minutes are posted to the OVR website for public viewing. At every meeting, reports are provided by the Executive Director's Office and the directors of each division within the OVR. This Executive Leadership Team (ELT) reports on division updates, statistics and other information regarding

the delivery of services to our consumers. Other reports, presentations and/or topics may be provided at quarterly meetings at the request of the Council or the Executive Director.

The following six standing committees, each having staff support, assist in carrying out the mission and functions of the Council: Executive, Policy and Planning, Public Awareness and Legislative, Consumer Services and Program Evaluation, Nominating and Bylaws and Blind Services. In April 2023, all committees began meeting between the full Council quarterly meetings, except the Executive Committee, which meets the same day of and prior to the full Council meeting. Below accounts the activity of the Council from October 1, 2022, through September 30, 2023.

### **October 24, 2022, Quarterly Meeting**

#### The SCVR Meeting

The Council met with a full quorum, and the SCVR Chairperson presided over the meeting. An open forum was provided to give the public an opportunity to comment. There were no public comments offered.

#### Executive Leadership Reports

The Executive Director's Office provided updates on the progress of the new case management system, the status of Employment First Council, leadership changes within the cabinet and upcoming conference events. The staff meetings required for the implementation of the new Case Management System (CMS) and agency fiscal matters were discussed.

The Executive Leadership Team (ELT) gave division updates for each division within OVR. Division of Blind Services provided program updates, staffing information, student enrollment at the McDowell Center, consumer certificates obtained in the Bioptic Driving Program and an update on the remediation of the dorms. Division of Field Services provided updates on the number of consumers served and credentials received by consumers since the beginning of the year, an agency-wide in-person leadership meeting, staff diversity training and Skill Enhancement Training for new staff. Approaches to managing caseload were discussed, which was an area of emphasis in the Corrective Action Plan. Division of Kentucky Business Enterprises (KBE) provided updates on the progress of multiple bids and expanding micro-market opportunities to assist vendors in being more profitable. The division expressed concerns of not yet operating at pre-COVID levels. However, the division is identifying possible opportunities in private sectors and exploring the 8-A federal program for disadvantaged populations for priority contracts with blind vendors. Division of the Carl D. Perkins Vocational Training Center (CDPVTTC) provided updates on consumer enrollments, including those on a waitlist, high demand programs and plans to separate the Jobs Readiness Training Program from the Vocational Training Programs to address the need for the development of consumer's soft skills. Outreach efforts across the state by the Perkins First Team were discussed. Comments were made by the Council. There were no questions asked.

#### Additional Reports

The Community Rehabilitation Provider (CRP) Satisfaction Survey results were presented. Members were encouraged to provide input as the survey undergoes revisions. A member commented regarding interest in the upcoming revisions. A member asked for clarification on some offices stating they were not setting up transportation. Reporting staff responded that OVR has not agreed to allow this service.

The Client Assistance Program reported the number of cases for FFY 2022, the outcome of those closed and carryover cases for FFY 2023. There were no further questions or comments.

### Committee Reports

The Executive committee met, and the SCVR Chairperson provided the report. The committee discussed chair vacancies on two committees. New chairs were approved and appointed for Blind Services and Nominating and Bylaws committees and are now members of the Executive committee, in accordance with the bylaws. A member was moved from Public Awareness and Legislative committee to Blind Services upon request. There were no recommendations to the Council.

Public Awareness and Legislative committee met, and the committee chair provided the report. The committee discussed several legislative updates related to current wage trends in comparison to sub-minimum wage holders. The subject of parental rights of parents with disabilities was mentioned. The committee briefly discussed the timing of reimbursements and/or payments from OVR. An update on the completion of the Annual Report was provided. The committee reviewed the nomination for the Arthur Campbell Jr. Advocacy Award, and the committee voted to observe this nominee as the winner. A recommendation will be made to the full Council to observe the nominee as the winner. A conversation with the Council regarding how the award should be presented will later occur.

Blind Services committee met, and the committee chair provided the report. The committee was given updates by staff regarding the McDowell Center, current staffing and the need to fill an Orientation and Mobility staff position. Recent and upcoming events were discussed. There were no recommendations to the Council.

Policy and Planning committee met, and the committee chair provided the report. Staff encouraged the committee to ask questions and/or express concerns with OVR policy and process. However, there were no questions raised at this time. A brief discussion with a guest intern regarding the field of Social Work and her career path occurred. There were no recommendations to the Council.

Nominating and Bylaws committee met, and the committee chair provided the report. The committee discussed the need to fulfill a vacancy for the area Business, Industry and Labor. Five terms expiring June of 2023 were discussed and the need for applications of interested citizens to be submitted by January of 2023 to accommodate the application processing time for appointment consideration. The committee discussed clarity in the use of the word 'designee' rather than 'proxy' by members as it relates to a member's absence. A recommendation to strike the word 'designee' from the SCVR bylaws will be made to the Council for consistency with the bylaws. The length of time required to make a change to the bylaws and the need for a shorter time was discussed. A recommendation to shorten the length of time for changes to the bylaws in Article VII will be presented, and a recommendation will be made to the Council.

Consumer Services and Program Evaluation committee met. A report was provided by a Client Assistance Program (CAP) representative. The 2021 Consumer Satisfaction Survey (CSS) Report was set for approval at the August quarterly meeting but was not brought forth for a vote. The question list was reviewed, and changes were made to the first two questions. These changes are regarding what accessible means, as well as clarifying virtual meetings being covered when asked about vocational rehabilitation offices. The reports were reviewed and found to be good quality. Suggestions were made, and the vendors were receptive. An issue regarding a consumer being denied accommodations by an employer and a resolution for training was posed to CAP, and a brief discussion was had.

## Business Meeting

The Council reconvened, and SCVR Chairperson called the meeting to order for business. SCVR Chairperson entertained a motion to accept the 2021 Consumer Satisfaction Survey (CSS) report as provided at the last meeting. A motion was made and seconded, and the motion carried unanimously. A motion was made to accept the nominee for the Arthur Campbell Jr. Advocacy Award as the winner. The motion was seconded, and the motion carried unanimously. The Council discussed how best to give recognition for the contributions of members before a member's term expires. After the Council sought to understand how this was done previously, the SCVR Chairperson made a recommendation to present exiting members with a certificate of appreciation. A motion was made and seconded, and the motion carried unanimously. Staff informed the Council that the Comprehensive Statewide Needs Assessment (CSNA) bid process had been initiated and will be next calendar year January 1st through December 31st, 2023. The request for proposal (RFP) has been approved by Fiscal, is currently moving through Legal, and will be posted within the next week. The SCVR Chairperson suggested having a member's refresher training for existing members to be reacquainted with the role of the Council. Further discussion was sought to determine the date and time of the training. A council member recommended the training take place as soon as possible.

Nominating and Bylaws presented two changes to the bylaws. A motion was made to incorporate language in the bylaws to allow a shorter timeframe for changes to the bylaws in Article VII. The motion carried unanimously. A motion was made to strike the word 'designee' from the bylaws and continue using the non-voting 'proxy' for clear understanding and consistency with the bylaws. A motion was made and seconded, and the motion passed unanimously. The SCVR Chairperson began the open forum for public comment on any items discussed on the agenda. The public did not offer questions or comments, and the meeting adjourned.

## **January 23, 2023, Quarterly Meeting**

### The SCVR Meeting

The Council convened with a full quorum, and the SCVR Chairperson presided over the meeting. An open forum was provided to give the public an opportunity to comment. There were no public comments offered.

### Executive Leadership Reports

The Executive Director's Office reported fiscal updates involving the intent to return unmatched funds, updates on projects such as the new CMS, legislative updates regarding possible pay increases for staff and the 2023 federal award. An update was given regarding the Corrective Action Plan as it relates to fiscal responsibility, and a future presentation from the fiscal department was offered to the Council for understanding and transparency. An update regarding RETAIN, HB7 legislation and the impact on OVR, and the Everyone Counts Initiative was given. The Council was informed that a presentation of Employment First would occur later to understand the basics of the initiative.

The ELT gave division updates for each division within OVR. Division of Blind Services provided updates for the dorm restoration, indicating that it is near complete. An invitation to an Open House event in April was offered to the Council to celebrate and tour the new dormitories at the McDowell center. Quarterly statistics and data were reported for the center, OIB program, Bioptic Driving Program, and counselor caseload. An assessment of staffing needs was identified as a priority for the renovated dorms. Division of Field Services provided statistical data for

2022, including cases served, number of new cases reported, credentials and average hourly wage recorded. Updates were provided for social security reimbursements, four new establishment projects awarded, and statewide Common Measures training with VRTAC QM to fulfill part of the Corrective Action Plan. No formal appeals were reported. A member asked to clarify 'credentials', and a member asked to elaborate on social security reimbursements. They were provided both clarification for credentials and understanding of social security reimbursements. A member commended the staff of OVR for their hard work, citing tremendous increase in stats reported. Division of KBE provided statistics on gross sales, products purchased, payroll totals and income from unassigned vending. Updates on site visits, RFP, vending sites and staffing were given. There were no bids for the last quarter. Division of CDPVTC reported on consumer enrollment, consumers on a wait list, and regional consumer representation. Updates were given for the Assisted Living Branch, the Life Skills Enhancement Program, Speech Therapy, the Vocational Services Branch and Student Services Branch. The average hourly wage for CIE, average hours worked, and referrals between districts were reported. Updates were provided for the new separation of the Job Readiness Training Program into a six-to-nine-week class for soft skill development, the new process for the Training Enrollment Employment Meeting and the ALPHA Program with new certification opportunities for consumers.

### Additional Reports

A brief presentation of Kentucky's Employment First Council was given for the SCVR to understand it's composition and mission as the newly established council under OVR.

The SCVR Chairperson read the essay submitted by the nominee and presented the winner a plaque for receiving the Arthur Campbell Jr. Advocacy Award. The winner spoke, accepted the award and provided words of encouragement to the Council.

### Committee Reports

The Executive committee met, and the SCVR Chair reported that the Member's Refresher Training will be held on February 23rd. The Chair entertained a motion to hold the committee meetings between each quarterly full council meeting. A motion was made and seconded, and the motion passed to hold committee meetings between full council meetings. The committee discussed member introductions for a future meeting and how best to implement this exercise. The SCVR Chair announced the quarterly meeting dates for the remainder of the year as April 24th, July 24th and October 23rd.

Public Awareness and Legislative Committee met, and the committee Chair provided the report. Legislative updates were provided regarding sub-minimum wage and the submission of the 2022 Annual Report. The committee was informed that staff will attend Kentucky Chamber Day Dinner and will report any updates back to the Council. There were no recommendations to the Council.

Blind Services Committee met, and the committee Chair provided the report. The committee was given updates by staff on dorm renovations at the McDowell Center and the starting of a new video series that would highlight the Center and new staff. The committee discussed how to initiate more feedback from consumers attending McDowell and how to streamline the process. There were no recommendations to the Council.

Policy and Planning Committee met, and the committee Chair provided the report. The committee discussed the application process for OVR. The old application is not compatible in CMS as it is currently formatted, so alterations to update the form will be made. Staff explained



that concerns have been expressed regarding utilizing a consumers social security number (SSN). Discussion is being had to create a specific identification for consumers in the program without using the SSN to reduce any potential breach of information and to protect consumers. There were no recommendations to the Council.

Nominating and Bylaws Committee met, and the committee Chair provided the report. Five upcoming term expirations in June was discussed. Staff will assist in the recommendations for the State Educational Agency Representative and the Workforce Innovation Board Representative, with assistance from the current member representatives. Application packets for three membership categories have been sent as recommendations for appointment. Necessary changes to the bylaws regarding the Open Meetings Laws were discussed among the committee and presented during the meeting as exhibits. These changes will be brought to the floor during the full Council meeting.

Consumer Services and Program Evaluation committee met, and the committee Chair provided the report. The committee discussed changes to the Consumer Satisfaction Survey (CSS) question list and was sent to the Human Development Institute (HDI) for approval. Regarding the survey, a random listing of consumers who did not complete the online survey have been contacted via telephone to follow-up. An update on the Work Incentive Program was provided to the committee. Data for the 2022 FFY has been analyzed and found that roughly 80% of beneficiaries with an IPE had officially received benefits counseling, either provided by staff or through an approved vendor. A representative of the Client Assistance Program (CAP) provided a report to the committee with referral information, cases reported and carryover cases to fiscal year 2023. There were no recommendations to the Council.

### Business Meeting

The Council reconvened, and a quorum was established. SCVR Chairperson called the meeting to order for business. The SCVR Chair reminded members that those attending via video-teleconference who wish to have their attendance counted must have their cameras on and be visible the duration of the meeting per the Open Meetings Act. Council members reviewed the minutes from the October quarterly meeting. A member made a motion to accept the minutes with an adjustment to a second made by a council member who did not have the camera on at the time the motion was made. The suggested wording was "a second was made", rather than citing a specific member. The SCVR Chairperson seconded, and the motion carried unanimously. Staff provided the Council an update on the Comprehensive Statewide Needs Assessment (CSNA), and it was explained that there were no applicants for the posted RFP, resulting in a repost to begin on Sunday, January 29th. A date for the Council Member Refresher Training was established for February 23rd at 10:00AM and will be given by OVR Administrator and liaison to the Council.

Nominating and Bylaws presented changes to the bylaws to incorporate the Open Meetings Law regarding video teleconferencing option. The proposed changes were read aloud to the Council. A member raised a question regarding the citation for the particular "Kentucky Open Meetings Act" and suggested the committee provide the specific law. The SCVR Chairperson requested a motion to accept the changes to the bylaws. A motion was made and seconded, and the motion carried unanimously.

The SCVR Chairperson began the open forum. There were no comments or questions offered. The Chairperson requested a motion to adjourn the council meeting. A motion was made and seconded, and the meeting adjourned.

### **SCVR Training**

Members Refresher Training was provided on February 23rd, 2023, to all members wanting to be reacquainted with the role of the Council. The mission of the Council was reviewed, and the role committees play in the overall effectiveness of carrying out the functions of the Council. Committee responsibilities were discussed, and the role of the committee chair and staff support was explained. The information discussed was provided to all members.

### **April 24, 2023, Quarterly Meeting**

#### The SCVR Meeting

The Council convened with a full quorum, and the SCVR Chairperson presided over the meeting. An open forum was provided to give the public an opportunity to comment. There were no public comments offered.

#### Executive Leadership Reports

The Executive Director's Office provided updates on staff, personnel stabilization after last year raises, and current vacancies. Several staff will be attending fiscal responsibility training in Bethesda Maryland to ensure policies and procedures and internal controls are in place so that money is spent correctly, and no monies are returned. The new Case Management System (CMS) and a Statewide Assistance Training are in progress. The Council was informed on other initiatives, such as the implementation of House Bill 7, an invitation to apply for the Stay-At-Home, Return-To-Work program, Pathways to Partnerships and Employment First.

The ELT gave division updates for each division within OVR. Division of Blind Services provided statistics and staffing information for McDowell Center, IL/OIB Branch, Deaf Blind Program and Orientation and Mobility Branch. It was reported that out of 499 cases across 100 counties, 83% of those cases are older individuals who are blind. Outreach activities are underway, and one being the Optometry Conference. Training for staff in assistive technologies and other areas was discussed. An update on the McDowell center remodeling project and the upcoming Open House was given. Division of Field Services provided statistical data for the first quarter of the year for referrals, potentially eligible students, applications taken and those that were eligible for services and IEP's. A council member asked how the numbers compared to pre-COVID in 2019. The division director responded that the numbers are currently even higher than reported then, with numbers doubling in some areas. A member asked what may be contributing to the rise in cases. Staff responded that the number of staff on hand to assist, the rising economy and people seeking work were contributing factors. Cases closed in Competitive Integrated Employment (CIE) and the average hourly wage was provided. Updates on social security reimbursements, CMS, and various trainings for staff were given. Key staff are traveling on Listening Tours, providing staff Common Measures Training which are requirements in the Corrective Action Plan. Division of KBE discussed staff training in financial reporting and gave updates on bids and site visits responding to RFP's. Vendor upcoming events and trainings, including those facilitated at National Automated Merchants Association (NAMA), National Restaurant Association, and the National Association of Blind Merchants (NABM), which focuses on micromarket training, were discussed. Division of CDPTVC provided consumer insights and statistics for the center and programs. Updates on center activity were provided, such as collaborations with three high schools with the Online Permit Class. Upcoming trainings for staff were discussed, including the Association of People Supporting Employment First (APSE) Conference, Council of State Administrators of Vocational Rehabilitation (CSAVR) and the Reaching Team at the Center. Program information was discussed, and the Forklift Program was reported as in high demand. Several needs for the center were HVAC controls, Living Unit restrooms, hopes to install a new gymnasium floor and p-tac units throughout the building.

More needs are foreseen at the center and upcoming projects will assist these needs. The CDPTVC graduation in June was mentioned and the Center's 50th year anniversary.

### Additional Reports

A budget update was provided by the Fiscal department. For State Expenditures through March 31st, OVR is currently around 78% spending. The current cash balance is around \$2.8M. OVR is currently at around 45% matched of the Federal Fiscal Year 2023 (FFY23) grant. She does not foresee OVR spending the approximately \$67M by the end of the FFY23. Based on current spending patterns, it is not likely OVR will have to meet the grant match. There are currently 38 vacancies that Fiscal would like to see filled by August 1st. If the vacancies were filled, this would help in spendings. There are some vendors that do not send invoices on time and stresses the importance of contacting the vendors to ensure these invoices are not delayed. Receiving these necessary invoices would greatly increase spending patterns. Vice Chairperson asked for clarification on who could contact these vendors and how this task could be accomplished. Fiscal responded it would be whoever is overseeing the contract with any particular vendor, so it could span across different branches within OVR. A discussion was had, and OVR will look into the suggestion of staff sending reminder calls to vendors. Pre-ETS has spent around 41% of their FFY22 funds as of March 31st.

Consumer Rehabilitation Program (CRP) Branch Manager presented the questions and results of the Supported Employment Provider Satisfaction Survey. The survey was revised based on previous Council responses. The revised CRP Satisfaction Survey is more specific to supported employment providers, adds more clarity to the questions and provides more measurable responses. This survey was provided across the state in January, with the expectations of receiving a baseline of consumer experiences in 2022. A suggestion was made that methods of engagement other than email should be utilized to lower the 'no response' percentage from one of the questions. The feedback was taken, and there were no further comments.

The Principal Investigator from Human Development Institute gave a thorough presentation of 2022 Consumer Satisfaction Survey (CSS) results to the full Council. The report concluded, and there were no further questions or comments. The complete survey will be made available to the Council and placed on the OVR website.

Client Assistance Program Division Director provided an update. Since January, CAP has opened and closed 5 information referrals: two regarding CAP specifically, and three with OVR. A description of case type and activity was given. The Council was informed that CAP has created a PowerPoint training for OVR staff, and they have attended multiple meetings and sessions with different organizations such as INTACT Kentucky and the National Disability Rights Network. Several trainings are scheduled that CAP will participate in or attend. CAP Coordinator informed the Council of an upcoming meeting with OVR staff to provide a recorded training that can be simplified and easily accessed by OVR staff. Information was given for an upcoming meeting on May 26th for Protection and Advocacy for Individuals with Developmental Disabilities and Mental Illness, CAP's advisory body. A link will be sent to the SCVR Chairperson and the Council to register for this event. The report concluded, and there were no further questions or comments.

### Committee Reports

Executive Committee met, and the SCVR Chairperson provided the report. The Member's Refresher Training that was held in February was discussed, and more members were encouraged to attend the next training. The committee discussed the certificates to be presented to outgoing members that will be addressed later in today's meeting. The dynamics of

an Annual Retreat for the Council was discussed. The committee members feel this would be beneficial to the Council as a whole, allowing members to make in-person connections with one another. This will be brought to the full Council during New Business. Dates for the next committee meetings were discussed and will be sent out to those committees once decided. A new member was appointed to the Consumer Services and Program Evaluation Committee. Nominations for new SCVR Officers will be held later during the business meeting.

Blind Services Committee met on April 5th, 2023, and the committee chair provided the report. Staff provided updates on the McDowell Center and an ongoing project to create informational videos on the McDowell Center that can be shared with the public. The committee has set a goal with the Older Blind Program to serve all counties across the state, and it was reported that most of the counties are currently being served. The committee discussed employment, open positions at the McDowell Center, and how to disseminate that information to the public. A member provided an update on the NFB Newline and how to incorporate this service with individuals in OVR. There were no recommendations to the Council.

Nominating and Bylaws Committee met on April 6th, 2023, and the committee chair provided the report. The committee reviewed the previous bylaws changes and will be presented to the full council. The nominations for SCVR Officers were discussed, and a member gave a brief explanation of how the nominating process will work and the requirements to hold these positions. Applications for recommendation of appointment are in progress to fill the upcoming council vacancies. A member who resigned has recommended a replacement to fulfill the remainder of the term which expires in 2024, and the committee is waiting on the referral's application and resume. The committee discussed the importance of maintaining a full and active Council and would like to implement a pipeline of referred and interested individuals. A motion was made and seconded for the Council to accept the changes to the Bylaws as presented. The motion carried unanimously.

Public Awareness and Legislative (PAL) Committee met on April 13th, 2023, and the committee chair provided the report. A legislative update was provided regarding the sub-minimum wage. The Annual Report will be discussed during the business meeting. A new SCVR informational document was discussed and will be shared by the Nominating and Bylaws Committee. There was a brief discussion regarding a SCVR Member Retreat. Staff attended the Annual Kentucky Chamber Day Dinner on February 9th and provided a short summary of this event to the committee. There were no recommendations for the Council.

Consumer Services and Program Evaluation Committee met on April 13th, 2023, and the committee chair provided the report. The CSS report was provided by a guest provided the CSS report, and it was discussed with the committee. The chair made a motion to approve the 2022 CSS, and a second was provided. The motion carried unanimously. An update was given regarding the CSNA. Plans and introductions are expected to be presented at the next quarterly meeting. DB101 is being updated to be more user-friendly and to be utilized on mobile devices.

Policy and Planning Committee met on April 25th, 2023, and the committee chair provided the report. The committee reviewed the state OVR-10B form related to equipment inventory and disposal. Concerns were presented with the use of committee time and internal forms. It was decided moving forward that matters such as forms for internal use will not be discussed within the committee. Locations and hybrid options for future meetings were discussed, along with potential guest speakers. The committee will continue to discuss its purpose during the next meeting and plans to discuss the Strategic Plan.

#### Business Meeting

The Council reconvened, and a quorum was established. SCVR Chairperson called the meeting to order for business. Council members reviewed the Minutes from the January quarterly meeting. A motion was made and seconded, and the motion carried unanimously.

SCVR Chairperson recognized five members whose terms will expire in June with a certificate of appreciation for their service. One of the members, having attended the meeting in-person, was presented with a certificate and gave a short speech about time spent with the Council. For members who attended virtually, certificates will be mailed to their home. A member attending virtually also shared kind words with the Council. The Officer election was performed by the Member-At-Large for the Council. A new SCVR Chairperson was nominated. A motion was made and seconded, and the motion carried unanimously. A new Vice-Chair was nominated. A motion was made and seconded, and the motion carried unanimously.

A motion to adjourn was requested by the SCVR Chairperson. A motion was made and seconded, and the meeting adjourned.

### **July 24, 2023, Quarterly Meeting**

#### The SCVR Meeting

The Council convened with a full quorum, and the SCVR Chairperson presided over the meeting. An open forum was provided to give the public an opportunity to comment. There were no public comments offered. Introductions were made by staff and members.

#### Executive Leadership Reports

The Executive Director's Office provided updates on personnel, fiscal affairs, CMS, internal controls and the quarterly report for the Corrective Action Plan. The Leadership Retreat/Executive Advance will be held in September to discuss expenditure of funds and strategic planning for the upcoming year. Major focus continues to be on policy and procedures. The progress of rate setting, and the Vendor Manual was discussed. A member commented about the slow reimbursement rate of CRPs and asked if there were continued updates to the process to ensure timely payment from OVR. Staff responded that the agency is bound in some areas but will look to identify where areas of improvements can be made. The member suggested meeting with those CRPs to address their issues and concerns.

The ELT gave division updates for each division within OVR. Division of Blind Services provided statistics and staffing information for McDowell Center, Deaf Blind Program, IL/OIB Branch, and Orientation and Mobility Branch. A progress report of the merging of the IL/OIB and CMS was given. The three high school aged transition camps (PATH Project, KY Deafblind Project and Expanded Core Curriculum Week) and the completion of the promotional bioptic driving video were discussed. Division of Field Services provided a summary of metrics comparing program year 2022 with 2019, 2020 and 2021. Improvements with consumers obtaining credentials and staff entering these updates into the system was discussed. The average hourly rates of consumers, closure rates and competitive integrated employments goals were given. Updates on staff trainings were provided, including Listening Tours, Skills Enhancement Training and the new CMS. A member asked to elaborate on credential reporting. The division director responded that it is believed credentials are being obtained, but system requirements to report credentials can be an issue for staff. A member asked to provide examples of measurements taken to keep case engagement up compared to in the past. The division director responded this project started several years ago when a close-up look at 60-day and 90-day eligibility plan determination was observed and the process streamlined. A report was also developed to summarize the number of consumers who have not received an authorization or staff provided

service in five months. This is helpful information for each counselor to know which consumers cases may need additional attention and to engage with the consumer. Minor issues were reported with Supported Employment and rate issues and plans to provide special attention to this area. Staff discussed training for mentors for engagement between consumers and staff. Division of KBE provided updates on an awarded rebid, scholarships, and the Emerging Leaders Program. Trainings were discussed, including federal trainings in D.C., the National Automated Merchants Association (NAMA) in Atlanta, the National Restaurant Association in Chicago and the National Federation of Blind Merchants in Iowa along with other upcoming trainings. Vendors received Green Light Training as a refresher and as an update on new available software. New micromarket installations and RFPs were discussed, and a presentation was given at Morehead State University to students at INSIGHT. Division of CDPVTC provided consumer statistics for the center, including referrals, credentials received and facility tours. Updates were provided for the Student Services Branch, staffing, and several capital projects for renovations and needed upgrades for the center. The division director announced the date of the Center's 50th Anniversary Celebration as September 14th. A member asked what drives the decision to add programs at CDPVTC. The division director responded that most of the decisions are made from current market trends by comparing other centers like CDPVTC.

#### Additional Reports

University of Kentucky's Human Development Institute (HDI) provided an in-depth presentation of the Comprehensive Statewide Needs Assessment (CSNA) plans. The HDI team and the OVR liaisons assigned to assist in overseeing the fulfillment of the project were introduced. Discussions included an up-to-date outline of work performed, a timeline for the remainder of work and the plan for the remainder scope of work. HDI encouraged SCVR to ask any questions regarding the CSNA and inform of any expectations or thoughts they have to create a positive movement for OVR. A member recommended that HDI consider those individuals with low vision when preparing the final report.

Client Assistance Program (CAP) provided an update on calls, referrals and cases. The agency will be focusing on systemic advocacy such as attending HB144 meetings, employment committee meetings, National Technical Assistance Center on Transition (NTACT), etc. Information was provided regarding CAP and PNA trainings with a recording available for OVR counselors, exhibit booths at Kentucky Assistive Technology Services (KATS) and APSE events and an interview with Demand and Disrupt Podcast on Sheltered Workshops.

#### Committee Reports

Executive Committee met, and the SCVR Chairperson provided the report. The committee discussed the Strategic Plan and the SCVR retreat to be held in Louisville in 2024. A survey will be sent to the members to gather feedback on who may want to serve on the ad hoc committee for planning the retreat. There are currently five pending appointments/reappointment that we are waiting for determination. The SCVR Chairperson provided the dates for the next block of committee meetings set to be held before the 4th quarterly full council meeting. The Executive committee discussed wanting staff from Rehabilitation Technology to meet and present to the council.

Blind Services Committee met on July 5th, and the committee chair provided the report. Staff provided an update for the McDowell Center and Blind Services. The committee discussed the upcoming Open House event to be held at the McDowell Center on July 26th. Staff anticipates the dorms to fully reopen during August or September. Staff discussed the recent project completion of the Bioptic Driving video. There were no recommendations for the Council.

Public Awareness and Legislative (PAL) Committee met on July 6th, and a member provided the report. There will be a continued focus on employment and transportation related topics. The lack of sufficient and accessible transportation options/services for people with disabilities throughout the state were discussed amongst the committee. Some of the options discussed was Medicaid paid resources, Uber, Lyft, public transit, etc., recognizing some are more restrictive than others and vary from place to place. The committee made progress on the Annual Report and chose the theme "Building on a Solid Foundation." The committee members determined this theme focuses more on growth while giving credit to past accomplishments. The need for more marketing or awareness of vocational rehabilitation services was also discussed. The SCVR Chairperson provided legislative updates.

Nominating and Bylaws Committee met on July 6th, and the committee chair provided the report. There are currently five expired terms that are awaiting appointment. The Policy and Planning Committee currently has two active members and one vacancy. Five terms are set to expire in 2024. It is the hope of the committee to establish a pipeline of applicants built from exiting members. Members can provide the council with two to three referrals upon their term expiration. The Joining SCVR document could be useful for potential new members. There were no recommendations to the Council.

Policy and Planning Committee met on July 12th, and the committee chair provided the report. Members reviewed the committee description and goals. Staff provided information for the first upcoming State Forum on September 19th. Members provided questions that might be asked by the public for OVR to consider regarding the services offered, transportation, awareness of OVR program in schools, accessibility, etc. Committee members will attend at least one of the five (5) forums. There were no recommendations to the Council.

### Business Meeting

The Council reconvened, and a quorum was established. SCVR Chairperson called the meeting to order for business. The Chairperson entertained a motion to create an Ad Hoc Committee to plan the 2024 SCVR Retreat. The motion was made and seconded, and the motion carried unanimously. The finalized State Plan Forum dates, locations and times were provided. The dates were September 19th (virtual sessions, morning and evening); October 17th at CDPVTC (hybrid, evening) and October 24th at McDowell Center (hybrid, morning and evening). A member suggested to add a discussion of the ABLE account to the agenda for a future meeting. Staff will have the discussion added to the next meeting agenda. The Chairperson asked members if they were satisfied with the way the reports are given by staff. Several members expressed that they were pleased with the reports as given. A motion to adjourn was requested by the Chairperson. A motion was made and seconded, and the meeting adjourned.

5. PROVIDE THE VR AGENCY'S RESPONSE TO THE COUNCIL'S INPUT AND RECOMMENDATIONS, INCLUDING AN EXPLANATION FOR THE REJECTION OF ANY INPUT AND RECOMMENDATIONS.

List each recommendation/input followed by the VR agency response

### **Recommendation 1**

The SCVR recommended that OVR provide certificates of appreciation to members whose terms are near expiration.

### **Response to Recommendation 1**

OVR agrees. OVR will provide certificates of appreciation to members whose terms are set to expire at their last full Council quarterly meeting.

**Recommendation 2**

The SCVR recommended a regular training be offered to members as soon as possible to learn about the council on a continuous basis.

**Response to Recommendation 2**

OVR agrees. An annual Member's Refresher Training will be provided by the SCVR liaison to assist members in being reacquainted with the role of the Council. The training will also be available to staff support assisting the Council, as needed.

**Recommendation 3**

The SCVR suggests OVR implement a process of reminding vendors to turn in invoices by contacting them to help increase spending patterns.

**Response to Recommendation 3**

OVR agrees. OVR will work to implement a process or policy that reminds vendors to submit invoices to help increase spending patterns.

**Recommendation 4**

A suggestion was made to use methods of engagement other than email to lower the 'no response' percentage from one of the questions on the CRP report.

**Response to Recommendation 4**

OVR agrees. However, after reviewing the options of phone calls and interviews, it was determined that this method was not feasible due to the number of Employment Specialists employed by CRPs. OVR has decided to utilize regular mail for CRPs to distribute to their Employment Specialists in the event the email is not answered.

**Recommendation 5**

The SCVR suggested implementing a process to ensure timely payment to CRP's that could address the slow reimbursement rate.

**Response to Recommendation 5**

Staff responded that the agency is bound in some areas but will look to identify where areas of improvements can be made.

**Recommendation 6**

The SCVR recommended a representative from the Rehabilitation Technology Branch present information regarding assistive technology to the Council.

**Response to Recommendation 6**

OVR agrees. OVR will have a representative from the Rehabilitation Technology Branch provided to the Council at an upcoming quarterly meeting.

**Recommendation 7**

The SCVR requested that a presentation of the STABLE/ABLE Account be added to the agenda.



### **Response to Recommendation 7**

OVR agrees. OVR will have the STABLE/ABLE Account representative present to the Council at a quarterly meeting.

### **Recommendation 8**

The SCVR recommended a retreat for the planning and implementation of a way to connect with one another and better carry out the functions of the Council.

### **Response to Recommendation 8**

OVR agrees. OVR will assist the Council by providing resources, training and a facilitator to clarify vision, goals and strategies for the Council and its committees in 2024.

#### **B. COMPREHENSIVE STATEWIDE NEEDS ASSESSMENT (CSNA).**

Section 101(a)(15), (17), and (23) of the Rehabilitation Act require VR agencies to provide an assessment of:

#### **1. THE VR SERVICES NEEDS OF INDIVIDUALS WITH DISABILITIES RESIDING WITHIN THE STATE, INCLUDING:**

##### **A. INDIVIDUALS WITH THE MOST SIGNIFICANT DISABILITIES AND THEIR NEED FOR SUPPORTED EMPLOYMENT;**

### **Introduction**

This report provides a summary and the findings of the activities of the Office of Vocational Rehabilitation (OVR) in an effort to comprehensively assess the various vocational rehabilitation (VR) needs in the Commonwealth of Kentucky.

A Comprehensive Statewide Needs Assessment (CSNA) was conducted in 2023, and the results were available early 2024. This assessment was conducted for strategic planning purposes and to meet the comprehensive needs assessment requirement of the Rehabilitation Services Administration (RSA) as defined in 34 CFR 361.29. This federal regulation requires the agency to assess the following areas:

1. Services to individuals with the most significant disabilities, including their need for supported employment services.
2. Services to individuals who are minorities or in unserved or underserved populations.
3. Services provided to individuals with disabilities through various components of the workforce development system.
4. Youth and students with disabilities, including their need for transition services.
5. The need to establish, develop or improve community rehabilitation programs.

The CSNA provides a summary of the surveys and the findings of OVR activities to understand the needs and concerns of the disability community that we serve throughout the state. The report assists KYOVR in recognizing its current state and in making any needed adjustments based on those findings.

In addition to the triennial assessment, OVR uses a variety of methods to further inform the state plan the needs of the disability community within the state. By obtaining information and data from the Statewide Council for Vocational Rehabilitation (SCVR) meetings, staff trainings

and surveys, the Consumer Satisfaction Survey (CSS), public forums, and other reports, OVR is better situated to address service concerns or issues and equitable access to services more strategically, and therefore more effectively. Through this process of gathering information, the agency is able to plan for the evolving needs of the disability community and also for staff to meet those needs.

OVR previously conducted a comprehensive needs assessment in 2021. Federal regulation requires the needs of individuals with disabilities in the state be assessed every three years. The current study (2023) is also intended to identify and provide recommendations for trends in the service needs, disability populations and any environmental factors possibly impacting Kentuckians with disabilities. Information from the current survey is intended to allow a more informed strategic planning process, seeking to address the identified trends and prioritize them based on data identified in the needs assessment.

### **2023 Comprehensive Statewide Needs Assessment**

The current comprehensive needs assessment was conducted in 2023 with guidance provided by the SCVR, as required by 34 CFR 361.17(h)(3). OVR and the SCVR offered input into the methodology and data analysis of the assessment, assuring the research would adequately reach the target population, would return valid and reliable data, and would produce recommendations that would guide the strategic planning and budget development process.

The CSNA was implemented to identify gaps in existing services that can be reduced through programs and policies by the OVR. A mixed method of online surveys and forums was used to collect insights about the rehabilitation needs of Kentuckians with disabilities. The insights gained from the CSNA will provide the information needed for the development of the State Plan for services. The Needs Assessment was carried out by OVR staff working with the staff and faculty at the Human Development Institute (HDI).

Kentucky's 2023 CSNA contains both quantitative and qualitative data addressing the needs of the state vocational rehabilitation system. The data collection included:

- 1) A review of OVR metrics data of individuals receiving services;
- 2) Demographic information for Kentucky;
- 3) A review of the Satisfaction Survey of closed cases successful and unsuccessful;
- 4) Input from stakeholder focus groups;
- 5) Input from online surveys;
- 6) Facilities assessment of maintenance needs;
- 7) Strategic planning;
- 8) Input from public forums; and
- 9) Data reports and feedback from the Rehabilitation Services Administration off site monitoring and the draft monitoring report.

### **Environmental Scan**

The following environmental scan was conducted with the goals of 1) establishing a demographic profile of Kentuckians with disabilities who are potentially eligible for services through the OVR; and 2) understanding some of the unique characteristics of working-age adults with disabilities in Kentucky.

### Demographic Overview

Kentucky's total population was estimated to be 4,428,274, with 801,061 individuals identified as having a disability. Kentuckians with disabilities constituted 18.1% of the total population, placing Kentucky among the top three states nationally in terms of disability prevalence. Notably, Kentucky's disability rate surpassed the national average (13.4%) by nearly 5%.

### Age

Since OVR services are available to Kentuckians with disabilities who are experiencing barriers to employment, data presented will focus on working-age adults (aged 18 to 64) who identify as having a disability, capturing the lion's share of OVR's target population. Kentucky's population of working-age adults (18-64) was estimated at 2,656,255. Within this group, approximately 433,308 individuals (or 16.31%) identified as having a disability. The disability prevalence rate for working-age Kentuckians was 5.29% higher than the national average (11.02%).

### Gender/Sex

Among Kentuckians identified as having a disability, females slightly outnumber males, constituting 51% of this population. The gender breakdown of Kentuckians with disabilities was consistent with national averages.

### Race/Ethnicity

The racial/ethnic profile of Kentuckians with disabilities was as follows: White (85.67%), Black or African American (7.33%), Hispanic/Latino (2.36%), Asian (0.55%), American Indian/Alaskan Native (0.15%), Two or more races (5.23%), and Other (0.98%).

### Disability Type

The American Community Survey (ACS) assesses disability type using the following (non-exclusive) six categories: Hearing, Vision, Cognitive, Ambulatory, Self-Care, and Independent Living. For working-age Kentuckians with disabilities (433,608), cognitive impairments were the most common disability (46.1%), followed by ambulatory or mobility impairments (44.1%), independent living limitations (35%), vision impairments (20.9%), hearing impairments (19.73%), and finally self-care limitations (15.2%).

### Educational Attainment

Data for educational attainment included adult residents aged 25 and older in the Commonwealth of Kentucky. Data are presented for both people with and without disabilities for reference. In total, 21.3% of Kentuckians with disabilities have less than a high school education, compared with 8.9% of Kentucky residents who do not have disability (+12.4% gap). Similarly, 38.4% of those with disabilities have only a high school diploma or equivalent versus 30.7% of those without disabilities (+7.7% gap). Just over a quarter of both Kentuckians with disabilities (26.7%) and those without disabilities (28.5%) have an associate degree or some college (26.7%; -1.8% gap). Next, only 8.4% of Kentuckians with disabilities have earned a four-year college degree, while 18.8% of those without disabilities have earned a four-year college degree (-10.4% gap). Finally, 5.2% of Kentuckians with disabilities had earned a credential beyond a four-year degree compared to 13.1% of those without disabilities (-7.9% gap).

### Veterans Status

There are currently 118,466 civilian veterans living in the commonwealth of Kentucky. Of those civilian veterans, just over one-quarter (26.4%) have a service-connected disability.

### Special Education Services

Youth with disabilities in Kentucky are provided access to a free and appropriate public education in the least restrictive environment under the IDEA (Individuals with Disabilities Education Act). For academic year 2022-23, 16.5% of Kentucky students (109,672 students) received special education services under the IDEA. This includes an Individualized Education Plan (or IEP) for each student that includes transition planning at age 14. The top five disability categories served included: speech or language impairment (27%), specific learning disability (16.6%), other health impaired (14.9%), developmental delay (12.2%), and autism (9.9%).

Data available on transition outcomes for Kentucky students with IEPs that exited high school is available via the Kentucky Post School Outcomes (KYPSO) annual report. Most recent data from the 2020-21 academic year indicated that 4,687 students with an IEP exited high school. Of those students who exited high school 39.9% were employed in a competitive integrated setting within a year of exiting high school, whereas 23.5% were employed in a non-competitive integrated setting, and 36.6% were not engaged in the workforce. A total of 16% of those students with IEPs who exited high school were engaged in higher education.

### Employment Rate

The employment rate for Kentuckians with disabilities aged 18 to 64 was 32.3%. This was 8.4% lower than the US average for Americans with disabilities (40.7% employed) and 44.2% lower than the average for Kentuckians without disabilities (76.5% employed). Kentucky's disability employment gap ranked among the three largest in the US.

A closer examination of employment rate by county type shows that the employment gap in Kentucky (42.3%) was even larger for the state's rural population. In Kentucky's 35 metropolitan counties, the employment rate for those with disabilities was 36.5% compared to 79.6% for those without disabilities (-43.1% gap). For Kentucky's rural counties, the disability employment rate was 25.2% (over 10% lower compared to the metropolitan counties) compared to 70.7% for those without disabilities (a 45.5% gap).

### Poverty Rate

While employment is a key contributor to an individual's overall economic well-being and security, it is also helpful to examine poverty rates for additional economic context. As may be expected with the substantial employment gap observed for Kentuckians 18-64 with disabilities, nearly one-third (31.2%) of this population was living below the poverty line, compared to only 12.8% of their non-disabled counterparts (+18.4% gap). This puts Kentucky 5.8% higher than the national average (25.4%).

Similar to employment rates, the poverty rates observed were significantly higher in the rural areas of the state. For Kentuckians with disabilities in the metropolitan counties of the state, 27.6% were living below the poverty line, compared to 34.7% of those living in the rural counties. Furthermore, the most rural (or non-core) counties observed the highest rate of poverty (35.7%). For the veterans in Kentucky living with service-connected disabilities, the poverty rate is currently 18.7%.

### Benefits Receipt

While receipt of SSI/SSDI benefits provides a needed safety net for many Americans with disabilities, it has frequently been cited as one of the most significant barriers to entering/staying in the workforce. In Kentucky, 9.8% of the resident working-age population (aged 18-64) received either SSI or SSDI benefits. Nationally, that puts Kentucky behind only

West Virginia (11.1%) in the proportion of working age adults in the state who receive either SSI or SSDI benefits. This means that one in ten working-age Kentuckians are currently receiving one or both federal benefits. Most recent data has indicated that there are just over a quarter million beneficiaries between the ages of 18 and 64 in Kentucky with 179,666 receiving SSDI benefits, 75,188 receiving SSI only, and 26,340 receiving both SSI and SSDI.

### *Income*

Another helpful economic indicator is examining the annual median full-time income for a population of interest. In the Commonwealth of Kentucky, those without disabilities have a median full-time income of \$46,318, whereas Kentuckians with disabilities earn a median full-time income of \$40,689 (an annual gap of \$5,629).

### *Housing Burden*

Access to affordable, secure housing is an integral piece of economic stability. Lack of affordable housing production, increasing housing prices, and stagnant/lower wages have led to many individuals across the Commonwealth experiencing a housing burden. The impact has been especially felt by historically marginalized populations, including those with disabilities. Housing burden is defined as households that spend more than 30% of their income on housing costs and utilities. Most recent data have indicated that nearly one-third of working-age (18-64) Kentuckians with disabilities (30.25%) experience housing burden. This is over 12% higher than the housing burden rate observed in non-disabled counterparts (18%).

### *Health Insurance*

Access to healthcare and the presence of health insurance coverage are critical for many individuals with disabilities to maintain their overall wellness, manage any ongoing conditions, and be able to afford needed treatments and medications. Currently 94.4% of Kentuckians with disabilities have health insurance coverage with 38.3% having access to private coverage and 66.2% holding some level of public coverage.

<sup>1</sup><https://data.census.gov/table/ACSST1Y2022.S1810?g=010XX00US>

<sup>2</sup><https://data.census.gov/table/ACSST1Y2022.S1810?g=040XX00US21>

<sup>3</sup>[https://www.ssa.gov/policy/docs/statcomps/di\\_asr/2022/sect05.html](https://www.ssa.gov/policy/docs/statcomps/di_asr/2022/sect05.html)

## **Case Management System Metrics Overview-FFY 21-23**

This section is dedicated to providing an overview of the aggregate case data available from the Kentucky Office of Vocational Rehabilitation (OVR) for federal fiscal year (FFY) 2021 through FFY 2023. Through this analysis, we aim to offer insights into the demographics of OVR consumers, a comparison of the population of working-age Kentuckians with disabilities to OVR's consumer base, case outcomes and expenditures, and employment data.

### ***Consumer Demographic Overview***

Over the three-year period of review, OVR closed a total of 38,465 cases. Over half (54.1%) of OVR consumers identified as male and 45.9% as female. The mean age of individuals served by the KY OVR during this period was 38.97 years, with a median age of 35 years. The age range of clients varied from 15 to 97 years. The distribution of OVR consumers across age groups showed that transition-age youth (aged 15-25) made up over one-third of OVR consumers (34%), followed by mid-career consumers (aged 40-59; 27.1%), early career consumers (aged

26-39; 23%), late career consumers (aged 60-70; 11.4%), and finally, consumers over the age of 70 (4.5%).

### Race/Ethnicity

In terms of race/ethnicity, a majority of OVR consumers identified as White (79.9%), followed by Black or African American (10%), Hispanic/Latino (of any race; 8.8%), Asian (0.3%), Native American or Alaskan Native (0.2%), Hawaiian or Pacific Islander (0.1%), and two or more races (0.6%).

### Primary Impairment/Disability

OVR collects data related to a consumer's reported disability. The main category collected is the primary source of impairment or disability that has resulted in the consumer experiencing a barrier to attaining or retaining employment. The five most common reported primary impairments among OVR consumers included psychosocial and mental disabilities (30.9%), deafness and hearing loss (29.1%), cognitive disabilities (21.2%), physical and mobility impairments (14.2%), and blindness and other visual disabilities (4.2%).

### Area of Residence

The data showed that 54.4% of OVR consumers were from the state's metropolitan counties while 45.6% were from rural counties. Further, just over one-third (34%) of OVR consumers resided in the state's Appalachian region.

### Employment and Income

At the application stage, a majority of OVR consumers were currently unemployed (58.7%). A substantial portion of consumers (39.8%) reported being engaged in competitive integrated employment, while the remaining 1.5% were employed in non-integrated settings. At application, OVR consumers who were employed (n = 10,065) reported earning a median annual income of \$31,200 (avg annual income of \$32,915.79) working a median of 40 hours per week (avg of 32.9 hours per week) at a median wage of \$15 per hour (avg of \$19.24 per hour). In terms of financial support, 59.7% of consumers at application indicated they relied on others (e.g., family and friends, social security, or public assistance) as their primary income source. Moreover, a total of 22% of OVR consumers reported receiving either Supplemental Security Income (SSI) or Social Security Disability Insurance (SSDI) benefits at the time of application.

### ***Comparison to Kentuckians with Disabilities***

This section examines the overall demographic profile of the consumers served by OVR from FFY 21-23 compared to the profile of working-age (18-64) Kentuckians with disabilities established in the environmental scan.

Gender/Sex While 51% of Kentuckians with disabilities identified as female, less than half of OVR consumers were female (45.9%). This finding underscores a need for OVR to better utilize targeted outreach toward women with disabilities across the state. However, when removing cases that never reached the Individualized Plan of Employment (IPE) stage of OVR services (i.e., began formally receiving services), the gender/sex composition of OVR consumers is much closer (48.4% female) to the known demographic profile of Kentuckians with disabilities. Given that 58.6% of consumers who exit OVR before the IPE stage are male and nearly half (45.2%) are transition-age youth, the gender gap observed is likely largely due to a disproportionate number of young males receiving school-based transition services (such as Pre-ETS).

*Race/Ethnicity*. A direct comparison of racial and ethnic identities of OVR consumers to the racial/ethnic breakdown of Kentuckians with disabilities revealed that OVR served a higher proportion of consumers who identified as Black or African American (OVR: 10%; KY: 7.33%), Hispanic or Latino/a (OVR: 8.8%; KY: 2.36%), Native American or Alaskan Native (OVR: 0.2%; KY: 0.15%), and Hawaiian or Pacific Islander (OVR: 0.1%; KY: 0%). The only minority population group that OVR was not proportionately, or better serving was consumers who identified as Asians (OVR: 0.3%; KY: 0.6%). The overall data suggests that OVR is excelling in their efforts to provide services to marginalized population groups, particularly Kentuckians who identified as Hispanic or Latino/a. The low proportional service rate for Kentuckians of Asian extraction is of particular note given the documented rise in discrimination against Americans of Asian descent in the wake of the COVID-19 pandemic.

*Disability Type*. The differences in the way that the American Community Survey (ACS) and OVR collect and categorize disability data make a direct comparison somewhat limited in value. However, given the similarity in how visual and hearing conditions are defined and tracked, a comparison of those categories is warranted. As such, the service data revealed that OVR services appeared to be reaching a proportionally higher number of consumers with hearing impairments (OVR: 29.1%; KY: 19.7%) and a proportionally lower number of consumers with visual impairments (OVR: 4.2%; KY: 20.9%). The findings on hearing impairments underscore the effectiveness of OVR's specialized service program for consumers who are deaf or hard of hearing and reveal a possible area of improvement, that is provision of VR services to Kentuckians with visual impairments.

*Employment*. Data available from the ACS on working-age Kentuckians with disabilities indicated that their employment rate was currently 32.3%, significantly lower than the US average (40.7%). OVR data on consumers served showed that 39.8% of OVR consumers were employed at the time of application. This data may suggest that OVR is disproportionately providing services to Kentuckians with disabilities who are currently employed and reveals a possible area of focus, doing more targeted outreach with unemployed Kentuckians with disabilities.

*SSI/SSDI Beneficiaries*. Data collected via the Social Security Administration (SSA) revealed that 9.8% of the resident working-age population in the Commonwealth receive SSI or SSDI benefits. That is the second highest SSI/SSDI beneficiary rate in the US. Data collected by OVR from consumers indicated that 22% of their consumers reported receiving SSI or SSDI benefits at the time of application, meaning that OVR is serving a proportionally higher number of consumers with SSI/SSDI benefits. Given that reducing reliance on SSI/SSDI benefits is a meaningful outcome of vocational rehabilitation services, this data would indicate that KY OVR is appropriately reaching SSI/SSDI beneficiaries with their services.

## ***Outcomes***

There are numerous reasons why a consumer with an open case at KY OVR may have their case closed. The main categories of case closure examined for the purpose of this analysis included an unsuccessful case closure prior to the IPE stage of services (i.e. exit before IPE), an unsuccessful case closure after the consumer had established an IPE (i.e. exit after IPE), and a successful case closure, which is when a consumer is engaged in competitive integrated employment and no longer requires OVR services. Of the 38,465 cases closed by OVR from FFY 21-23, over a quarter (27.8%) resulted in a successful case closure, nearly half of the cases (49.9%) never made it to the IPE stage, and the final 22.3% resulted in an unsuccessful closure after an IPE had been established.

*Exit Before IPE.* Nearly half (49.9%) of all OVR cases closed in the three-year review period exited unsuccessfully from services before the IPE stage of services. Examples of consumers exiting at this stage includes individuals who exited from application, from accepted, from referral, from potentially eligible as a result of receiving pre-ETS services, and those who were ineligible from services. The three most common reasons listed for consumers exiting before IPE included “all other reasons” (38.7%), no longer interested in services (32.3%), and unable to locate or contact (25.5%).

*Unsuccessful Closure after IPE.* These cases, representing 22.3% of all case closures, got through the IPE phase of services and were closed as unsuccessful. Examples of unsuccessful closure after IPE could include a consumer no longer interested in services, a consumer being employed in a non-competitive integrated setting, and someone who is not able to be located or contacted. The three most common reasons for unsuccessful closure after IPE for OVR consumers were unable to contact or locate (40.1%), no longer interested in services (33.8%) and “all other reasons” (13.6%).

*Case Expenditures and Service Duration.* Cases that were closed unsuccessfully after IPE had a median case expenditure of \$3,462.46 (avg of \$5,836.92; ranging from \$10 to \$794,728) and a median service duration of 729 days (avg of 1033.47 days; ranging from 6 days to 10,629 days). The case expenditure and service duration data were heavily skewed by older cases with higher overall case expenditures.

*Successful Closures.* A successful case closure at OVR occurs when a consumer achieves competitive integrated employment and no longer requires OVR assistance. The overall successful case closure rate for all closed cases from FFY 21-23 was 27.8%. When eliminating the cases that never reached the IPE stage (i.e. actually received OVR services), the case success rate rises to 55.5% (10,699 successful case closures).

*Case Expenditures and Service Duration.* Successful case closures had a median case expenditure of \$3,123.74 (avg of \$6,384.05; ranging from \$6.84 to \$407,094) and a median service duration of 355 days (avg of 692.01 days; ranging from 93 days to 7,144 days). The case expenditure and service duration data for successful closures were also positively skewed by older cases with higher overall case expenditures. Compared to the unsuccessful closures after IPE, successful cases were (at the median point) 9.88% less costly and about half as long (51.3% shorter case durations). Cases that were closed unsuccessfully after IPE had a median case expenditure of \$3,462.46 (avg of \$5,836.92; ranging from \$10 to \$794,728) and a median service duration of 729 days (avg of 1033.47 days; ranging from 6 days to 10,629 days). The case expenditure and service duration data were heavily skewed by older cases with higher overall case expenditures. These findings support the vocational rehabilitation literature which suggests that a higher intensity of services (i.e. more services delivered over a shorter period of time) supports successful VR case outcomes.

*Successful Closure Income and Support.* For the OVR consumers whose cases ended in competitive integrated employment, a median annual income of \$33,280 (avg of \$35,731.28) was reported at a median of \$16 per hour for 40 hours per week (avg. of \$20.21 per hour for 34 hours per week). Compared to this group’s income levels at application, that represented a median annual increase of \$15,808 (avg increase of \$19,178.56). Further, 91.1% of these cases reported being primarily reliant on their own income (a 30.2% increase from application levels) and only 14.2% reported receiving SSDI/SSI benefits (a 1% decrease from application levels).

### ***Year by Year Trends***



The closure data for FFY 2021 through 2023 indicated a steady increase in the number of cases closed by OVR. In 2021, there were 10,908 closures, representing 28.4% of the total closures. This number increased to 11,410 (29.7%) in 2022 and further rose to 16,147 (42.0%) in 2023. This upward trend in closures suggests an increased demand for vocational rehabilitation services in the state and could be indicative of post COVID-19 labor force engagement rebound for Kentuckians with disabilities.

### Successful Case Closures

The closure type analysis revealed significant shifts over the three-year period. Successful closures (among those cases that reached the IPE stage) increased from 50.6% in 2021 (2,756 successful closures), to 55.9% in 2022 (3,282 successful closures), and finally to 58.6% in 2023 (4,661 successful closures). OVR not only increased the proportion of successful closures each year over this three-year span, but also closed more cases each year, resulting in a steady increase in the raw number of successful case closures in addition to the increased case success rate.

### Service Duration

For cases that made it past the IPE phase in FFY 2021, the median service duration was 617 days (avg of 946.47 days). The following year (FFY 2022) the median service duration decreased to 470 days (avg of 870.65 days). In the final year of the review period (FFY 2023) the median service duration further decreased to 389 days (753.73 days). This three-year trend shows a dramatic reduction in the number of days cases spent actively in service, with an overall 37% decrease in the median service duration from FFY 21 to 23.

### Case Expenditures

For cases that made it past the IPE phase in FFY 2021, the median case expenditure was \$3,277.58 (avg of \$6,109.77). The median case expenditures remained relatively steady in FFY 2022 with a median expenditure of \$3,205.80 (avg of \$6,118.12). Again, the year over year amounts were relatively steady into FFY 2023 where consumers had a median case expenditure of \$3,210.95 (avg of \$6,201.34). So, while the service duration of OVR cases reduced dramatically over the three-year period, case expenditures remained relatively stable, suggesting that OVR consumers were receiving a similar level of services over a significantly shorter period of time.

### Income Source

The first year (FFY 2021) of this review saw OVR boost the number of consumers served who were able to primarily rely on their own income sources by 17.9% (from 33.5% at application to 51.4% at closure). The following year the increase was 15.2% (from 40.1% at application to 55.3% at closure). Finally, FFY 2023 saw a 13.4% increase in reliance on self-income (from 45.1% at application to 58.5% at closure). While the overall gains in reliance on self-income reduced each year, the percentage of consumers who were reliant on their own income sources at closure steadily increased each year from 51.4% in 2021 to 58.5% in 2023.

### SSI/SSDI Beneficiaries

For FFY 2021, consumers that received OVR services saw a 1.5% decrease in receipt of SSI/SSDI benefits (from 22.2% at application to 20.7% at closure). The following year (FFY 2022), consumers reported a 1.2% decrease in benefits receipt (from 22.5% at application to 21.3% at closure). Finally, in FFY 2023, OVR achieved a three-year best, with a 2.3% reduction in SSI/SSDI beneficiaries (from 21.8% at application to 19.5% at closure).

### Annual Income Changes

For the successful OVR case closures in FFY 2021, consumers reported a median annual income increase of \$21,673.60 (from \$9,422.40 at application to \$31,096 at closure). FFY 2022 saw a median increase of \$17,628 (from \$14,612 at application to \$32,240 at closure) for successful case closures. Finally, OVR successful closures in FFY 2023 reported a median annual income increase of \$13,104 (from \$23,296 at application to \$36,400 at closure). Similarly, to income source, the amount of increase got smaller each year, but the overall earnings at closure increased each year from \$31,096 in FFY 21 to \$36,400 in FFY 23.

### CSNA Methodology

The Concerns Report Methodology, conceived by researchers at the University of Kansas in the 1980s, is a Participatory Action Research framework extensively utilized for eliciting pertinent consumer concerns and establishing an agenda for essential changes in both policy and service provision. This methodology revolves around identifying perceived strengths and issues within a specific demographic, resulting in a comprehensive catalogue of strengths and weaknesses pertaining to policy and practices in a given domain. It goes further by offering recommendations aimed at preserving identified strengths and remedying weaknesses. What sets this methodology apart is its inclusive approach—individuals with disabilities act as partners in the CRM research process, actively contributing to the selection of data collection elements, determining effective data collection methodologies, participating in analysis, interpreting results, and devising problem-solving strategies, thereby ensuring their voices are integral in decision-making processes.

The HDI Evaluation Team is employing the Concerns Report Methodology to drive the KYOVR CSNA through a multifaceted approach. This involves conducting focused discussions via focus groups involving consumers with disabilities, community rehabilitation providers, and OVR staff members. These interactions aim to gather critical insights that will directly shape the survey items tailored for these groups, facilitating the creation of a comprehensive list delineating OVR's strengths and areas necessitating improvement. Moreover, these survey results will inform recommendations made to OVR as a result of the CSNA. Importantly, this methodology extends beyond survey creation. It encompasses post-survey forums designed to provide constituents with platforms to contribute feedback on the survey outcomes and the subsequent recommendations, ensuring their perspectives continue to steer the decision-making process within the OVR, promoting inclusivity, and aligning strategies more effectively with the real needs of the community.

The culmination of priority concerns exposed in all methods of assessing the needs for the state from the most recent CSNA were:

1. The recruitment, training and retention of a competent workforce of staff with specialized knowledge in the field of rehabilitation.
2. Community Rehabilitation Provider Capacity inclusive of services operations (staff, recruitment, training, data collection), transition services and referrals and funding from OVR.
3. Increased outreach for the area of employer engagement and public awareness to increase opportunities for services and increased employment outcomes.
4. OVR will ensure all information, communications and technology is accessible so that everyone will have equal access to agency services and resources.

5. Increased efficiency in agency processes in order to serve consumers in a more timely and effective manner.

The concerns identified above align with the goals and priority areas of 1) Sound Fiscal Management, 2) Quality Assurance, 3) Staff Resources and 4) Consumer Services and 5) Public Awareness. For the area of Provider Capacity, the concerns align with the goals set for the distribution of Title VI, Part B Funds.

### ***Focus Group and Results***

The HDI Evaluation Team has conducted focus groups with SCVR, OVR staff, Community Rehabilitation Providers, and finally with public constituents. Each focus group and corresponding themes are discussed below.

#### ***Focus Group 1: Statewide Council for Vocational Rehabilitation (SCVR)***

The SCVR focus group was conducted on 10/23/23 at 1:00 PM and resulted in the following themes and subthemes.

##### 1. Services:

- Core offerings or programs provided by the organization.
- Considerations or challenges related to transportation services.
- Offering or promoting services without cost-sharing obligations

##### 2. Knowledge/Expertise:

- Demonstrating proficiency and specialized knowledge within the team or organization.

##### 3. Networks:

- Strong connections or partnerships within the industry or community.

##### 4. Promoting Services:

- Challenges or strategies related to advertising or making services known to the public.
- Opportunities to enhance marketing strategies and target specific audiences effectively.

##### 5. Hiring and Retaining Staff:

- Challenges in recruiting and maintaining a competent workforce.

##### 6. Getting and Retaining CRPs (Consumer Rehabilitation Providers):

- Efforts and challenges related to attracting and maintaining service providers.

##### 7. Funding:

- Concerns, limitations, or uncertainties regarding financial resources.

#### ***Focus Group 2: Community Rehabilitation Providers (CRPs)***

The HDI Evaluation Team conducted a virtual focus group with community rehabilitation provider administrators and staff on 10/31/23 at 10:30 AM. This focus group resulted in the following themes and sub-themes.

##### 1. Communication and Relationship Management

- Emphasis on open communication between OVR, counselors, and CRPs.
- Challenges with counselor and consumer communication.
- Lack of community understanding about OVR services.

## 2. Service Delivery and Support for Consumers

- Insufficient funding impacting service provision.
- Need for better vetting of consumers and clearer expectations.
- Challenges with transportation options and service availability

## 3. Challenges with Pre-Employment Transition Services (Pre-ETS)

- Issues with the rollout, sustainability, and accessibility of Pre-ETS.
- Desire to restore original services and funding levels.

## 4. Provider Support and Collaboration

- Calls for transparent and inclusive long-term planning.
- Desire for increased support, financial transparency, and involvement of CRPs.
- Advocacy for CRP needs, cultural shifts, and regular budget examination.

## 5. Training and Resources

- Need for more training and resources for counselors and CRPs.
- Calls for standardized training, quality-focused training for CRPs, and better tools/resources.

## 6. Process Efficiency and Timeliness

- Concerns about lengthy processes, authorization delays, and intake procedures.
- Desire for better systems and technology to streamline communication and processes.

## 7. Workforce Issues and Caseload Management

- Counselor overload and overwhelmed staff.
- Need for appropriate caseload numbers and additional staff training.

## 8. Flexibility and Adaptability

- Desire for a more flexible and adaptive approach to service delivery.
- Need for innovative solutions, advanced technology, and leveraging current workplace shortages.

### Focus Group 3: OVR Staff

A focus group was conducted with OVR staff and counselors on 11/02/23 at 2:00 PM. The following themes and subthemes emerged from this focus group.

#### 1. Staffing Challenges and Recruitment

- Difficulty in finding qualified candidates.
- Long-term employees and retention issues.
- Need for competitive pay and benefits.
- Short-staffed offices.

## 2. Internal Operations and Accessibility

- Internal accessibility updates needed.
- Office updates required.
- Case management system improvements.
- Redundant paperwork and processes.
- Lack of policy guidance and procedural limitations.

## 3. External Communication and Promotion

- Strengthening communication post-pandemic.
- Better promotion of services to the public.
- Communication with special education (SPED) and contractors/vendors.
- Lack of Consumer Rehabilitation Providers (CRPs).

## 4. Service Enhancement and Accessibility

- Opportunities for staff/counselor training and continuing education.
- Accessibility assessments and updates needed.
- Improving services for independent living (IL).
- Removal of specialized caseloads and transition youth emphasis.
- Transportation options and no cost-sharing services.

## 5. Technology and Office Infrastructure

- Sub-par Commonwealth of Technology (COT) office services.
- Difficulty with technology updates and system navigation.
- Lack of technology updates in OVR offices.

## 6. Consumer Needs and Services

- Inability to handle all consumer needs.
- Emphasis on income increase and no cost-sharing services.
- Lack of specialized caseloads and CRPs.

## 7. Evaluation and Work Environment

- Counselor evaluations appropriateness.

- Increased access to quality professional development opportunities.
- Focus on improving work environment and reducing redundancy in processes.

#### Focus Group 4: Public

Two public focus groups were conducted by the HDI Evaluation Team on 11/14/23 at 10:30 AM and at 7:00 PM. The following themes and subthemes emerged from these groups.

##### 1. Service Provision:

- Various types of services catered to youth, specific needs, and complementary support.
- Consistency and wide-ranging support within services provided.

##### 2. Accessibility and Communication:

- Challenges in reaching staff members and the discouragement associated with multiple attempts.
- Difficulty with website usability and contact information accessibility.
- Weak internal communication structure within the organization.
- Long wait times and difficulties in scheduling appointments for consumers.

##### 3. Staffing and Workload:

- Understaffing leading to overworked and overwhelmed current staff.
- Need for more OVR staff to meet consumer demands.

##### 4. Consumer Interaction and Support:

- Compassionate and caring attitude of counselors while addressing consumer needs.
- Efforts made by counselors to ensure consumers receive maximum benefits.
- Education needed for consumers on effective communication methods with OVR.

##### 5. Technology and System Challenges:

- Outdated phone systems and websites posing difficulties for consumers.
- Privacy concerns regarding consumer information shared with OVR.

##### 6. Consumer Awareness and Outreach:

- Need for outreach and marketing campaigns to raise awareness about OVR services.
- Stigmas preventing consumers from accessing OVR services need to be addressed.

##### 7. Process Improvement:

- Need for improved internal processes, including expedited processes for clients and conducting exit interviews.

##### 8. Partnerships and Resources:

- Call for creating more partnerships to expand resources and support for consumers.

## **CSNA Survey Summaries**

### **A. Consumer Survey**

The OVR Consumer survey has received 89% of the target completion rate with a total of 873 responses. Consumers with disabilities themselves made up 81% of survey respondents. Survey respondents were primarily female (61%) and resided in 96 of Kentucky's 120 counties. The most represented disabilities among respondents were deafness/hard of hearing (40.5%), behavioral/mood disorder (21.8%), and other physical impairment (13.3%).

In terms of the Concerns Report issues that were generated from the OVR Consumer/Public focus group, each of the 18 items were rated as important by the respondents (avg importance rating of 93.6%). The final Concerns Report concluded that 100% of the items were viewed as strengths or moderate strengths by OVR consumers, with 17 of the 18 being rated as strengths (having a satisfaction rating of 75% or higher). The items that garnered the highest satisfaction ratings included: OVR provides opportunities for consumers to give feedback and listens to their concerns (90%), OVR counselors and staff are professional and helpful (90%), OVR counselors are dedicated to providing quality services (89%), OVR physical locations are accessible (89%), and OVR provides accessible and easy to use communication options to consumers (89%).

Over half of the respondents were employed full-time (52%) and an additional 17% were employed part-time. Most (83%) reported they were satisfied with their current job and were secure in their employment (86%). Many respondents indicated their technology needs were met (73%) and smartphones (77.6%) and computers (73.6%) were by far the most commonly used types of technology utilized. Consumers were largely satisfied with the OVR experiences (81.9% satisfaction rating) and most (89.2) would recommend OVR services to someone who needs assistance.

### **B. Counselor/Staff Survey**

The OVR Counselor/Staff survey exceeded the target completion goal by 143% and received 320 total responses. The counselor/staff survey respondents were primarily female (75%), both counselors and staff had representation (41% and 59%, respectively), and all 19 OVR districts in the Commonwealth were represented. In terms of the Concerns Report issues that were generated from the OVR Counselor/Staff focus group, each of the 19 items was rated as important by the respondents (avg importance rating of 92.6%). The final Concerns Report concluded that 79% of the items were viewed as strengths or moderate strengths by OVR counselors and staff. The strengths with the highest satisfaction ratings were related to a positive workplace environment and services provided to OVR consumers. The identified areas for improvement included the need for more staff and resources to serve consumers, and a need to reevaluate the current CMS system.

Counselors and staff were generally very positive about their work at OVR. Overall, the OVR counselors and staff indicated that they were satisfied with their work (83% satisfaction rate). This included positive satisfaction ratings for the communication and collaboration within OVR (71% satisfaction rate), the resources and tools available to them (70% satisfaction rate), and their current compensation and benefits packages (68% satisfaction rate). The most common issues noted by counselors and staff who were dissatisfied with their jobs were base salary (77%) and workload (52%). A majority of counselors and staff indicated that their technology needs were met (72%) and that they believed they could complete their work effectively while telecommuting (80%).

The survey respondents seemed in agreement that there is a strong need for more Community Rehabilitation Providers (CRPs) and that more resources are needed to further develop and expand the existing CRPs. This is in line with the sentiment from the Concerns Report which indicated that counselors and staff believe they need more resources to be able to effectively serve their consumers. Some of the most commonly utilized CRP services included traditional supported employment (77%), employment and retention (74%), job development (68%), person-centered job selection (64%), and individual placement support (IPS; 53%).

### C. Youth/Transition Survey

The OVR Youth/Transition survey surpassed the number of target completions by 114% and received a total of 273 responses. Parents or guardians of consumers with disabilities comprised more than half of survey respondents (51.3%) and transition-aged consumers made up another 42.5% of the responses. Over half of Kentucky's 120 counties (65 in total) were represented by survey respondents. The most commonly represented disabilities included autism (36.8%), behavioral/mood disorder (26.4%), and intellectual disability (21.5%).

In terms of the Concerns Report issues that were generated from the OVR Consumer/Public focus group, all 20 items were rated as important by the respondents (avg importance rating of 90.1%). The final Concerns Report concluded that 100% of the items were viewed as strengths or moderate strengths by OVR transition-aged consumers, with three-quarters of the items rated as strengths (having a satisfaction rating of 75% or higher). The items that garnered the highest satisfaction ratings included: OVR provides opportunities for consumers to give feedback and responds to their concerns (84%), Student preferences for job goals and assistive technology are prioritized by OVR staff (83%), and OVR provides accessible and easy to use communication options to consumers (83%).

Over half of the respondents were employed (51.9%) at the time of the survey and most felt that their technology needs were currently being met (78%). The most commonly identified current or future service needs of respondents included job placement (62.3%), independent living skills (55.8%), resume and interviewing skills (53.9%), vocational evaluation (50%), and paid work experience (45.5%).

### D. Community Rehabilitation Provider (CRP) Survey

The OVR CRP survey recorded 99% of the target completion goal and had a total of 94 respondents from Community Rehabilitation Providers (CRPs) across the Commonwealth. CRP respondents were primarily female (66%) and all 19 KY OVR regions were served by the respondent CRPs. Louisville was the most represented region with 32.5% of respondents indicating they provided services in the greater Louisville area. A majority of CRP respondents (61.4%) receive 25 or fewer referrals and send 25 or fewer referrals to OVR annually. In terms of the Concerns Report issues that were generated from the CRP focus group, each of the 19 items were rated as important by the respondents (avg importance rating of 94.7%). The final Concerns Report concluded that 100% of the items were viewed as strengths or moderate strengths by CRP respondents. The top three highest rate strengths were as follows: OVR values and emphasizes partnerships with CRPs (90% satisfaction rating), OVR counselors demonstrate compassion and flexibility when working with Kentuckians with disabilities (88% satisfaction rating), and OVR provides necessary services to all categories of consumers including those with the most significant disabilities (83% satisfaction rating).

A majority of CRP respondents indicated that their technology needs had been met (88%) and that they had what they needed to meet virtually with consumers (96%). Seventy-two percent of CRPs reported they were able to respond to referrals within a week and 69.3% said they



currently have no waiting list for services. The top five barriers to providing services to OVR consumers identified by respondents included: lack of long-term support funding (38.7%), lack of available qualified and/or trained staff (34.6%), low KY-OVR fee for service rates (33.3%), lack of available financial resources (29.3%), and increases in consumers with multiple disabilities (26.6%).

#### E. Kentucky Career Center (KCC) Survey

The Kentucky Career Center (KCC) Survey achieved 100% of the target completions and had 12 total respondents representing their respective Kentucky Career Centers. Survey respondents were primarily female (78%) and represented seven unique regions across the Commonwealth (Cumberlands, Green River, KentuckianaWorks, Lincoln Trail, Northern KY, South Central, and Tenco). All but one respondent (89%) indicated that individuals with disabilities were able to fully access and participate in their available services. The most identified training needs for KCC staff were Social Security Work Incentives, Deaf and Hard of Hearing Support, Intellectual/Learning Disability Support, and Blindness and Low Vision Support. A majority of respondents (80%) reported having a good or excellent working relationship with OVR, and relatedly indicated that it was easy to refer someone to OVR services (80%) and that the process was seamless and high quality (80%). Generally speaking, KCC representatives indicated a high level of knowledge related to disability and accessibility-related topics, however, 40% of representatives reported a “poor” level of knowledge related to providing materials in alternate or accessible formats.

#### **2022 Consumer Satisfaction Survey (CSS)**

As part of federal requirements, OVR has collaborated with the Statewide Council for Vocational Rehabilitation (SCVR), the state’s SRC, and the University of Kentucky Human Development Institute (HDI) since 1996 to coordinate the annual OVR Consumer Satisfaction Survey (CSS). The most recent survey was for cases closed between October 2021– September 2022. The CSS was presented to the SCVR at the quarterly meeting on April 24, 2023.

The sample of people randomly selected to participate was stratified to reflect the population of all consumers with cases closed in fiscal year 2022. IQS Research contacted consumers by email and/or telephone in January through March of 2023 to participate in the survey. A total of 1,042 individuals participated in the survey which was available as both a telephone and online survey, with responses included from each of the districts. Phone surveys accounted for 38.1% of responses and 61.8% of responses were collected via online surveys. The overall response rate for the survey was 23.8%. There was a 46% response rate via phone contacts and 18% via email contacts. HDI compiled the results, and the final report was reviewed by the SCVR Consumer Services and Program Evaluation Committee prior to HDI presenting to the entire council during the April 2023 quarterly meeting.

A total of 1,042 individuals participated in the survey with responses received from each of the 19 field districts. The overall statewide consumer satisfaction was 88.8% with an average score of 3.49 on a four-point scale (1 = very poor, 2 = poor, 3 = good, and 4 = very good)

Highlights from the report include the following:

1. Regardless of case closure status, respondents indicated that overall services provided by the Office were good or very good (88.8%).
2. The overall rating is highest for those individuals who closed Successful in Competitive integrated employment (96.6%).

3. More than three fourths (76.6%) of respondents whose cases were closed successfully felt that OVR helped prepare them for their current job.
4. 92.4% of consumers said they would return to OVR in the future.
  - a. 93% of consumers who were employed indicated they are satisfied with the kind of work they do.
  - b. 86.6% reported being satisfied with the salary they receive.
  - c. 85.5% reported overall satisfaction with the quality of services as good to very good.

### **OVR Strategic Planning**

In conjunction with the Statewide Council for Vocational Rehabilitation (SCVR), OVR utilized the strategic planning process to implement a four-year plan of action for the agency. The OVR Strategic Plan developed includes the goals, objectives and strategies for the agency and provides measures for determining the effectiveness in accomplishing its goals. The process was used as a part of the triennial Comprehensive Statewide Needs Assessment (CSNA). Information gained from this process was used to inform the State Plan.

The planning process was implemented in two planning sessions across a three-day period with the Executive Leadership Team (ELT), Regional Branch Managers and Cabinet staff, including the SCVR Liaison and Fiscal Team members. The strategic planning sessions began at 1PM on Tuesday, September 26, 2023, and ended at 12PM on Thursday, September 28, 2023.

During the first planning session on Tuesday, the ELT and staff met to analyze the agencies current goals and objectives to determine the progress of those goals and others that should carry forward in the new plan. In addition, the ELT reviewed the results of an agency-wide survey that was distributed to staff in late August of 2023. The survey results expressed the needs and concerns of staff and identified areas of improvement needed for staff to be more efficient in service delivery. The ELT focused on identifying those areas that presented an opportunity to implement within the next plan year and those areas that would become part of the final four-year strategic plan.

On Wednesday, UA Currents staff led by Robin Freeman joined the staff and conducted team building interactive activities that focused on building work relationships for the overall mission and vision of the agency. UA Currents Staff surveyed and engaged staff in team-building exercises to address the changing dynamics since the COVID-19 pandemic, which included communications, personality assessments, diversity and inclusion awareness and generational understanding within the workplace. The exercises were interactive, and staff were placed in rotating categories and on multiple teams to learn more about one another, their perspectives and their personalities related to work. One of the main purposes of the activities was to assist in efforts such as the strategic planning process to build trust, confidence and good working relationships amongst both seasoned and developing staff to accomplish agency goals as the OVR expands.

During the final planning session on Thursday, the team continued to work on the Strategic Plan for the agency. The six areas of focus identified on the October 1, 2021, through September 30, 2024, strategic plan was: (1) Sound Fiscal Management, (2) Quality Assurance, (3) Staff Resources, (4) Center Operations, (5) Consumer Services and (6) Public Awareness. The ELT determined that multiple areas of focus from the last plan were still relevant and are currently being implemented or planned. Therefore, the six areas of focus will remain in the new OVR

strategic plan and in the same priority listed to complete. However, some revisions, additions and removals were made to the objectives within the areas of focus to reflect the identified needs of the agency, which are also laid out in Sections C and D of this state plan. The following new goals are:

1. Implement sound fiscal management that aligns with federal and state regulations for accurate and consistent reporting and operations.
2. Compliance with federal and state regulations in all areas to ensure continuous improvement and quality outcomes for consumers.
3. Maximize technology and business processes to effectively support accessibility and the evolving needs of all stakeholders.
4. Improve facilities and expand programs to increase competitive, integrated employment outcomes.
5. Implement innovative practices to improve quality outcomes.
6. Implement an ongoing, flexible outreach plan and process to improve public awareness of VR programs, services, and agency employment.
7. Changes were made to the goals for title VI, Part B Funds in keeping with the identified need for provider capacity for the community rehabilitation programs. There is one goal with multiple objectives and strategies.
  - Goal 1: Build capacity within supported employment services for individuals with the most significant disabilities.

### **OVR State Plan Forums**

In accordance with Section 101 of the Rehabilitation Act of 1973, as amended, the OVR held public meetings from September 19, 2023, through October 24, 2023, to gain public comment and input regarding the delivery of services to persons with disabilities prior to the implementation of the state plan.

SCVR collaborated with OVR in the planning of OVR State Plan Public Forums and participated in several forums, providing input and comments. The forums were hosted by the SCVR liaison, and staff represented various areas of OVR at each forum. A representative from CAP attended and participated in forum discussions. OVR held five public forums, both virtual and hybrid (in-person and virtual) options, to provide all Kentuckians access and an opportunity to comment on the services delivered to persons with disabilities in the state.

Information regarding the forums were announced to the public through multiple venues, such as the webpages for the Education and Labor Cabinet (ELC), OVR and SCVR. Announcements were also made during the SCVR meetings, full Council and committees, prior to the event, and an informational document was distributed through social media and agency wide and to the Council for sharing. All forum materials and accompanying documents, including the previous OVR portion of the state plan, were created in an accessible format. An announcement video-log was created to ensure the deaf and hard of hearing community were aware of the forum activities. Sign Language Interpreters were present at each forum to provide interpreting services for the deaf and hard of hearing to participate in the discussions.

Forums were held at the following locations, dates and times:

- Virtual Public Forum: Sept. 19, 2023, 10 – 11 a.m. EST.

- Virtual Public Forum: Sept. 19, 2023, 6:30 – 7:30 p.m. EST.
- Thelma (in-person and virtual options): Oct. 17, 2023, 6:30 – 7:30 p.m. EST, Carl D. Perkins Vocational Training Center, 5659 Main St., Thelma.
- Louisville (in-person and virtual options): Oct. 24, 2023, 10 – 11 a.m. EST, Charles W. McDowell Center for the Blind, 8412 Westport Road, Louisville.
- Louisville (in-person and virtual options): Oct. 24, 2023, 6:30 – 7:30 p.m. EST, Charles W. McDowell Center for the Blind.

The information sought by OVR was based on collaborative discussions and activities within the larger Education and Labor Cabinet through the Kentucky Workforce Innovation Board's Interagency Team for the state plan. Common themes of interest were based around access, equity and work, which are all included in the vision and mission of the agency serving individuals with disabilities. Most importantly, the specific needs of OVR consumers were the significant part of the public's discussion, which included accessibility, outreach and technology. However, the public was encouraged and given the opportunity to provide input on any area other than the thematic information sought in relation to OVR's portion of the state plan and the delivery of services to consumers.

The information received from the forum had consistencies with other areas of the statewide comprehensive needs assessment and were taken into account on the approved and final OVR strategic plan which was presented to the SCVR at the last quarterly meeting of the year. The common themes identified during the forum discussions presented by the public were:

1. Outreach Efforts;
2. Transportation;
3. Building Relationships with Employers;
4. Building Relationships with Local Communities/Schools; and
5. Assistive Technologies.

Below is a summary of all forum discussions with comments made by the public.

***OVR State Plan Forum: Public Input and Comment***

1. Sought input on how to better assist in networking with employers to expand access for good jobs for persons with disabilities:

- Continue outreach to employers and target education at the Chamber of Commerce events to provide available data on the benefits of hiring individuals who have disabilities.
- OVR needs more feet on the ground, sending people to employers, building relationships and contacting them.
- Showing the employee how a job is done in that work environment, specifically someone with a disability. It was suggested that a video of how the work is performed could be created to give the employee an idea of the work.
- Attending local employer meetings to assess the hiring needs.

2. Sought to learn how easy or difficult it is to find a job:

- Transportation in rural areas make the process difficult, including job coaching.
- Bioptic driving and transportation concerns were expressed in rural areas for people who are blind or have low vision and not being able to make appointments.
- Both easy and difficult were reported but noted that it may be harder to get in a position where the disability is a new thing. It would be easier if someone was there with a disability, so that part would not be new to the other people there. So, it was difficult in areas where that was not the case.

3. Sought to understand if there are any gaps in the services we provide, and if we are missing any areas of service that could better assist our consumers in obtaining a good job:

- Acknowledgment was given that OVR does a good job with CIE while the gap identified was more outreach, introducing more people with disabilities to the services offered, and transportation options.
- Issues with consumers odd schedules are not working for employers, and if any issue arises, employers may not want to allow another chance for the consumer.
- Focus more on long term careers rather than jobs.
- Involve caregivers or the support systems for those who have a disability trying to get to work. Having the caregiver understand the dynamics of that person will benefit the consumer—involve the natural support system.
- Gaps in Orientation and Mobility services in order to navigate the home and job, which is important for those who are blind.
- Paying close attention to the area of retention.
- Determining accommodations for the consumer to do the best job they can.

4. Sought to understand the assistive technologies OVR should consider that are important for consumers moving into 2024:

- Having assistive technologies within the home to help consumers get prepared for work, such as technology in the kitchen.
- OVR was thanked for offering assistive technologies.
- Providing adaptive equipment for those working from home and in-person.
- Viewing remote work as important for people with disabilities, with assistive technology and adaptive equipment if needed.
- Van modifications are very important for people who use wheelchairs and very important for employment.
- Assistive Technology (AI) has promising abilities for people who are blind or low vision, for example the ability to read hand-written letters. OVR was encouraged to stay abreast of these products and findings to be available to consumers.

5. Sought to find out consumer and community preference for in-person and virtual appointments that OVR offers:

- The initial appointment visit should be in person to build better relationships with counselors. After that, virtual is fine.
- Understanding if in-person appointment is difficult at this time.

6. Sought input as to how OVR can ensure VR services are reaching all Kentuckians across state:

- For better consistency throughout the state, more VR specialist/pre-ETS could reach out to the schools regarding VR services for those with IEP's and 504's. In certain areas, parents have no knowledge of the services OVR offers. Equip the schools with education about VR services so that employment will not be an afterthought.
- Utilize more resources to help spread the word about OVR services, including newspapers.
- Provide more in-person outreach, especially in rural areas like Eastern Kentucky that does not have broadband and lack technology.
- Being present at career fairs and community events.
- Ongoing media outreach.
- Outreach to the medical field, such as clinics, would provide VR service information to rural and/or underserved areas.
- Stay in touch with schools of higher education to assist with transition.
- Present VR services to students in college, not only in special education, but other disciplines as well.
- Building relationships locally are very important for school outreach.

### ***State Plan Forum: Public Questions and Answers***

While the forum sought input and comment, OVR staff provided answers to questions for those who were either unfamiliar with our services or needed further information. Answers were provided to the following questions and posted to the OVR website and SCVR webpage:

Question 1: How do we get the message out about OVR and awareness? Do we participate in career fairs?

Answer 1:

OVR coordinates multiple outreach efforts to inform the public about the state's vocational rehabilitation programs and services.

OVR participates in state and community events, partner meetings, and visits high schools to bring awareness of vocational rehabilitation programs and services offered throughout the state. OVR provides resourceful information on the OVR website and social media platform regarding events, meetings, forums, spotlights, etc. that may be of public interest. OVR's website details the wide variety of services offered and contact information for each division so interested individuals, particularly persons with disabilities, have knowledge of and access to available resources and services.

Additionally, OVR Counselors, Job Placement Specialists, and Transition Services Branch Staff distribute outreach material and answer questions at various career fairs for people that might be interested in learning more about the services offered. On a broader scale, the agency's

Annual Report is widely distributed and spotlights consumer stories and the agency's performance for community awareness and engagement and to strengthen connections with stakeholders.

While OVR finds it helpful and effective when consumers, their families and communities spread the word about our services, we continue to recognize more efforts are needed to reach the wider disability communities across Kentucky. Currently, OVR's Diversity, Equity, and Inclusion team has a strategic plan with a goal of increasing outreach to underserved populations. We are continuously looking at more ways to increase awareness about OVR services in accordance with the requirements in the Uniform Guidance at 2 C.F.R. 200.467.

Question 2: What are the changes to rules in the bioptic driving?

Answer 2:

782 KAR 1:070. Relates to KRS 186.480, 186.576, 186.579, 186.577, 186.578, and 186.579.

The changes to the Kentucky Bioptic Driving Law that occurred in 2022 included updates to correctly identify the Office of Vocational Rehabilitation, Division of Blind Services as the state entity administrating the Bioptic Driving Program, as opposed to the Office for the Blind.

The changes also corrected the amount of time the operator's license is effective; previously it stated that it was only effective one year and then needed renewal. It was updated to state that renewal happens at 4 to 8 years, in line with all other operator's licenses in Kentucky.

Another change was made to better reflect how our program is currently operating. It allows new drivers to take the daytime and nighttime operator's license examination on the same day, as opposed to waiting 24 hours between the exams. It also clarifies when individuals who transfer from another state, and currently hold an operator's license with a bioptic restriction must take a night or day examination.

Question 3: Who to connect with in the state regarding bioptic driving?

Answer 3:

Speak with an OVR Vocational Rehabilitation Counselor in your area to get connected.

Question 4: Do we have funding sources in Kentucky for Assistive Technology?

Answer 4:

Yes, the Kentucky Assistive Technology Services (KATS) Network and Kentucky Assistive Technology Loan Corporation (KATLC).

The KATS Network has many resources like a lending library to borrow assistive tech equipment on a short-term basis. They also have demo centers to try out technology and a system for collecting, refurbishing and redistributing assistive tech and durable medical equipment throughout the state. Here is a link to their web page: [KATS Network – Disability Solutions Through Technology](#). They can also connect you to other resources around the state through their funding guide at this link [The Buck Starts Here... | A Guide to Assistive Technology Funding in Kentucky \(16th Edition; rev 1, November 2023\) \(katsnet.org\)](#).

The KATLC is the Assistive Technology Alternative Financing Program (ATAFP) for Kentucky. KATLC provides financial loans for the purchase of assistive technology with its lending partner for individuals with disabilities or the parent or legal guardian of an individual with a disability. KATLC has joined with the Appalachian Assistive Technology Loan Fund

(AATLF) to provide no interest, no fee loans from \$100-7,000 for assistive technology to promote independence and enhanced quality of life for individuals with disabilities.

KATLC is funded by both private and public monies to assist Kentuckians with disabilities to obtain low interest loans for the purchase of assistive technology that will promote their independence and enhance their quality of life. KATLC is actively working to obtain a new lending partner to provide loans over \$7,000.

Question 5: What is OVR currently doing to network with employers?

Answer 5:

The OVR Employer Services Branch employs a statewide Employer Services Branch Manager and Job Placement Specialists across the state. With the branch manager's guidance, the job placement specialists are responsible for developing relationships with local employers to facilitate the placement of OVR consumers into competitive integrated employment. Job placement specialists utilize the targeted industry sectors, as determined by their local workforce region, in order to provide specific labor market information to consumers, employers and agency partners.

Currently, the Employer Services Branch networks with employers in the following ways:

- Staff meet with hiring managers or their representatives in person to discuss VR services and work experience programs on a consistent basis each month. This helps build relationships with decision makers and key personnel, directly.
- Every year, staff attend hiring events, such as job fairs within the state for visibility and awareness of our services and the consumers we serve.
- Staff attend monthly, quarterly, and yearly meetings with various employer groups including, but not limited to, the Chamber of Commerce, Strategic Human Resource Management (SHRM), Networking Neighbors (a local employer group) and Neighborhood Coffee (a local employer group). In addition, staff attend the Workforce Summit that was recently held in Lexington, Ky. By attending these group meetings, staff are able to meet with new employers as well as solidifying the existing relationships with employers. This has been a great strategy for learning the employer's needs and expectations, job descriptions, potential for job carving and identifying a direct contact for employers.
- The Kentucky Career Centers (KCC) serve our consumers in multiple ways. The KCC often hold mini job fairs and employer forums with the opportunity for consumers to participate in mock interviews, all on a more personal level. Working with community partners and our staff in different regional KCC locations throughout the state have been a great asset in networking with employers.
- The VR Employer Services Branch Manager is a member of multiple employment focused councils, boards, and organizations, including Workforce Advisory Group with CareerOneStop, National Rehabilitation Association (NRA), Kentucky Rehabilitation Association (KRA), and Kentucky Job Placement Division (KJPD). The Branch Manager is also a representative for the National Employment Team (NET). This allows the Branch Manager opportunities to strategically network with employers and effectively lead staff, regionally, in engaging with employers.



The Employer Services Branch is always seeking more opportunities to engage with employers to assist our consumers in obtaining competitive integrated employment.

**Question 6:** Does VR go and do presentations for students who are in college learning how to be teachers, especially special education teachers?

Answer 6:

Yes. OVR has provided presentations to students in the Bachelor of Arts program for Special Education at University of Kentucky to ensure that students who will serve individuals with disabilities in the future will have knowledge of our programs and services. OVR is currently in discussion about entering the classrooms of more educational institutions within the state as well as a broader range of disciplines to bring awareness of our programs and services to students. OVR's Diversity, Equity and Inclusion committee has been working on strategies specifically for college and university outreach for students studying not only Special Ed., but also Social Work, Psychology, Sociology, Criminal Justice, and other human services fields.

### **Assistive Technology Branch**

A high-tech driving system is one in which electronic gas, brake, and/or steering is required to allow an individual to operate a motor vehicle safely and independently. From January of 2022 through September 2023, high tech driver evaluations were completed for 21 consumers. Of these, 12 were repeat vehicle modifications. Repeat modifications are relatively streamlined because evaluations can be completed in the consumer's current vehicle and training is not typically required. The average time to evaluation for these repeat services was just over 3 months. The 9 remaining evaluations were for new high-tech drivers. On average, for the new drivers, it took approximately 120 days from referral before a completed evaluation report was returned to the Office of Vocational Rehabilitation.

Once an individual is evaluated and a driving system recommended, they must have an Individualized Plan for Employment (IPE) approved for the modification before services can continue. This process typically takes less than a month and occurs for both new and experienced high-tech drivers. With the IPE approved, training authorizations are obtained immediately for new high-tech drivers. However, due to the lack of availability of the van, services are delayed several months while waiting for a van for training. Once the van is available, the minimum training time for a high-tech vehicle is 20 hours and can be up to about 60 hours. Where possible, training is completed in 2 to 4 weeks. It is important to complete the training at one time because driving is a skill that is lost if not practiced regularly. It is not effective to train for a day and then wait a few weeks and train another day. The van must be available for an extended period that matches the expected training time of the consumer before training is started. Vehicle setup is also an issue in providing efficient services. It can take a day to properly set up a vehicle, and this time takes away from training time when a van is borrowed.

For completed high-tech vehicle modifications in 2022 and 2023 for new drivers, the average time from referral to completion is 16 months vs. a time of 8 months for van modifications where lower technology modifications are required. The lack of an evaluation and training vehicle creates a significant delay for consumers. It takes approximately 8 months longer for a consumer to obtain a high-tech vehicle modification when compared to a lower tech van modification.

Currently, a van is borrowed from Superior Van and Mobility when a high-tech evaluation (or training) needs to be completed. However, the van available through Superior is shared among

states where Superior has dealerships and therefore, its availability is limited. If the agency owned a vehicle, the evaluations and training could be scheduled much more quickly, and consumers would have the independence they need to go to work. With our own van, OVR could set up the vehicle and leave it set for the consumer until training is complete. Then the setup could be switched for the next consumer. This is more effective use of both staff time and allowing consumers who require new high-tech modifications to be served more quickly. If the agency owned a vehicle, the evaluations and trainings could be scheduled much more quickly, and consumers would have the independence they need to go to work.

Therefore, the need assessed for the Assistive Technology Branch that is pressing within the next four years is to secure an evaluation and training vehicle for consumers to be effectively evaluated and trained in order to obtain, and be ready for, competitive integrated employment.

### **Kentucky Business Enterprises**

Kentucky Business Enterprises is one of the nation's vending and foodservice programs operated by individuals who are visually impaired or blind. The program trains and places individuals as self-employed operators of snack bars, dining facilities and automated vending facilities in public and private buildings across the state. The program provides full-time employment and career opportunities for Kentuckians who are legally blind while providing high-quality vending and food services for government and businesses.

The mission of KBE is to provide opportunity and independence to blind entrepreneurs across the Commonwealth. This mission will continue as we find our new normal after COVID, all while working to replace opportunities, improving efficiencies, and maintaining and updating current locations. KBE's goal is to increase independence, fiscal prosperity, and the abilities of its blind vendors through technology and industry proven best practices.

As telework becomes the norm and more staff work from home, it reduces the opportunities for blind vendors in federal and state buildings that were once filled with staff daily. The continued telecommuting trend means modifications to KBE sites will continue to be necessary. This includes updating equipment, changing the service line from a snack shop to a micro market, utilizing self-ordering technology, and other possibilities which may not even be on the market yet. KBE must maintain a first mover advantage, to introduce up to date concepts to our locations around the state. The food service industry has been quick to embrace rapidly changing technology, with the intention of reducing costs and/or decreasing labor. This creates a unique challenge for KBE as we look at fiscal planning for the future of the program. Much of the technology we will be purchasing in a year or two may be only in the development stage right now. This is why industry training and education is essential for blind vendors and KBE staff.

The future of vending, as we have known it, is uncertain and ever changing. KBE will need funding to embrace new technology as it comes on the market. This new tech is still expensive, with time needed to train and implement, thus the need for strong funding is needed to support this revolutionary change. KBE must be revolutionary rather than evolutionary to provide a world class product to our vendors and our customers. We will look to industry groups (Kentucky Restaurant Association, National Restaurant Association, National Automated Merchandisers Association) consumer groups (National Association of Blind Merchants, Randolph Shepard Vendors of America, Kentucky Committee of Blind Vendors), and other stakeholders (General Services Administration, Department of Defense, Kentucky Finance Cabinet) to identify the future technology which will provide new or greater independence to blind vendors, and superior service to the locations we serve.

Ongoing education and training will be essential for Kentucky's vendor population and agency staff, in the future, this includes new vendor training. As always, traditional industry trainings are important, and training on emerging technology will be vital. In addition to technology, vendors need education and training in all areas from customer service and food safety to business practices. These trainings may be provided by agency staff, or be industry and specialty led. These training opportunities may be, but are not limited to, national industry events that require travel and the associated costs, including the cost of accessible, independent travel for the blind vendors. Vendor participation in industry events increases active participation from the vendors in the assessment of needs and the purchasing process for new equipment.

With dwindling sales due to building staff permanently telecommuting, many vendors will no longer be able to make a sustainable wage at their current locations. There will be an increased need for KBE to provide additional opportunities by obtaining new sites for blind vendors, while maintaining the current locations. As history has shown, KBE will not willingly be awarded locations that are lucrative for others. In many cases, this involves legal battles with federal and state entities to defend the Randolph- Sheppard priority against those who do not recognize it, or the comparable state law. Legal options should always be a last resort, but in most cases, have proven to be both necessary, and quite costly. These legal expenses are often prolonged over time and can necessitate a long-term financial outlay by the agency. KBE will always provide the location and vendor with the most current and advanced assets that meet all stakeholders needs.

As the Agency evolves, it is critical to update operational equipment to service our vendors needs in a safe and efficient manner. A pressing request currently and as we move forward is a modified box truck. The truck we need must meet certain criteria, including a high weight liftgate, the ability to secure items while in route, and the capacity for moving large amounts of equipment at one time. The liftgate is necessary as KBE moves equipment statewide and many locations do not have loading docks or receiving areas. Having a box truck will allow KBE to meet the needs of our locations and vendors in a timely manner. Many times, we need to move things with only a day's notice. Currently, if we need a box truck, rental agencies can't always accommodate us, as it is hit or miss whether they have a truck available with the modifications we need. We may have to wait for an extended time before one becomes available. This is not good business practice. Our vendors and locations depend on us and are left without machines that should be serving their customers and earning income for the vendor. The cost of this purchase would also need to include maintenance, repair, and fuel needs for the life of the vehicle.

The agency has experienced significant growth over the last two years. It is our goal that this growth in staffing to support the vendors statewide will continue. There is a need for a full-time administrative assistant with our recent additions. The vendor body has made a request to see a new coordinator position that specializes in micro markets, a fast-growing trend in vending. There is also a need for a technology/business specialist to work one on one with vendors. This would be a combination assistive technology specialist, business advisor role. This role in many cases will assist vendors at a very remedial level of experience with technology and business acumen. This hybrid training specialist will be essential as the program strives to develop the next generation of entrepreneurs to lead this program. The addition of any staff comes with cost past just salary alone. Each staff comes with benefits cost, plus office space and technology needs. Each new staff will need to increase the KBE fleet on a 1:1 need as basis.

KBE's needs are ever changing as is the business world in which we operate. A new change we have experienced recently is the need to provide our own drink machines. In years past, bottling companies such as Coke and Pepsi provided and maintained these machines, in exchange for vendors purchasing the product from them. This is changing as bottlers no longer want to maintain this equipment, and vendors want the flexibility in where and how to purchase this product. This will lead to an increase in monthly lease payments as we add this new equipment into our inventory. Kentucky is in year five of its rental program National Vending. This will restart the terms for the original equipment as it is replaced, and we should expect an increase in the rental rates. The percentage of increase is unknown at this time.

### **Kentucky RETAIN**

Kentucky Retain is a U.S. Department of Labor grant focused on assisting individuals who have a non-work-related injury or illness continue to work. The Education and Labor Cabinet, Vocational Rehabilitation and other workforce partners administer the grant. Through immediate customized intervention and supports, KY RETAIN helps employers keep valuable staff and helps employees keep their worker identity. All enrolled participants in RETAIN have support of a Return-to-Work Coordinator. This is a strategy OVR utilizes for individuals in work re-entry. OVR staff refer individuals to RETAIN and RETAIN staff refer individuals to OVR. There have been 1,478 individuals referred by OVR Counselors through RETAIN and RETAIN has referred 131 individuals to RETAIN. For those completing the program there is a 92% success rate of return to work. Most individuals return to their pre-injury/illness job with the same employer. OVR is currently engaged in sustainability planning to keep Kentuckians as valued, productive members of the labor force past the end date of the grant in the spring of 2025. The program design is built around a rapid-response, interdisciplinary, and person-centered return-to-work/stay at work strategies that will result in higher rates of continued employment and lower rates of application for long-term Federal disability benefits. Return to Work Coordinators provide early intervention services aimed at getting employees back to work or to stay at work while navigating needed services. There will continue to be a strong emphasis on assistive technology, universal design and peer support. Currently the target population is workers with non-work-related injuries and illnesses that have not applied for or are receiving federal disability benefits in keeping with the research design of the grant. Once the grant ends OVR will expand the eligibility criteria to serve all eligible applicants that need early return to work/stay at work services. OVR is committed to continuing the work of RETAIN sustaining key initiatives and promising practices to meet the needs of employers and workers in the prevention of job loss.

### **Case Management System**

Kentucky continues to use a VR case management system that is approximately 23 years old. The system processes are cumbersome, time consuming and plagued with technical problems. System modifications take time, which mean we can focus only on the critical additions and changes with little time for effective process improvements.

OVR released an RFP in FY 2021 and through a competitive bid process chose a vendor. OVR is now in the process of design and development. The project is delayed and behind schedule due to change orders in place to assure the required functions for customization are met as stated in the contract. At this time, we do not have a set Go-Live date.

### **RSA Monitoring, Data Reports and the Corrective Action Plan**

OVR was last monitored through an offsite monitoring with the Rehabilitation Services Administration (RSA) during the period of July 16, 2021, through August 20, 2021. OVR received

their final monitoring report on January 22, 2022. After a thorough review of the recommendations, findings and corrective actions, OVR utilized the information in formulating a plan of corrective action to address the issues identified by RSA regarding the Vocational Rehabilitation and Supported Employment Programs.

OVR had ten findings in the following areas for Performance: 1) Insufficient Internal Controls for Management of the Federal Award; and 2) Non-Compliant and Outdated State Education Agreement. OVR had findings in the following areas for Financial Management: 1) Missing/Insufficient Internal Controls and Financial Management Deficiencies. Five of the ten findings have been resolved. The main focus area from the monitoring that OVR continues to focus on is the implementation of sufficient internal controls for both financial and performance management. OVR is in the process of the development of a new case management system to meet the growing needs of the agency and address reporting concerns and issues.

Throughout the year, RSA has conducted quarterly performance data reviews that has assisted OVR in identifying areas of concern from the RSA data dashboards. This allowed for comprehensive discussions and RSA provided technical assistance during the sessions. One area of focus is specific to pre-employment transition services and the number of students completing those services but not making application to OVR. Our rates of application have maintained at around 8 percent. The other area of concern identified is the attrition rates for individuals exiting services prior to development of the plan.

#### B. INDIVIDUALS WITH DISABILITIES WHO ARE MINORITIES AND INDIVIDUALS WITH DISABILITIES WHO HAVE BEEN UNSERVED OR UNDERSERVED BY THE VR PROGRAM;

##### **Introduction**

Kentucky is a primarily rural state, incorporating 54 Appalachian counties, and characterized by a high poverty rate relative to other U.S. States. The geographic isolation of Kentucky's rural communities poses significant challenges for persons with disabilities in achieving competitive, integrated, and lasting employment and community participation and integration. The rural nature of Kentucky and the centralization of employment opportunities in urban areas create significant transportation and access barriers to employment opportunities. (Project E3).

Populations in Kentucky that are unserved or underserved are individuals with mental illness, individuals with criminal backgrounds, out of school youth, the blind and visually impaired and the deaf and hard of hearing. OVR is committed in its effort to build the capacity to effectively serve individuals with most significant disabilities who are unserved and underserved.

In Kentucky, 3.5% of 25–64-year-olds are deaf. Employment rates among deaf individuals from the National Deaf Center 2017 National Deaf Center on Postsecondary Outcomes report show that 56% of deaf individuals are not in the workforce, 4 % are unemployed and 40% are employed with medium earnings of 40,000 annually. In Kentucky, 14.7% of deaf people receive SSI benefits.

Underserved communities, especially communities of color, experience higher rates of violent crime, especially hate crimes and gun violence, which have devastating effects on victims, their families, and their communities. In addition, some communities still experience historic social and economic disadvantages that strain progress in areas such as health, education, housing, and employment. OVR will provide vocational rehabilitation services to all individuals who have disabilities who are eligible for services regardless of gender, race, national origin, religion, color, disability, or age. The Agency assures the provision of services to American Indians who

are individuals with disabilities to the same extent as it provides services to other significant populations or individuals.

### **OVR Selected Consumer Populations for FFY 2021-23: Minorities and Unserved/Underserved**

#### ***Female Consumers***

Over the three-year review period, OVR closed 13,426 cases for consumers who identified as female, comprising 45.8% of the total population of consumers served. The average age of the OVR female consumers was 39.5 years (SD=17) and an examination of the age distribution of female consumers revealed that nearly one-third of the female consumers were in the transition-age group (32.1%), followed closely by mid-career (28.1%), early career (23.4%), late career (12.2%), and female consumers over age 70 (4.2%).

In terms of racial and ethnic identities, female consumers were primarily White (80%), followed by Black or African American women (10.3%), Hispanic or Latina (8.2%), Asian (0.5%), Hawaiian or Pacific Islander (0.2%), Native American or Alaskan Native (0.2%), and those who identified with two or more races (0.6%). Female OVR consumers had proportionally more representation than their male counterparts in the Black or African American category (+0.6%), among those who identified as Asian (+0.3%), and finally in the Hawaiian and Pacific Islander population (+0.1%). Meanwhile, women were more underrepresented than men in the Hispanic or Latino/a category (-1%).

Just over half of OVR's female consumers resided in Kentucky's metropolitan areas (52.4%) and well over one-third (37.2%) were living in the Appalachian region of the state. Compared to males, females were about as likely to live in metropolitan counties (+0.2%) but were more likely to reside in Appalachia (+2.3%).

In terms of employment and income, at the time of application 41.5% of OVR female consumers reported being engaged in competitive integrated employment, 38.1% were primarily reliant on their own income sources, and 20.9% reported receipt of SSI/SSDI benefits. This means that female consumers entered OVR services with higher employment rates (+3.3%), higher levels of income self-reliance (+2.2%), and lower rates of SSI/SSDI benefits receipt (-2.2%) than OVR male consumers in the same time frame.

#### ***Early Exit Rate***

Just under one in three OVR female consumers exited services before an IPE could be established (30.8%). This is a lower rate than the 37.3% of male consumers who exited before the IPE. The top three given reasons for cases closed before IPE among female consumers were "all other reasons" (48.6%), no longer interested in services (26.3%), and unable to contact or locate (19.2%).

#### ***Outcomes***

Among OVR female cases that made it past the IPE stage into services, a case success rate of 55.1% was observed. This was slightly lower (-0.9%) relative to their male counterparts. On average, females had slightly lower overall case expenditures (Female: \$6,014; Male: \$6,285) and spent more time in services (Female: 890 days; Male: 803 days). This demonstrates an overall disparity in the breadth and timeliness of services delivered to female consumers, which may help explain the slightly lower case success rates.

For successful cases, female OVR consumers saw an increase of 30.5% in income self-reliance rate and a 0.9% decrease in SSI/SSDI benefits receipt rate from the time of application to case closure. For reference, male consumers reported a 29.8% increase in income self-reliance, and a 1.2% decrease in SSI/SSDI benefit receipt rate. In terms of income, female consumers, on average, reported increases in wages (from \$13.49 at application to \$19.92 at closure) and hours worked (from 22 hours per week to 33.6 hours per week), resulting in an average annual income gain of \$19,371 (from \$15,433 per year to \$34,804 per year). A slightly greater annual increase than male consumers who added an average of \$18,965 in income.

### ***Black and African American Consumers***

Over the three-year period, OVR closed 2,427 cases for consumers who identified as only Black or African American, comprising 10% of the total population of consumers served. The average age of the OVR Black/African American consumers was 40.5 years (SD = 15.6) and an examination of age distribution revealed that the most frequently served age group among Black/African American consumers was those in the mid-career age bracket (34.2%), followed by early career (26.3%), transition-age (24.5%), late-career (12.8%), and over age 70 (2.2%). Just over half (50.3%) of Black/African American consumers identified as male. More than three-quarters of OVR's Black/African American consumers resided in Kentucky's metropolitan areas (79.6%). Conversely, only 7.1% of Black/African American consumers were living in the Appalachian region of the state.

In terms of employment and income, at the time of application 24.6% of Black/African American consumers reported being engaged in competitive integrated employment, 21.1% were primarily reliant on their own income sources, and 39.2% reported receipt of SSI/SSDI benefits. This means that Black/African American consumers entered OVR services with substantially lower employment rates (-17.2%), lower levels of income self-reliance (-18%), and higher rates of SSI/SSDI benefits receipt (+19.1%) compared to their White counterparts over the same time period.

### ***Early Exit Rate***

Just under one in three Black/African American consumers exited services before an IPE could be established (30.2%). This is a much higher rate of exit (+11.6%) compared to the 18.6% of White consumers who exited before the IPE. The top three given reasons for cases closed before IPE among Black/African American consumers were no longer interested in services (34.7%), unable to contact or locate (27.7%), and "all other reasons" (26.8%).

### ***Outcomes***

An analysis of cases that reached the IPE stage revealed that Black/African American cases were closed successfully at a rate of 36%. This was substantially lower (-21.7%) relative to their White counterparts. On average, Black/African American had slightly higher overall case expenditures (Black: \$6,485; White: \$6,236) and spent slightly less time in services (Black: 839 days; White: 874 days).

For successful cases, Black/African American consumers saw an increase of 44.3% in income self-reliance rate and a 3.5% decrease in SSI/SSDI benefits receipt rate from the time of application to case closure. For reference, White consumers reported a 29.4% increase in income self-reliance, and a 0.9% decrease in SSI/SSDI benefit receipt rate. While Black/African American consumers had lower rates of successful cases, the cases that did close successfully demonstrated far greater shifts in positive outcomes. In terms of income, Black/African American consumers, on average, reported increases in wages (from \$6.61 at application to

\$15.33 at closure) and hours worked (from 12.5 hours per week to 29.7 hours per week), resulting in an average annual income gain of \$19,379 (from \$4,297 per year to \$23,676 per year). A lower annual increase than White consumers who added an average of \$21,684 in income.

The discrepancy becomes much more concerning when comparing the final reported annual incomes of successful Black/African American consumers (\$23,676 per year) to White consumers (\$41,063), revealing a \$17,387 earnings gap between successful Black/African American consumers and their White counterparts.

### ***Hispanic and Latino/a Consumers***

Over the three-year review period, OVR closed 2,144 cases for consumers who identified as Hispanic or Latino/a (of any race), comprising 8.8% of the total population of consumers served. The average age of the OVR Hispanic/Latino consumers was 39.5 years (SD = 17.1) and an examination of age distribution revealed that the most frequently served age group among Hispanic/Latino consumers was those in the transition age range (31%), followed by mid-career (29.6%), early career (23.5%), late-career (11.7%), and over age 70 (4.3%). More than half (54.7%) of Hispanic/Latino OVR consumers identified as male. A majority (55%) of Hispanic/Latino consumers resided in Kentucky's rural counties, however, just under half (46.6%) of Hispanic/Latino consumers dwelled in the state's Appalachian region.

In terms of employment and income, at the time of application 40.4% of Hispanic/Latino consumers reported being engaged in competitive integrated employment, 37.8% were primarily reliant on their own income sources, and 18.5% reported receipt of SSI/SSDI benefits. Overall, Hispanic/Latino consumers entered OVR services with slightly lower employment rates (-1.4%), lower levels of income self-reliance (-1.3%), and lower rates of SSI/SSDI benefits receipt (-1.6%) compared to their White counterparts over the same time period.

#### ***Early Exit Rate***

Just over one in three Hispanic/Latino consumers exited services before an IPE could be established (34.1%). This is a much higher rate of exit (+15.5%) compared to the 18.6% of White consumers who exited before the IPE. The top three given reasons for cases closed before IPE among Hispanic/Latino consumers were "all other reasons" (30.5%), no longer interested in services (29.9%), and unable to contact or locate (29.5%).

#### ***Outcomes***

An analysis of cases that reached the IPE stage revealed that Hispanic/Latino cases were closed successfully at a rate of 56.7%. This was slightly behind that of their White counterparts (-1.0%). On average, Hispanic/Latino consumers had substantially lower overall case expenditures (Hispanic/Latino: \$4,690; White: \$6,236) and spent far less time in services (Hispanic/Latino: 507 days; White: 874 days).

For successful cases, Hispanic/Latino consumers saw an increase of 25% in income self-reliance rate and a 0.8% decrease in SSI/SSDI benefits receipt rate from the time of application to case closure. For reference, White consumers reported a very similar 29.4% increase in income self-reliance, and a 0.9% decrease in SSI/SSDI benefit receipt rate. In terms of income, Hispanic/Latino consumers, on average, reported increases in wages (from \$16.01 at application to \$20.88 at closure) and hours worked (from 25.5 hours per week to 35.3 hours per week), resulting in an average annual income gain of \$17,098 (from \$21,229 per year to \$38,327 per year). A lower annual increase than White consumers who added an average of \$21,684 in income (making \$41,063 per year).



### ***Transition Age Youth***

Over the three-year review period, OVR closed 13,087 cases for consumers who were transition age (aged 15-25), comprising over one-third (34%) of the total population of consumers served. The average age of the OVR transition age consumers was 21.9 years (SD = 1.9) and a majority (60.7%) identified as male.

In terms of racial and ethnic identities, transition age consumers were primarily White (77.6%), followed by Hispanic or Latino/a (10.9%), Black or African American (9.7%), Asian (0.6%), Native American or Alaskan Native (0.1%), Hawaiian or Pacific Islander (0.1%), and those who identified with two or more races (1.0%). Just over half of OVR's transition age consumers resided in Kentucky's metropolitan areas (52.8%) and just over one in three (34.8%) were living in the Appalachian region of the state.

In terms of employment and income, at the time of application 14.7% of transition age consumers reported being engaged in competitive integrated employment, 7.8% were primarily reliant on their own income sources, and 18.4% reported receipt of SSI/SSDI benefits.

### ***Early Exit Rate***

About two-thirds of transition age consumers exited services before an IPE could be established (66.3%). Over half (54.4%) of OVR transition age consumers exited as potentially eligible after receiving pre-ETS services, serving as the primary cause for the exceptionally high pre-IPE closure rate in the group. The three most prevalent reasons given for case closure were "all other reasons" (57%), no longer interested in services (24.1%), and unable to contact or locate (17.3%).

### ***Outcomes***

Among transition age cases that made it past the IPE stage into services, about over one-third (33.4%) of cases resulted in a successful closure. On average, \$7,627 was spent on each transition age case and the typical duration of services was approximately 923 days. For successful cases, a staggering 72.6% increase in income self-reliance was observed among transition age consumers as well as a 0.5% decrease in SSI/SSDI benefits receipt rate from the time of application to case closure. In terms of income, transition age consumers reported increases in wages (from \$2.04 at application to \$13.98 at closure) and hours worked (from 4.4 hours per week to 29.9 hours per week), resulting in an average annual income gain of \$21,269 (from \$467 per year to \$21,736 per year).

### ***Rural Consumers***

Over the three-year review period, OVR closed 17,500 cases for consumers residing across Kentucky's 85 rural counties, comprising 45.6% of all OVR consumers.

### ***Appalachian Consumers***

Over the three-year review period, OVR closed 13,049 cases for consumers residing across the Commonwealth's 54 Appalachian counties, comprising just over one-third (33.9%) of all OVR cases.

### **Demographic Profile of Working-Age Consumers**

The overall demographic profile of the consumers working age (18-64) served by OVR from FFY 21-23 was examined.

A direct comparison of racial and ethnic identities of OVR consumers to the racial/ethnic breakdown of Kentuckians with disabilities revealed that OVR served a higher proportion of consumers who identified as Black or African American (OVR: 10%; KY: 7.33%), Hispanic or Latino/a (OVR: 8.8%; KY: 2.36%), Native American or Alaskan Native (OVR: 0.2%; KY: 0.15%), and Hawaiian or Pacific Islander (OVR: 0.1%; KY: 0%). The only minority population group that OVR was not proportionately, or better serving was consumers who identified as Asians (OVR: 0.3%; KY: 0.6%). The overall data suggests that OVR is excelling in their efforts to provide services to marginalized population groups, particularly Kentuckians who identified as Hispanic or Latino/a. The low proportional service rate for Kentuckians of Asian extraction is of particular note given the documented rise in discrimination against Americans of Asian descent in the wake of the COVID-19 pandemic.

Underserved communities, especially communities of color, experience higher rates of violent crime, especially hate crimes and gun violence, which have devastating effects on victims, their families, and their communities. In addition, some communities still experience disparities that strain progress in areas such as health, education, housing and employment. OVR will provide vocational rehabilitation services to all individuals who have disabilities who are eligible for services regardless of gender, race, national origin, religion, color, disability, or age. The agency assures the provision of services to American Indians who are individuals with disabilities to the same extent as it provides services to other significant populations or individuals.

<https://data.census.gov/table/ACSST1Y2022.S1810?g=010XX00US>

<https://data.census.gov/table/ACSST1Y2022.S1810?g=040XX00US21>

Community Resilience Estimates For Equity (census.gov)

### **Kentucky's Older Population and Vision Loss**

OVR contracted with *VisionServe Alliance* (2022). Kentucky's Older Population and Vision Loss: A Briefing, St. Louis. of Kentucky's Older Population with Vision Loss to identify the growing need for this underserved/unserved community.

#### **Executive Summary**

This briefing is designed to assist policy makers and service providers to better understand the characteristics and circumstances of older people with vision impairment in Kentucky. Data from the Behavioral Risk Factor Surveillance System and the Census provide considerable insight into the population of people experiencing vision loss. Almost 10% of older Kentuckians report severe vision impairment, with men (9.5%) and women (9.8%) reporting about the same prevalence of vision impairment, but women with vision impairment comprise 56% of the older population. African Americans report a higher prevalence of vision impairment than whites. Vision impairment is not evenly distributed across the state. The prevalence of vision impairment among people aged 65 years and older by county ranges from about 3.3% to 23.5%.

Older people with vision impairment have lower levels of education and are poorer than older people without vision loss. Thirty-one percent of older people with vision impairment have not graduated from high school, and 32% have annual incomes below \$20,000. In addition, older people with vision impairment report higher prevalence of chronic conditions, particularly stroke, arthritis, diabetes, kidney disease, and depression. Not surprisingly, then, 48% of older people with vision impairment in Kentucky compared to 27% among older people without vision impairment report fair or poor health. Moreover, 41% of older people with vision impairment report 14 or more days of poor physical health in the past 30 days compared to 17% of those without vision impairment. Similarly, 14% of people with vision impairment

report 14 or more days of poor mental health compared to 7% of those without vision loss. This disparity in quality of life is repeated in activity limitation days, where 30% of people with vision impairment report 14 or more days of activity limitation compared to 20% among those without vision impairment. Upstream factors including poverty and lower education have the potential to contribute to higher prevalence of chronic conditions and poorer health-related quality of life. These factors may lead to increased disability, including increased difficulty walking, dressing/bathing, and doing errands.

Data from state and national surveys provide quantitative information regarding health, chronic conditions, and quality of life factors associated with vision impairment in Kentucky. These data, when informed by the personal experiences of people who have lost vision, serve to define policy decisions and interventions to preserve the independence, dignity, and autonomy of older people with vision impairment. By aligning aging services, public health initiatives, transportation resources, and vision rehabilitation programs to meet the needs of older people with vision impairment, there is potential to improve health, quality of life, and function.

### Purpose

This briefing provides estimates of the prevalence of vision impairment among older people in the state of Kentucky at the state and county level. Using state and national data systems, this report describes self-reported health, prevalence of chronic conditions, and quality of life among older people with and without vision impairment. The findings show that an estimated 9.7% of older people in the state report vision impairment, and they report substantial health and social disparities compared to older people without vision impairment, differences that potentially compromise function and quality of life. By better understanding the circumstances of older people with vision impairment in Kentucky, policy makers and providers can tailor services in aging, public health, transportation, and vision rehabilitation to preserve the dignity, independence, and quality of life of older people.

### Introduction

Vision impairment and blindness often have profound effects upon older people and those who care for and about them. Vision impairment can make common activities difficult or impossible; for example, climbing stairs, crossing a street, driving, using public transportation, preparing meals, and performing household activities may be compromised. Older people experiencing vision impairment may have difficulty managing accounts, paying bills, and identifying prescribed medications. Falls or fear of falling may further compromise their independence. Vision impairment is often isolating, keeping people at home when they prefer to be with family and friends. Many older people with vision loss do not interact with others who are going through the same experience, creating further isolation and depression.

An estimated 9.7% of older Kentuckians report vision impairment or blindness. Those most at risk for vision impairment are African Americans and older age groups. Older people with vision impairment are more likely to report less education and to experience poverty. They are also more likely to have age-related chronic conditions compared to older people without vision impairment. As Kentucky's population continues to age, the number of people experiencing vision impairment will likely increase.

While the circumstances and risk factors associated with aging and vision loss are serious, much can be done to ameliorate the effects of vision impairment. For example, improved access and utilization of vision and eye health, as well as the availability of comprehensive vision rehabilitation service providers, promoting independence and autonomy, are effective

strategies often enabling older people in Kentucky to live independently and remain in their community.

### *Social Determinates of Health and Health Equity*

Health inequities are shown to be related to social determinants of health based on sex, socio-economic status, race, ethnicity, and specific health conditions. Overall, people with vision impairment, as this report demonstrates, are disadvantaged in multiple domains of poorer health, decreased quality of life, and increased disability.

One social determinant of health is defined by educational level which often predicts career and economic well-being. Among older people with vision impairment, 31% did not complete high school compared to 17% of people without vision impairment.

In addition, older people with vision impairment are much more likely to experience poverty and lower incomes than people without vision impairment. For example, 14% of older people with vision impairment report annual incomes of less than \$10,000 compared to 6% of older people without vision impairment. Nine percent of older people with vision impairment report annual incomes between \$10,000 and less than \$15,000, compared to 7% of people without vision impairment. Ten percent of older people with vision impairment, compared to 8% of people without vision impairment, report an annual income of \$15,000 to less than \$20,000. Lower socio-economic status has also been shown to represent a substantial barrier to access to care for those with vision loss—those with the most need for care.

While people with or without vision impairment are likely to have health insurance and a regular doctor, more people with vision impairment report having to delay health care because of cost, 8% compared to 4% of people without vision impairment.

### *Geographic Distribution*

Vision impairment is not evenly distributed across the United States or within states. The prevalence of vision impairment is shown among people aged 65 years and older among the 120 counties of Kentucky. Five categories of prevalence are presented, ranging from about 3.3% to 23.5%. Higher prevalence of vision impairments tends to occur in more rural counties where resources and care providers may be scarce. Lyon County (23.5%), Owsley County (23.3%), Martin County (22.7%), Lee County (21.8), and Breathitt County (20.8%) report the highest prevalence of vision impairment among older people while Logan County (3.3%), Simpson County (3.4%), Spencer County (4.3%), Shelby County (4.4%), and Ohio County (4.5%) report the lowest prevalence.

### *Demographic Characteristics*

An analysis of 2019 Behavioral Risk Factor Surveillance System data reveals that 9.7% of people 65 years of age and older report vision impairment in response to the question, “Are you blind or do you have serious difficulty seeing, even when wearing glasses?” While 9.8% of older women over age 65 years report vision impairment, 9.5% of men do so. Women, however, comprise 56% of the older population of people with vision impairment. In Kentucky, vision impairment varies by race: 9.3% of whites report vision impairment compared to 12.1% among African Americans.

### *Vision Rehabilitation Program*

A central component of supports for older people with vision impairment is a network of public and private agencies providing vision rehabilitation services addressing communication,

activities of daily living, personal care, self-advocacy, travel and mobility skills, diabetes, and medication management, as well as access to assistive technology (e.g., smart phones, tablets, and computers). Services often include counseling, information, and referrals to community resources and supports. Vision rehabilitation services generally include low vision evaluations and the provision of adapted vision devices. Moreover, older people with vision impairment benefit from peer support groups where older people share common experiences and exchange information about successful management strategies. These services are often provided in the client's home or in an agency setting. The sum of vision rehabilitation services improves independence, self-esteem, health, and quality of life.

Despite the best effort of these agencies, only about 3% of older people with vision impairment nationally receive vision rehabilitation services (see [healthypeople.gov](http://healthypeople.gov) here). This gap between need and response represents a major public health and public policy concern recently addressed by a National Academies of Science, Engineering, and Medicine (NASEM, formerly the Institute of Medicine) seminal report *Making Eye Health A Population Health Imperative: Vision for Tomorrow*. The NASEM report asserted, "Vision rehabilitation is essential to maximizing the independence, function, participation, safety, and overall QOL of people with chronic vision impairment. Yet there are numerous barriers to high quality and universally accessible vision rehabilitation services." A goal of Healthy People 2030 is to increase access to vision rehabilitation services by only 10%, to 3.3% over a ten-year period (see [Healthy People 2030](#) here).

### Discussion

The experience of vision impairment for older people is complex and multidimensional. This report estimates the population and distribution of older people with vision impairment in Kentucky, and it characterizes the population in terms of health, chronic conditions, health-related quality of life, and disability status—variables available from the Behavioral Risk Factor Surveillance System and the American Community Survey. These findings reveal that upstream circumstances related to poverty and poorer education create the potential of downstream outcomes in poorer overall health and quality of life as well as increased disability.

While this briefing provides considerable insight into health, chronic conditions, and quality of life factors at the population level, the report does not tell the personal stories of older people who have lost vision. It does not chronicle the isolation or struggle to find eye care or vision rehabilitation service providers. It does not describe the positive effects of vision rehabilitation or the power that older people feel when participating with peers to share their stories or solve common problems. That gap will be filled by others.

### Conclusion

About 9.7% of people aged 65 years and older respond yes to the question "Are you blind or do you have severe difficulty seeing even when wearing glasses." African Americans and people who are older, poorer, and less educated report higher prevalence of vision impairment. People who are older and visually impaired report higher prevalence of chronic conditions, poorer overall health, and poorer health-related quality of life.

These factors appear associated with higher prevalence of disability indicators. These findings reveal that people with vision impairment are disadvantaged in multiple ways that place them at greater risk for compromised independence and autonomy.

The findings in this report are designed to inform policy makers and providers about the circumstances of older people with vision impairment so that decisions and programs can be designed to better support older people with vision loss.

### Foundational Purposes for KYOVR

The Big Data Project serves as a foundation for the following:

- Informing strategic planning;
- Driving policy development;
- Engaging state holders—aging, public health;
- Redefining outcomes: improved health and quality of life, O & M as example; and
- Other materials will fill gap between state data and human experience.

### **OVR Diversity Committee**

In 2021, OVR created a diversity committee to address diversity and inclusion inequities within OVR. The OVR Diversity Committee team is made up of OVR staff, and representation from the state Office of Diversity, Equality and Training (ODET). An agency-wide survey was distributed in September of 2021 to better understand staff views on diversity within the agency and within the community we serve. Representatives of ODET from the Personnel Board provided feedback and shared their expertise to keep the committee focused and aware of state level initiatives as it implements a strategic vision for the agency. As a result, the committee created its first 3-year strategic plan. The following goals remain a priority for the agency:

#### ***Staff Diversity***

Goal: Recruit, hire and retain a diverse and inclusive staff to provide high quality services to Kentuckians with Disabilities.

Objective 1: Increase recruitment and hiring to fill vacant positions with staff who are representative of the population we serve.

Objective 2: Increase staff retention to ensure continuity of high quality of services to Kentuckians with disabilities and to increase diversity at all agency levels.

#### ***Consumer Diversity***

Goal: Ensure equitable service provision to all Kentuckians with disabilities through outreach, training, and data analysis.

Objective 1: Develop a system to periodically review data regarding consumer diversity as well as policies, and practices that impact service provision.

Objective 2: Raise awareness of OVR services in underserved communities through targeted outreach.

Objective 3: Create a more welcoming and inclusive environment for all VR stakeholders.

The OVR Executive Director is a member of the CSAVR Diversity, Equity, and Inclusion professional Network. This allows for OVR to participate in a national workgroup addressing racial disparities specific to the field of vocational rehabilitation.

Management and staff shall focus on the agency mission, which is competitive integrated employment, in assignment of tasks, planning and utilization of work time, initiation of self-directed work teams, and innovative projects. This includes expanding the diversity of the Agency in terms of employment outcomes to individuals with the most significant disabilities who are minorities. Staff shall ensure that persons with the most significant disabilities who are minorities will receive the same employment related services that non-minority and individuals with disabilities receive. OVR works to develop outreach activities to minorities to facilitate increased consumer referrals to the Agency. OVR encourages staff to get to know key community leaders and minority organizations to facilitate outreach. The Office follows Equal Employment Opportunity guidelines and Affirmative Action Procedures. The Office encourages existing minority staff to play an active role in policy and program development, service delivery and program monitoring activities.

The Office provides cultural diversity training to staff in order to develop a better understanding of different cultures and value systems. Staff participates in the Governor's Equal Employment Opportunity Conference. Service demographic and population data is utilized to determine the number of minorities in regions and develop strategies to increase percentages. OVR will utilize different methods and channels of communication in targeting minority populations. This will include usage of the "Language Line" that will enable our staff to communicate with non-English speaking applicants in their native language.

Individuals who are minorities have equal access to vocational rehabilitation services. OVR is committed in its effort to build the capacity to effectively service individuals with most significant disabilities who are minorities.

The following outlines the actions in OVR's outreach plan:

Management and staff shall focus on the agency mission, which is employment, in assignment of tasks, planning and utilization of work time, initiation of self-directed work teams, and innovative projects. This includes expanding the diversity of the Agency in terms of employment outcomes to individuals with the most significant disabilities who are minorities.

Staff shall provide leadership in implementation of the Career Center Systems throughout the Commonwealth. Staff shall ensure that persons with the most significant disabilities who are minorities will receive the same employment related services that non-minorities and individuals with disabilities receive.

Recruit and hire Rehabilitation Counselors from minority and culturally diverse groups. Improve system linkages with the Department of Workforce in order to reach more minorities across the state. Collaboration with other entities will allow for effective coordination of services and referrals.

Integrate internal controls through quality assurance to identify areas where there is successful outreach and best practices and identify areas needing additional outreach.

Develop outreach activities to minorities to facilitate increased consumer referrals to OVR. OVR supports staff in making linkages with community leaders and minority organizations to facilitate outreach.

Encourage existing minority staff to play an active role in policy and program development, service delivery and program monitoring activities.

Provide cultural diversity training to staff in order to develop a better understanding of different cultures and value systems.

Utilize service demographic and population data to determine the number of minorities in regions and develop strategies to increase percentages.

Encourage minorities to play an active role in the State Rehabilitation Council, participating forums and the provision of input into policies and procedures.

#### C. INDIVIDUALS WITH DISABILITIES SERVED THROUGH OTHER COMPONENTS OF THE WORKFORCE DEVELOPMENT SYSTEM; AND

In Kentucky the Kentucky Workforce Innovation Board (KWIB) serves as an advisory board to the Governor on workforce training and development issues. The KWIB is charged with creating a statewide vision for workforce development and adopting a plan to move Kentucky forward through workforce training and development. Kentucky offers a wide range of workforce education and training activities tailored to meet the needs of employers and job seekers in varied and unique communities across the state. The certified Kentucky Career Centers (KCC) are the storefront, but the Workforce Innovation and Opportunity Act's (WIOA) core and optional one-stop partner services reach into communities as well.

OVR has five regional managers that are assigned as liaisons with the local workforce areas in their regions. As the liaison they work closely with the local managers and operators for their areas. They serve on the local workforce boards and their respective committees. The Regional Managers submit reports quarterly to the Field Services Director and the Executive Director summarizing activities and projects on the local area.

OVR collaborated with agencies across the Department of Workforce Development for state plan activities and to analyze Kentucky's workforce needs throughout the ten local workforce regions. The Kentucky Workforce Innovation Board (KWIB) created an Interagency Team to meet regularly to facilitate activities that promote collaborations between all Core Programs and the Cabinet. The OVR Executive Director, Deputy Executive Director, Vocational Rehabilitation Administrator and SCVR liaison, and Regional Program Managers within the Division of Field Services, participated in the Interagency Team activities. From June through October 2023, the OVR staff attended meetings, traveled across the local workforce development areas (LWA) and engaged in various listening sessions to learn the concerns, ideas and challenges of these local communities.

Insight was gathered from learning the public's perspective of the current Kentucky workforce system and how it might be seen as a valuable resource for the local communities. Some communities discussed the need for more emphasis on on-the-job training programs for youth while in high school, community housing and the accommodations needed for the economic growth of the area, the difficulty in finding and keeping employees and the lack of broadband in rural areas. These concerns are often compounded for individuals with disabilities, which is discussed throughout the OVR state plan.

The collaborative efforts continued until the completion and final submission of the state plan.

#### ***Kentucky Career Center (KCC) Survey Summary***

The Kentucky Career Center (KCC) Survey achieved 100% of the target completions and had 12 total respondents representing their respective Kentucky Career Centers. Survey respondents were primarily female (78%) and represented seven unique regions across the Commonwealth (Cumberlands, Green River, KentuckianaWorks, Lincoln Trail, Northern KY, South Central, and Tenco). All but one respondent (89%) indicated that individuals with disabilities were able to fully access and participate in their available services. The most identified training needs for KCC staff were Social Security Work Incentives, Deaf and Hard of Hearing Support,



Intellectual/Learning Disability Support, and Blindness and Low Vision Support. A majority of respondents (80%) reported having a good or excellent working relationship with OVR, and relatedly indicated that it was easy to refer someone to OVR services (80%) and that the process was seamless and high quality (80%). Generally speaking, KCC representatives indicated a high level of knowledge related to disability and accessibility-related topics, however, 40% of representatives reported a “poor” level of knowledge related to providing materials in alternate or accessible formats.

**D. YOUTH WITH DISABILITIES, INCLUDING STUDENTS WITH DISABILITIES AND THEIR NEED FOR PRE-EMPLOYMENT TRANSITION SERVICES. INCLUDE AN ASSESSMENT OF THE NEEDS OF INDIVIDUALS WITH DISABILITIES FOR TRANSITION CAREER SERVICES AND PRE-EMPLOYMENT TRANSITION SERVICES, AND THE EXTENT TO WHICH SUCH SERVICES ARE COORDINATED WITH TRANSITION SERVICES PROVIDED UNDER IDEA.**

The Kentucky Office of Vocational Rehabilitation (OVR) continues to partner with the Kentucky Department of Education (KDE) through the National Technical Assistance Center on Transition (NTACT). OVR and KDE have representatives that co-lead a team dedicated to improving transition services to Kentucky students with disabilities. This team met bi-weekly throughout 2023 and received intensive technical assistance from NTACT. The team also sent a group to the NTACT Capacity Building Institute in Charlotte, NC to receive additional technical assistance and training.

To determine specific areas of need for students with disabilities, the team conducted focus groups with seven different school districts throughout the Commonwealth of Kentucky. Each of the five OVR regions was represented by these seven schools and care was taken to choose a diverse group of school districts, including both urban and rural districts. The intent of the focus groups was to determine the level of collaboration between each school district and the local OVR office assigned to serve those schools. Additionally, three focus groups were conducted with OVR staff assigned to local school districts. Although all focus groups have been completed, a data analysis is currently being conducted and a report of the findings is not yet available. However, a review of the transcripts from the focus groups reveal some common themes.

Many of the school districts that participated in the focus groups did not have a good understanding of the OVR process, including how and when to refer students to OVR. Some school staff stated that they did not know how to contact or had never met the OVR Counselor assigned to their school. This was more common among rural districts, where the OVR Counselor is responsible for multiple school districts. These Counselors are also responsible for providing services to adults with disabilities. Staff turnover, both OVR and school staff, was mentioned in multiple focus groups as a significant barrier to services. Many teachers and OVR Counselors in the focus groups were new to their roles.

Another common theme was an apparent lack of understanding of the continuum of VR services, including Pre-Employment Transition Services (Pre-ETS), Transition Services, and Employment-Related Services. Some school staff mentioned that they would try to refer students with IEPs to OVR late in their senior year, just before graduation. Others stated that they did not understand the difference between Pre-ETS and other OVR services.

It is our hope that students with disabilities in Kentucky will begin receiving Pre-Employment Transition Services as early as age 14. These Potentially Eligible students may receive Pre-ETS over a two-year period before they apply for OVR services. Early in the third year of secondary school, these students should apply for OVR services so they may begin working with a VR

Counselor to determine an appropriate job goal. At his point, they will begin receiving transition services to help them achieve their job goal.

Through the strategic planning process with the Employment First Council, a focus group of students was held at the Carl D. Perkins Vocational Training Center in June of 2023. The main topic of the focus group was Transitioning from High School to Post-Secondary Education. There were six students that participated in the focus group facilitated by the Facilitation Center at Eastern Kentucky University. The following emerging themes shared from this group were for planning purposes: 1) addressing transportation; 2) Employers taking disabilities more seriously; 3) life skills and being able to live on your own; 4) Steady cash flow/income; and 5) understanding benefits. Another focus group of six OVR Vocational Rehabilitation Counselors and Pre-Employment Services Coordinators was held. This group focused on key issues and potential actions for the area of Transition Services. Emerging themes for consideration were: 1) Lack of coordination and cooperation in state agencies, provider to client, within providers; 2) Lack of education for a broad group; 3) Pre-employment transition services need to grow; 4) Transportation; and 5) Turnover and lack of staff and the impacts.

### **Youth/Transition Survey Summary**

The OVR Youth/Transition Survey surpassed the number of target completions by 114% and received a total of 273 responses. Parents or guardians of consumers with disabilities comprised more than half of survey respondents (51.3%) and transition-aged consumers made up another 42.5% of the responses. Over half of Kentucky's 120 counties (65 in total) were represented by survey respondents. The most commonly represented disabilities included autism (36.8%), behavioral/mood disorder (26.4%), and intellectual disability (21.5%).

In terms of the Concerns Report issues that were generated from the OVR Consumer/Public focus group, all 20 items were rated as important by the respondents (avg importance rating of 90.1%). The final Concerns Report concluded that 100% of the items were viewed as strengths or moderate strengths by OVR transition-aged consumers, with three-quarters of the items rated as strengths (having a satisfaction rating of 75% or higher). The items that garnered the highest satisfaction ratings included: OVR provides opportunities for consumers to give feedback and responds to their concerns (84%), Student preferences for job goals and assistive technology are prioritized by OVR staff (83%), and OVR provides accessible and easy to use communication options to consumers (83%).

Over half of the respondents were employed (51.9%) at the time of the survey and most felt that their technology needs were currently being met (78%). The most commonly identified current or future service needs of respondents included job placement (62.3%), independent living skills (55.8%), resume and interviewing skills (53.9%), vocational evaluation (50%), and paid work experience (45.5%).

## **2. IDENTIFY THE NEED TO ESTABLISH, DEVELOP, OR IMPROVE COMMUNITY REHABILITATION PROGRAMS WITHIN THE STATE.**

Through the most recent Comprehensive Statewide Needs Assessment (CSNA), the University of Kentucky Human Development Evaluation (HDI) Team conducted a virtual focus group with Community Rehabilitation Provider (CRP) administrators and staff on 10/31/23 at 10:30 AM. This focus group resulted in the following themes and sub-themes.

### **1. Communication and Relationship Management**

- Emphasis on open communication between OVR, counselors, and CRPs.

- Challenges with counselor and consumer communication.
- Lack of community understanding about OVR services.

## 2. Service Delivery and Support for Consumers

- Insufficient funding impacting service provision.
- Need for better vetting of consumers and clearer expectations.
- Challenges with transportation options and service availability

## 3. Challenges with Pre-Employment Transition Services (Pre-ETS)

- Issues with the rollout, sustainability, and accessibility of Pre-ETS.
- Desire to restore original services and funding levels.

## 4. Provider Support and Collaboration

- Calls for transparent and inclusive long-term planning.
- Desire for increased support, financial transparency, and involvement of CRPs.
- Advocacy for CRP needs, cultural shifts, and regular budget examination.

## 5. Training and Resources

- Need for more training and resources for counselors and CRPs.
- Calls for standardized training, quality-focused training for CRPs, and better tools/resources.

## 6. Process Efficiency and Timeliness

- Concerns about lengthy processes, authorization delays, and intake procedures.
- Desire for better systems and technology to streamline communication and processes.

## 7. Workforce Issues and Caseload Management

- Counselor overload and overwhelmed staff.
- Need for appropriate caseload numbers and additional staff training.

## 8. Flexibility and Adaptability

- Desire for a more flexible and adaptive approach to service delivery.
- Need for innovative solutions, advanced technology, and leveraging current workplace shortages.

The final assessment, gathered through the HDI survey for CRPs, was summarized to assess perspectives of services and needs for OVR. The OVR CRP survey recorded 99% of the target completion goal and had a total of 94 respondents from Community Rehabilitation Providers (CRPs) across the Commonwealth. CRP respondents were primarily female (66%) and all 19 KY OVR regions were served by the respondent CRPs. Louisville was the most represented region with 32.5% of respondents indicating they provided services in the greater Louisville area. A majority of CRP respondents (61.4%) receive 25 or fewer referrals and send 25 or fewer referrals to OVR annually.

In terms of the Concerns Report issues that were generated from the CRP focus group, each of the 19 items were rated as important by the respondents (avg importance rating of 94.7%). The final Concerns Report concluded that 100% of the items were viewed as strengths or moderate strengths by CRP respondents. The top three highest rate strengths were as follows: OVR values and emphasizes partnerships with CRPs (90% satisfaction rating), OVR counselors demonstrate compassion and flexibility when working with Kentuckians with disabilities (88% satisfaction rating), and OVR provides necessary services to all categories of consumers including those with the most significant disabilities (83% satisfaction rating).

A majority of CRP respondents indicated that their technology needs had been met (88%) and that they had what they needed to meet virtually with consumers (96%). Seventy-two percent of CRPs reported they were able to respond to referrals within a week and 69.3% said they currently have no waiting list for services. The top five barriers to providing services to OVR consumers identified by respondents included: lack of long-term support funding (38.7%), lack of available qualified and/or trained staff (34.6%), low KY-OVR fee for service rates (33.3%), lack of available financial resources (29.3%), and increases in consumers with multiple disabilities (26.6%).

### **Kentucky Employment First Council Initiatives**

Kentucky Employment First Council recently adopted a strategic plan to promote and advance Competed Integrated Employment (CIE) throughout the state. Through the strategic planning process with Employment First Council, a focus group made up of employment service providers was held in June of 2023. The main topic of the focus group was identifying key issues and potential actions for the area of competitive integrated employment (CIE). There were five providers that participated in the group. The following eleven (11) emerging themes were identified to consider in planning: 1) Collaboration and the need for all to work together; 2) Creating a statewide coalition on best practices; 3) Informing consumers and their families early and using a K-12 approach with school systems; 4) Starting at infancy; 5) More involvement with the Chamber; 6) More schools willing to collaborate; 7) Focus on solutions; 8) Streamline communication of visions; 9) No best practice curriculum within special education; 10) Measuring of the wrong metrics; and 11) Employer education.

In addition, Kentucky Employment First Council partnered with the Department of Labor's Office of Disability Employment Policy on the National Expansion of Employment Opportunities Network Initiative. This collaborative effort aimed to develop strategic plans for increasing competitive integrated employment opportunities, including those with significant disabilities. Kentucky's involvement in Project NEON created momentum for agencies to align policies with the state's definition of competitive integrated employment. As part of Project NEON, Kentucky hosted a "Best Practice Day" attended by nearly 50 stakeholders, including national subject matter experts. This milestone event in Frankfort, KY fostered strategic development across multiple stakeholders to enhance competitive integrated employment through policy improvements, expanded partnerships, and sharing of best practices. Out of this project a need for the Council and OVR to focus on provider capacity came to the forefront. On November 16th, 2023, the KYOVR was awarded 300 additional technical assistance hours to continue their efforts in collaboration with Project NEON, specifically focusing on provider capacity/support throughout the state. This reinforces the results of the last needs assessment findings that there are not sufficient numbers of Community Rehabilitation Providers with the needed experience and expertise in serving job seekers.

### **OVR Statewide Field Counselor Survey**

OVR conducted a statewide survey of field counselors to explore the need and availability of Customized Supported Employment services for individuals with the most significant disabilities. It was expected, due to Section 511 of WIOA, that there would be an increase in the need and demand for Customized Supported Employment Services. Fifty-two percent (52%) stated that there are Community Rehabilitation Program (CRP) providers in their area that provide CSE. However, 62% also stated that it's not readily available due to limited staff or oversized caseloads. Around 93% of the counselor's state that only 3 or fewer of their individuals have been able to utilize this service due to lack of availability. When asked if there was a need for CSE in their area, overwhelmingly, 85% stated that there was a need. Over 46% stated that they have at least 4 or more consumers on their caseloads that could benefit from CSE. Over 17% state that they have at least 8 or more consumers that need this service. As a result, the OVR implemented 3 Establishment Project MOAs to assist in making this service readily available to individuals with the most significant disabilities in the areas of the state that need it most. The primary purpose of this project is to expand the evidence-based model of customized employment throughout a four- year period. At this time the projects are finishing up the first year of planning. As existing MOAs approach expiration, consideration will be given to new MOA recipients for continued expansion of customized employment. OVR is also exploring the implementation of a customized employment fidelity scale. The OVR CRP Branch staff participates in supported and customized employment Community of Practice meetings, which includes ongoing discussions pertaining to the development and implementation of fidelity scales.

### **OVR's Establishment Projects for Individual Placement and Support (IPS)**

A thorough review of existing and prospective agencies was conducted by OVR. OVR conducted several meetings with Department of Behavioral Health (DBH) staff throughout the state to obtain information of existing agencies that have longitudinally strong relationships with DBH, and that also exemplifies high quality service delivery. The purpose of such a selection process is to increase the likelihood of success among programs. This process aided in the identification of potentially new and existing providers that could be used in expanding Individual Placement and Support (IPS) to those in unserved or underserved areas, as well as provide an evidenced based model of IPS SE to individuals with intellectual disabilities. As a result, OVR implemented four (4) establishment projects for the expansion of IPS to single mothers with serious mental illness and/or substance use concerns. The primary purpose of this project is to expand the evidence-based model of IPS SE throughout this 4-year period to the greatest extent possible to individuals who do not have access to this type of service. At this time the projects are finishing up year one of the planning year.

### **OVR State Owned and Operated Rehabilitation Centers**

The Charles W. McDowell Center and the Carl D. Perkins Vocational Training Center are the State-owned and operated comprehensive rehabilitation centers in Kentucky. Both are community rehabilitation programs providing necessary vocational rehabilitation services to individuals with disabilities. The Centers provide supports, training, and resources to the most unserved and underserved populations in Kentucky to maximize their opportunities to obtain competitive integrated employment. The centers serve individuals, largely from rural areas of the state, with significant, complex or multiple disabilities such as sensory impairments, criminal justice backgrounds and mental illness.

In order to keep the Centers operational and ensure continuity of service provision, at times it is necessary for the State to repair or replace systems and equipment within the center, including, but not limited to electrical, plumbing and hot water, fire prevention, ventilation, sewage, etc.,

that go beyond ordinary repairs and maintenance. The State will submit requests for prior approval to RSA for related costs that exceed the capital expenditure threshold used by the State. Master Agreements are in place for scheduled routine maintenance and inspection of the facility.

### **The Charles W. McDowell Center**

The Charles W. McDowell Center is a rehabilitation facility serving individuals from across the Commonwealth and is owned and operated by the Kentucky Office of Vocational Rehabilitation (OVR). The facility provides office and meeting space for OVR Field Services Division Staff as well as dormitory and classroom space for the residential and training program for blind and visually impaired consumers.

The McDowell Center, located in Louisville, is the only facility in the state of Kentucky which provides blindness skills training to adults, making it a singular and particularly important resource for individuals who are blind and visually impaired wishing to adjust to their vision loss and pursue competitive integrated employment. The McDowell Center offers training in vocational preparation, personal adjustment services, independent living skills, orientation and mobility, Braille, assistive technology, academic remediation, career assessment, vocational planning, work adjustment and work experience.

OVR's East Jefferson District staff and the Central Blind District field staff (i.e., VR counseling staff, assistants, assistive technology staff, community rehabilitation branch staff) are housed in the building. This greatly increases the foot traffic of VR participants and other stake holders in the building. In the last year, the Center had between 220 and 250 program applicants/consumers and other stakeholders travel through the lobby's front desk per month for scheduled appointments and meetings. The McDowell Center blindness skills training program receives referrals from across the state. The number of staff housed at the Center is around 65 when fully staffed. In the 2023 state fiscal year, 83 blind and visually impaired individuals, representing both day and residential students, received training services through the McDowell Center and 1,170 received services through the VR unit housed at the Center.

Master Agreements are in place for scheduled routine maintenance and inspection of the facility. On a monthly basis, elevator, water treatment and pest control inspections occur. The HVAC system is provided quarterly maintenance. Backflow testing is conducted annually.

Semi-annually, the kitchen equipment, grease traps and electrical systems for fire alarms are inspected and maintained. On an annual basis, maintenance and inspections of the sprinkler system and kitchen hood occur.

State facility staff performed an assessment of the facility needs in 2019 and 2020. In 2021, state facility staff engaged architecture and engineering consultants to provide further review of the building and mechanical systems. It was determined that the work should proceed in phases and prioritized to address most critical issues related to dormitory renovations in 2021 and 2022. This Phase I work is complete. In 2023, state facility staff engaged these consultants again to determine Phase II work.

The results are as follows:

1. Building Renovation - The interior Architectural and all Mechanical, Electrical and Plumbing Engineering Systems (MEP) must be evaluated for replacement based on current operating condition, equipment life expectancy, and energy usage. All systems should be evaluated to determine the most effective means of controlling building spaces to desired set points for humidity and temperature.

1. All Building automation systems (BAS) should be upgraded to current standards and must provide for remote access via internet, centralized served storage, and application software. User interface must allow access to logic programming, graphics, data logging, trend data, alarms, and self – diagnostics.
2. All building sanitary drain piping must be replaced due to systemic failure of current piping system materials. All proper engineering standards and Housing Building Construction (HBC) plumbing codes must be followed. Architectural renovation to allow improved and expanded ability to serve consumers should also be included in this process, including but not limited to lighting, tactile surfaces, training areas, safety, interior design improvements for visually impaired and ADA for mobility affected students.
3. Paint, flooring and signage throughout entire building
4. Sun shading awning over windows of south facing cafeteria to prevent extreme heat and glare into south facing cafeteria.
5. Cafeteria kitchen – due to the age of existing equipment combined with lack of use during the pandemic, anticipate updates and replacement to appliances such as the ice machine, water dispenser, salad bar, freezer and dishwasher.
6. Consumer Training Kitchens – Updates Needed: Renovate three consumer training kitchens to facilitate increasing the numbers of students who can receive training and improve workspace and layout to accommodate students using a wheelchair.
7. This project may require completion in two phases based on work scope, building occupancy and timing of work.

2. Dormitory Restroom Accessibility and Safety – The dormitory restrooms require renovations to address ventilation, flooring, safety grab bars, storage and fixtures. All restrooms require accessible “ADA” shower areas. Wheelchair users cannot navigate into the shower for safe transfer, and controls for the shower are located outside the shower. Water from the shower is not contained and is a safety concern. Updates Needed: Recess the concrete slab in order to lower the shower panel, which would prevent water from draining out into the main bathroom area. Renovation to showers would allow for transfer and access to controls.

3. Security Cameras – additional security cameras to be added to existing security system, for front entrance lobby, instructional hallways and building hallways. Intercom system at dormitory entrance in order for residential staff to converse with individuals at door.

4. Campus Grounds Accessibility Updates Needed: Complete last phase of paved access encircling facility allowing safe exit from all exit doors.

5. Orientation and Mobility paved quarter- mile to half-mile walking path behind building on existing acre for independent travel and exercise around the training campus.

6. Exterior Repairs – Updates Needed: Retention walls require repairs to add proper drainage system, replace dislodged and crumbling bricks, and add a protective cap to the top of the wall. The service dog outdoor enclosure needs to be replaced.

**The Carl D. Perkins Vocational Training Center**

The Carl D Perkins Vocational Training Center at Thelma, KY is a multidisciplinary comprehensive residential rehabilitation and vocational training facility opened in 1973. The

Perkins Center's mission is to assist Kentuckians with disabilities achieve suitable employment, maximize independence, and gain self-respect through individualized comprehensive services.

The Perkins Center is the only comprehensive, post-acute residential rehabilitation facility within Kentucky and regularly provides services to rehabilitation consumers throughout the Commonwealth. OVR Counselors located throughout Kentucky make referrals to the Perkins Center for a variety of rehabilitation programs and services based on the needs of eligible persons. The five programs of operation that comprise most of the Center's operation and meet high standards for program quality are Vocational Evaluation, Job Readiness Training, Vocational Skills Training, Assisted Living/Physical Restoration/Outpatient Rehabilitation, and the Lifeskills Enhancement Program.

The Commission on Accreditation of Rehabilitation Facilities (CARF) accredits the Evaluation and Training Units of the Perkins Center. To maintain quality program services and retain CARF accreditation while adequately serving individuals with the most significant disabilities, the Perkins Center must have adequate technology, a sufficient number of staff, and be able to continue to make improvements to the facility, which allows consumers, including those with the most significant disabilities, to access the facility. The following needs were identified by facilities and maintenance personnel:

#### 1. Renovate Assisted Living Unit Restrooms and Replace all PTAC's

The need was identified in the Assisted Living Unit of the building interior on July 8, 2020, when facilities maintenance staff conducted a thorough assessment of the building. Renovation is needed to increase capacity in the assisted living unit by making the restrooms accessible. Many of the existing restrooms, built in 1973, are not accessible and require the use of a common shower area within the Unit. The work needed includes selective demolition, removal and replacement of plumbing systems, replacement of existing light fixtures, concrete slab replacement, doors/frames/hardware replacement, interior finishes including tile work (walls, floors, and base), drywall, painting and restroom accessories. The Assisted Living Unit is joined structurally to the existing building and does not constitute a separate building and costs do not exceed the appraised value of the building. We currently have full capacity assigned to those 13 rooms and 12 consumers on the waiting list for vacancies as they are available. Completion of this project would increase room space to 14, allow consumers to use their own accessible restroom area, allowing the Perkins Center to meet consumer needs timely while increasing the numbers served due to our continuous waiting list for the Assistant Living Unit. The Perkins Center has 113 PTAC (Package Terminal Air Conditioner) units located in dorm rooms and offices. These units are 17 years old or older and have become costly to repair, if repairing is possible. The HVAC industry recommends such units be replaced if such units are more than 10 years old and functioning properly becomes an issue.

#### 2. Industrial Truck/Forklift Training Area

This program is designed to meet entry level workforce needs of any business that employs industrial truck/forklift operators. Perkins Center consumers enrolled in this program will have the opportunity to obtain a 3-year renewable OSHA approved Industrial Truck/Forklift Operator's license. Upon completion of this training, consumers typically go to work in a multitude of businesses including, but not limited to retail stores, manufacturing plants, warehouses, wholesalers, or distribution centers. The outdoor training area is a tennis court that was built more than 30 years ago and has an asphalt surface. The surface has deteriorated over time, allowing the program to only use about one half of the entire surface for training purposes, currently. The program's Industrial Trucks are stored in a building on campus and



require them to be driven to the training area. This program has grown tremendously in recent years and the following numbers will further explain our need for this project:

**2017:** 20 consumers completed the program; 11 consumers received a license; and 2,834 units/hours of total services were provided.

**2018:** 27 consumers completed the program; 19 consumers received a license; and 4,635 units/hours of total services were provided.

**2019:** 28 consumers completed the program; 26 consumers received a license; and 6,024 unit/hours of total services were provided.

**2020 and 2021:** During the COVID-19 Pandemic, the Perkins Center experienced difficult years due to the restrictions on programs. However, the program continued to serve consumers with over 1500 hours of training were provided during 2021.

**2022:** 22 consumers completed the program; 22 consumers received a license; and 5,662 units/hours of total services were provided.

**2023 (through September):** 27 consumers completed the program; 27 consumers received a license; and 6,170 unit/hours of total services were provided.

By utilizing the old tennis court location to construct a 5000 sq. ft. steel engineered building, Perkins Center would provide storage and training area for the Forklift Operations Program. More specific, concrete building pad should be at least 10,000 sq. ft. to accommodate outdoor training area as well. Building would require minimum temperature control, supply air/ventilation system for exhaust from propane powered fork trucks. Building should be equipped with a minimum of one 10' roll up door and one 36" utility door for access. Lighting should be high bay LED style and be no lower than 12' above floor. One multi-use bathroom should be included in the design. Suitable electrical, plumbing and internet systems should be included in the design. Completion of this project will allow the Perkins Center to train consumers timely, during all seasons and within an environment similar to the jobs available in this field.

### 3. Fire Panel System and HVAC BAS Software/Controls Renovation

A large part of our facility fire monitoring system continues to run on a decades old system that needs to be merged into one active panel. This upgrade would allow us to get all our monitoring points up to code and eliminate the myriad of problems along with inconveniences of the old panel. The Center HVAC system controls in the main building are obsolete and operating on a system that cannot be upgraded or repaired if there is any major repair required. A new system with remote access, server operable, provides user interface for both graphics and logic operation while being capable of trending and data storage is needed. The system will need to interface with all building systems in use and sized for future needs. The system should also be capable of interfacing with multiple energy meters for the purpose of monitoring and data storage. The obsolete BAS controls in the main building should be replaced with current version equipment. The new system must provide remote access, be server operable, provide for user interface for both graphics and logic operation, be capable of trending and point data storage. Any remote modules must be able to be downloaded from remote connection. In addition, it must be able to interface with all building systems presently in use and sized for future needs. The system must also be able to interface with multiple energy meters for the purpose of monitoring and data storage.

### 4. Site Access and Security

The Perkins Center presently has two driveways onto the property and 22 doors allowing access into the building. The current layout is difficult for security to monitor and poses a safety threat for staff and students. The property is contained on three sides by fencing but is open to the road in the front. To further complicate the situation, the security office and camera monitoring station is in the rear of the building with no easy access to the front of the property. A building will need to be constructed roadside for security staff to be housed. An automatic gate with key card and remote operation will also be necessary for both entrances. There are four doors that are identified for replacement due to being mechanically irreparable and structurally deteriorating due to age (outside Cosmetology training area, both doors entering into the playground area, and two exiting the gymnasium to the rear concrete basketball area). A walk-through metal detector will need to be placed at the main entry to the building. This will allow staff to identify any persons who may have concealed weapons or other devices that are not allowed on center property. The overall objective is to provide a secure and safe environment.

#### 5. Site Drainage and Riverbank Erosion

The frontage property of the Perkins Center is lower than the main road and the buildings on the property. Drainage piping is there and has been for many years. The original drain leading to the rear of the property is compromised and causes water to pond in low lying areas of the site during wet weather. The original drain needs to be assessed to determine if all or part of it can be replaced/repared to allow water to drain from the property. Mowing and caring for this part of the Perkins Center property is often difficult and requires extra labor due to the condition of the ground. It also presents as a hazard to consumers on-site when there is standing water.

Erosion/Slippage Area: There is significant erosion of property near the Big Sandy River, which joins the property. The goal of this project is to stabilize the erosion/slippage area at rear of property boundary. This section of the property is bordered by the Levisa Fork of the Big Sandy River. As the rivers water level rises and falls, it has eroded approximately 100 feet of shoreline at the rear of the property. This has left drain lines exposed and is undermining the security fence. It is a safety concern for those using the adjacent soccer field. This will require an engineering study to determine project scope.

#### 6. Plumbing -Building Drain Lines

Plumbing systems have been repaired and replaced as needed over the years. The manhole in our Courtyard area is central to the drain system of our kitchen and dormitory areas. An assessment of that drain to the sewer plant is needed along with those systems leading from the dormitory into it. Frequent repairs have been made to maintain the interior drain lines from inside the building, however these failures have steadily increased in recent years. A complete assessment of these plumbing/drain systems is needed to determine the extent of what needs repair/replacement.

#### 7. Exterior Security Lighting

Areas around the main and perimeter buildings are adequate but should be updated to LED type to provide longer life and reduce energy costs. However, there are issues with site perimeter lighting that need to be addressed. This includes repair parking lot lighting and additional lighting installed around the perimeter of the property. This will require removal of asphalt to repair the underground line, or another method of lighting such as solar be established. The front perimeter of the property, adjacent to Main Street does not have any lighting, making it very dark the entire 950' of frontage and 100' onto the property. The other area of concern is

along the adjacent street (Riverview Drive), and it spans an area of 450' of property frontage by approximately 50' onto Perkins Center property. Correcting these concerns would provide a much safer and secure environment for consumers and alleviate issues security staff encounter when monitoring those areas by video and in person.

#### 8. Renovation/Replacement of Store Front Windows

The glass "store front style" windows surrounding the interior of the main building and half of the physical therapy area, leaks whenever it rains. Towels must be kept throughout the building to catch the water from those windows when there is precipitation. There is rust and corrosion present. It is unclear if new structure is needed or replacement glass and seals to resolve the issue. Most of the glass and structure is original to the building built in 1973. The interior glass measures 2,608 sq ft. and the physical therapy glass is 225 sq. ft. A complete assessment as to the extent of repairs, or replacement, of the glass is needed.

#### 9. Resurface Gymnasium Flooring

The current gym surface (73'5" long x 39'5" wide) is badly worn and in need of repair. It is original to the construction of the gym. It will need installation of a layer of Tarkolay over existing floor, then a 5+2 pad and pour system, game lines painted, vinyl base along walls, and a vinyl reducer along doorways and openings.

#### 10. The Perkins Center Front Entrance including Childcare Area

The main entrance to the Center needs a canopy constructed to allow those loading/unloading to safely do so without concern for snow, rain and other weather conditions that may occur. Also, a covered walkway should be constructed to the outside entry of the Childcare room. Often, consumers, family members and staff must load/unload vehicles packed with clothing, food items, electronics, and other items at our front entrance where there is no cover from the elements. Parents/caregivers of children that utilize our daycare are also subject to weather events and a covered walkway to their entry would be attached to the structure and main building. Using a wheelchair lift is also a task that often becomes difficult due to rain, snow, or adverse conditions where the pavement may become slick or hazardous. A canopy and covered walkway have also been identified as a need on our Accessibility Plan performed by an Occupational Therapist.

#### 11. Perkin's Center Hot Water Systems

Replacement of aging Hot Water Heaters throughout the facility are needed. The site currently operates its hot water supply by utilizing twenty separate hot water heating units, eleven of which are near specified end of life service for these types of units and are not performing at full capacity. A planned replacement schedule should be determined and implemented before a failure constitutes an emergency.

#### 12. The Carl Perkins Center Rooftop HVAC Units

The facility operates heating and cooling for all areas except the student dormitory by means of RTU's (rooftop HVAC units) located on the rooftops of various sections of the buildings. There are 23 individual units, 21 of which are 2001 or older manufacture. These units are beyond the specified 15-20-year service life cycle and are expensive to operate and maintain. Many of the units are not performing at 100%. All units provide cooling utilizing R-22 freon which is now obsolete to manufacture. Several units are either non-operational or operating in a limited capacity, currently. Based on evaluations of all RTU units, a scope for replacement is being developed to provide a timeline and an accurate cost determination.

### 13. The Carl Perkins Center Facility Wastewater Treatment Plant

The facility is served by an onsite Wastewater Treatment Plant that was installed in 2004/2005. This plant has a capacity to process up to 25k gallons of wastewater per day. The primary tank structure typically has a lifespan of 25-30 years. The support structure and decking, piping, electrical controls, blowers, pumps, and other hardware have a service life of 10-15 years. Based on an assessment completed by the original manufacturer, it is recommended that these system components and hardware be renovated, and suspect parts be replaced. The goal of this renovation would be to make the Plant viable for another 8-10 years before full replacement would be required.

### 14. The Carl Perkins Center Parking, Driveway, and Entry Areas

The facility has approximately 110,000 square feet of areas that need replacement of asphalt, parking stops, concrete curbs, and grading. The entry/exit area to Cosmetology training will require a 900 square feet concrete pad.

### 15. The Carl Perkins Center Therapy Pool

The facility has a therapy pool utilized by consumers participating in therapy services. The liner for the pool is approximately 15 years old and is beginning to show signs of aging. The pool is used a minimum of 30 hours per week for both physical therapy and wellness participants. The typical pool liner has a lifespan of 15-20 years.

### 16. The Carl Perkins Center Building Exterior

The facility is 50 years old with an exterior made of aluminum/metal. The exterior has only been painted one time in the past 28 years. Many areas of the structure are stained and show signs of weathering. Because the structure includes a five-story dormitory, there are areas unreachable by facility maintenance staff and requires special equipment to reach.

### 17. The Carl Perkins Center Custodial/Building Maintenance/Maintenance Equipment

There is more than 75,000 square feet of flooring that requires daily cleaning and maintenance. The Center currently has a ride-on floor scrubber that is approximately 15 years old. It has been repaired multiple times and will soon need to be replaced. This equipment is used by both the Center janitorial staff and as part of the Building/Maintenance Training program.

### 18. The Carl Perkins Center Carpeting

There is approximately 15,000 square feet of flooring that is currently covered in commercial grade carpeting. These areas include the Cafeteria, common areas, training areas, and conference rooms. Several of these areas have carpeting that is more than 20 years old that needs to be replaced.

### 19. The Carl Perkins Center Paging/Intercom/Clock System

Currently the Center has an intercom system that is more than 30 years old. The dormitory has more than 100 rooms in which the intercom system should operate for emergency notifications and announcements; however, approximately 20% of the intercoms are inoperable. Furthermore, the intercom system should work throughout the building. As with the dormitory, several of these devices no longer work or are inaudible for announcements and notifications.

### 20. Carl Perkins Center Portable Stage

The Carl Perkins Center has a portable stage that is more than 15 years old. It is used for graduations, celebrations, and events such as job placement activities or movie nights. This stage is nearing the end of its' lifespan. Multiple sections are repaired each time it is utilized, and some sections are to the point of not being repairable. The replacement of this portable stage will be a priority in the near future.

### C. GOALS, PRIORITIES, AND STRATEGIES

Section 101(a)(15) and (23) of the Rehabilitation Act require VR agencies to describe the goals and priorities of the State in carrying out the VR and Supported Employment programs. The goals and priorities are based on (1) the most recent CSNA, including any updates; (2) the State's performance under the performance accountability measures of Section 116 of WIOA; and (3) other available information on the operation and effectiveness of the VR program, including any reports received from the SRC and findings and recommendations from monitoring activities conducted under Section 107 of the Rehabilitation Act. VR agencies must—

#### 1. DESCRIBE HOW THE SRC AND THE VR AGENCY JOINTLY DEVELOPED AND AGREED TO THE GOALS AND PRIORITIES AND ANY REVISIONS; AND

The 2023 Comprehensive Statewide Needs Assessment (CSNA) was conducted in 2023 and completed in 2024 by the Office of Vocational Rehabilitation (OVR) with input and participation from the Statewide Council for Vocational Rehabilitation (SCVR). The OVR State Plan contains goals and strategies based on the needs identified through the CSNA and other assessments performed. The SCVR, for the Combined Agency, reviewed, gave input and approved the goals for this state plan. During the quarterly meetings, the Council was informed of progress on the corrective action plan and OVR's progress in meeting the goals of the plan. The Executive Director and Division Directors report out at every quarterly meeting on the metrics data for services, capital plans and progress on the strategic plan goals. The council was given the opportunity for input on the goals and priorities and was involved in the decision-making process of keeping in place the existing goals moving forward. The existing goals address the issues in the corrective action plan as well as issues presented throughout the current statewide needs assessment.

The 2023 CSNA informs the OVR strategic and state plan; meets the Federal regulatory requirements of 34 CFR §361.29; and provides vital information on the State VR program which is used by both public and private disability advocacy agencies. The State Rehabilitation Councils along with the OVR worked collaboratively to assess the needs of individuals with disabilities.

#### 2. IDENTIFY MEASURABLE GOALS AND PRIORITIES IN CARRYING OUT THE VR AND SUPPORTED EMPLOYMENT PROGRAMS AND THE BASIS FOR SELECTING THE GOALS AND PRIORITIES (E.G., CSNA, PERFORMANCE ACCOUNTABILITY MEASURES, SRC RECOMMENDATIONS, MONITORING, OTHER INFORMATION). AS REQUIRED IN SECTION 101(A)(15)(D), (18), AND (23), DESCRIBE UNDER EACH GOAL OR PRIORITY, THE STRATEGIES OR METHODS USED TO ACHIEVE THE GOAL OR PRIORITY, INCLUDING AS APPLICABLE, DESCRIPTION OF STRATEGIES OR METHODS THAT—

A. SUPPORT INNOVATION AND EXPANSION ACTIVITIES;

B. OVERCOME BARRIERS TO ACCESSING VR AND SUPPORTED EMPLOYMENT SERVICES;

C. IMPROVE AND EXPAND VR SERVICES FOR STUDENTS WITH DISABILITIES, INCLUDING THE COORDINATION OF SERVICES DESIGNED TO FACILITATE THE TRANSITION OF SUCH

STUDENTS FROM SCHOOL TO POSTSECONDARY LIFE (INCLUDING THE RECEIPT OF VR SERVICES, POST-SECONDARY EDUCATION, EMPLOYMENT, AND PRE-EMPLOYMENT TRANSITION SERVICES); AND

D. IMPROVE THE PERFORMANCE OF THE VR AND SUPPORTED EMPLOYMENT PROGRAMS IN ASSISTING INDIVIDUALS WITH DISABILITIES TO ACHIEVE QUALITY EMPLOYMENT OUTCOMES.

List and number each goal/priority, noting the basis, and under each goal/priority, list and number the strategies to achieve the goal/priority

**Support innovation and expansion activities:**

Office of Vocational Rehabilitation (OVR) will use innovation and expansion funds to support the following activities: To support the Statewide Council for Vocational Rehabilitation (SCVR), Kentucky's SRC, including all meeting expenses and expenses related to conducting an annual survey of consumer satisfaction (CSS); the Annual Report of the council; and the Comprehensive Statewide Needs Assessment (CSNA). Although the Statewide Independent Living Council (SIILC) is now independent of the state and has established its own 501C (3) nonprofit, OVR will continue to provide annual funding in the amount of \$65,000. Effective July 14, 2022, legislation was passed that appoints the Department of Workforce Development, Office of Vocational Rehabilitation as the administrator of the Employment First Initiative as well as the Employment First Council through KRS 151B.212.

It is anticipated the tasks identified in the current plan would provide expansion and innovation related to Supported Employment and the state owned and operated facilities and public community rehabilitation programs. OVR has in place three Establishment Projects for customized employment projects and four for the area of Individualized Placement Supports (IPS).

**Overcome barriers to accessing VR and supported employment services:**

OVR has taken steps to ensure equitable access to and participation in federally funded programs for all consumers and for agency staff regardless of race, color, national origin, sex, sexual orientation, gender identity or age. The agency takes into consideration the needs of staff in correlation to the service needs of individuals with disabilities in Kentucky, specifically for: a) Individuals with the most significant disabilities, including the need for supported employment services; and b) individuals with disabilities who are minorities and individuals with disabilities who have been unserved or underserved by the vocational rehabilitation program. We will comply with the provisions of the Americans with Disabilities Act (ADA) Public Law 101—336, and applicable federal regulations relating to prohibiting discrimination against otherwise qualified disabled individuals under any program or activity and adhere to the US Department of Labor Final Rule on Federal Executive Order 11246.

OVR is committed to a policy of equal opportunity to all qualified applicants without regard to race, color, national origin, gender, age or disability. OVR encourages applications for employment from persons who are members of groups that have been traditionally underrepresented in the workplace such as members of racial or ethnic minority groups, women, and those with disabilities. There is an explicit commitment to assuring equal access for all communications through outreach, media contact of any form inclusive of social media, websites, online learning or flyers, and other announcements or correspondence under the project.

OVR has an accessibility workgroup that focuses on ensuring all materials and electronic communications are accessible to VR participants. Information is provided to individuals participating in services in their preferred language. OVR is committed to assuring that all individuals with disabilities have equal access to participate in services using the provision of reasonable accommodations and assistive technology and other available auxiliary aids and services. In 2023, this workgroup developed an Accessible Information & Communication Technology policy and procedure for the agency that is currently under review by the Executive Leadership Team.

The OVR Executive Director and designee are members of the CSAVR Diversity, Equity and Inclusion professional Network. This allows for OVR to participate in a national workgroup addressing racial disparities specific to the field of vocational rehabilitation.

In 2021, OVR created a diversity committee to address diversity and inclusion inequities within OVR. The OVR Diversity Committee team is made up of OVR staff and representation from the state Office of Diversity, Equality and Training (ODET). An agency-wide survey was distributed in September of 2021 to better understand staff views on diversity within the agency and within the community we serve. Representatives of ODET from the Personnel Board provided feedback and shared their expertise to keep the committee focused and aware of state level initiatives as it implements a strategic vision for the agency. As a result, the committee created its first 3-year strategic plan. The following goals remain a priority for the agency:

#### Staff Diversity

Goal: Recruit, hire and retain a diverse and inclusive staff to provide high quality services to Kentuckians with Disabilities.

Objective 1: Increase recruitment and hiring to fill vacant positions with staff who are representative of the population we serve.

Objective 2: Increase staff retention to ensure continuity of high quality of services to Kentuckians with disabilities and to increase diversity at all agency levels.

#### Consumer Diversity

Goal: Ensure equitable service provision to all Kentuckians with disabilities through outreach, training, and data analysis.

Objective 1: Develop a system to periodically review data regarding consumer diversity as well as policies, and practices that impact service provision.

Objective 2: Raise awareness of OVR services in underserved communities through targeted outreach.

Objective 3: Create a more welcoming and inclusive environment for all VR stakeholders.

The OVR Executive Director is a member of the Council of State Administrators of Vocational Rehabilitation's (CSAVR) Diversity, Equity, and Inclusion Professional Network. This allows for OVR to participate in a national workgroup addressing racial disparities specific to the field of vocational rehabilitation.

With a commitment to the agency's mission, management and staff at OVR focus on competitive integrated employment in assigned tasks, planning and utilization of work time, initiative of self-directed work teams, and innovative projects. Expanding employment outcomes to minorities with the most significant disabilities is inclusive in the agency's commitment and

principles. Cultural diversity training is provided to staff in order to develop a better understanding of different cultures and value systems. Staff shall ensure that persons with the most significant disabilities who are minorities will receive the same employment related services that non-minority and individuals with disabilities receive. OVR works to develop outreach activities to minorities to facilitate increased consumer referrals to the Agency. Staff are encouraged to get to know key community leaders and minority organizations to facilitate effective outreach. The Office follows Equal Employment Opportunity guidelines and Affirmative Action Procedures, and staff are encouraged to continue to participate in the Governor's Equal Employment Opportunity Conference. The Office encourages existing minority staff to play an active role in policy and program development, service delivery and program monitoring activities.

Service demographic and population data is utilized to determine the number of minorities in regions and develop strategies to increase percentages. OVR will utilize different methods and channels of communication in targeting minority populations. This will include usage of the "Language Line" that will enable our staff to communicate with non-English speaking applicants in their native language.

OVR is committed in its effort to: a) ensuring individuals with disabilities who are minorities have equal access to vocational rehabilitation services; and b) building the capacity to effectively service individuals with most significant disabilities who are minorities.

The following outlines the actions in OVR's Outreach Plan:

- Management and staff shall focus on the agency mission, which is employment, in assignment of tasks, planning and utilization of work time, initiation of self-directed work teams, and innovative projects. This includes expanding the diversity of the Agency in terms of employment outcomes to individuals with the most significant disabilities who are minorities.
- Staff shall provide leadership in implementation of the Career Center Systems throughout the Commonwealth. Staff shall ensure that persons with the most significant disabilities who are minorities will receive the same employment related services that non-minorities and individuals with disabilities receive.
- Recruit and hire Rehabilitation Counselors from minority and culturally diverse groups. Improve system linkages with the Department of Workforce in order to reach more minorities across the state. Collaboration with other entities will allow for effective coordination of services and referrals.
- Integrate internal controls through quality assurance to identify areas where there is successful outreach and best practices and identify areas needing additional outreach.
- Develop outreach activities to minorities to facilitate increased consumer referrals to OVR. OVR supports staff in making linkages with community leaders and minority organizations to facilitate outreach.
- Encourage existing minority staff to play an active role in policy and program development, service delivery and program monitoring activities.
- Provide cultural diversity training to staff in order to develop a better understanding of different cultures and value systems.



- Utilize service demographic and population data to determine the number of minorities in regions and develop strategies to increase percentages.
- Encourage minorities to play an active role in the State Rehabilitation Council, participating forums and the provision of input into policies and procedures.

**Improve and expand VR services for students with disabilities, including the coordination of services designed to facilitate the transition of such students from school to postsecondary life (including the receipt of VR services, post-secondary education, employment, and pre-employment transition services):**

In Kentucky there are 171 school districts consisting of 1,477 schools. There are more than 106,000 students with IEPs that are potentially eligible in the state according to the Kentucky Department of Education. Currently, the Department of Education has no way to count the number of students with 504 plans or those who would qualify as a student with a disability that do not have an IEP or 504 plan. The number of students in private or home schools that would qualify as students with disabilities is also not readily available.

OVR will use a variety of methods to improve and expand VR services for students. As stated in this section internal and external methods utilized are WEBI, Crystal Reports, Case Reviews, Satisfaction Surveys, Comprehensive Statewide Needs Assessment, 107 Monitoring, the State's performance under the performance accountability measures of section 116 of WIOA and the Strategic Planning Process.

OVR conducts a statewide comprehensive needs assessment in order to satisfy requirements in the Rehabilitation Act of 1973, as amended. The assessment has a component that identifies additional VR service needs of both students and youth. A part of the assessment is tailored to this population to identify emerging needs. Information gained through this process is then analyzed to develop conclusions and potential action strategies in serving this population.

OVR uses the strategic planning process as one of its methods to ensure the effective implementation of rehabilitation programs and services to this target population. Through quality assurance processes, OVR provides internal and external methods and examinations to identify areas where improvement and training are needed. OVR will utilize the case review process to Improve Professional Skills to review transition cases.

OVR continues to receive technical support from the National Technical Assistance Center on Transition: The Collaborative (NTACT:C). A KY NTACT team has been formed to develop an Intensive Technical Assistance Plan to achieve goals related to data-sharing and quality transition services. This is a collaborative effort between KY OVR and KY Department of Education and with other community partners providing services to transition age youth.

OVR created the Transition Services Branch in October 2020 to engage with and provide Pre-Employment Transition Services and Transition services to students with disabilities. The branch consists of one (1) Branch Manager, three (3) Program Administrators, one (1) Administrative Specialist, and six (6) Pre-ETS Coordinators. The Branch Manager oversees all branch activities and represents the agency on inter-agency teams. The Program Administrators coordinate and monitor Pre-ETS and Transition services throughout the state, including specific contracts with service providers. The Administrative Specialist provides clerical support to the branch. The Pre-ETS Coordinators work with Potentially Eligible students in their specific regions. They collaborate directly with schools and providers to receive referrals, coordinate Pre-Employment Transition Services, and monitor the progress of Potentially Eligible students to help determine if/when it is appropriate for a student to apply for OVR services. The Pre-ETS

Coordinators transfer the Potentially Eligible students' cases to VR Counselors who determine eligibility for services and develop Individualized Plans for Employment (IPE). Pre-ETS Coordinators do not determine eligibility or develop IPEs; they only work with Potentially Eligible Students.

The Transition Services Branch:

- Formulates, develops and interprets policies, standards and procedures.
- Maintains a comprehensive knowledge of and assures that OVR adheres to all Federal and State Regulations, administrative rules and policies for transition and pre-employment transition services.
- Assists in the evaluation of the effectiveness of agency transition policies and procedures.
- Coordinates the activities of transition/Section 511.
- Coordinates the activities of Pre – Employment Transition Services.
- Facilitates the development and maintenance of agency fee schedules and cooperative agreements.
- Collaborates regularly with partners by participating in workforce partner meetings, community rehabilitation, OVR team meetings, vendors/contractors and Department of Education staff.
- Facilitates effective communication with the Executive Leadership, Field Services Management and field staff to assure the attainment of agency goals.
- Represents the agency by participation and representation on Transition Related events and Councils.

The Transition Services Branch has the following goals for the next three years:

1. Develop and implement strategies to increase the number of students applying for VR service through engagement.
2. Implement a system for approving new Pre-ETS provider to ensure high quality services are provided statewide.
3. Develop a process to implement a data sharing agreement with partner agencies.
4. Identify underserved populations by partnering with community agencies and KDE.
5. Evaluate service efficacy through SWOT analyses.
6. Seek feedback from providers and OVR staff to facilitate continuous improvement.
7. Build provider capacity.

OVR receives technical assistance from the NTACT: C to ensure that OVR is meeting RSA requirements. Transition Services Branch staff participate in webinars and communities of practice to learn about different ways to deliver services and complying with the latest guidance from NTACT: C.

The Transition Services Branch continues to refine ways to do outreach to identify more students, to ensure that providers are following established guidelines, and to ensure students

receive high quality transition services. Technical assistance will be sought from NTACT:C, as needed.

To assure the coordination of services to facilitate the transition students from school to postsecondary life (including the receipt of VR services, post-secondary education, competitive integrated employment, and Pre-Employment Transition Services), OVR utilizes the following process:

The Pre-ETS Coordinator and VR Counselor are responsible for the schools located in their assigned region. Pre-ETS Coordinators and VR Counselor work with school staff and service providers to identify potentially eligible students assuring that they are given the opportunity to apply for services starting at age 14. While the student is enrolled in school, the Pre-ETS Coordinator and VR Counselor work with school staff to ensure that student receives the needed services to aid in the transition to post-secondary life. The Pre-ETS Coordinators will work with Potentially Eligible students who only require Pre-ETS. These Coordinators will monitor students' progress and will transfer the students to a VR Counselor for application when they require other VR services. The VR Counselor will then take applications, determine eligibility, and determine appropriate services to help students achieve Competitive, Integrated Employment.

Services include but are not limited to:

- Pre-Employment Transition Services,
- Other VR services and programming offered by OVR, and
- Other services specific to transition aged students by school districts and other entities.

VR Counselors provide individualized services and where gaps in services are identified, staff work to developed new and innovative services in the students' home area to better serve this population.

OVR has representation and involvement in several organizations and councils as follows:

OVR was appointed to serve as a voting member of the State Interagency Council (SIAC) for Services and Supports to Children and Transition-Age Youth.

Regional OVR representation has been established for the Regional Interagency Councils (RIAC) for the system of care to have consistent OVR representation.

OVR and Kentucky Department of Education continues to meet quarterly with interested interagency partners and serve as the catalyst for development and implementation of an infrastructure which supports youth with disabilities to transition from high school to post- secondary school and employment.

OVR has Memorandum of Understanding with the KDE for transition planning and service delivery for secondary students with disabilities.

**Improve the performance of the VR and Supported Employment programs in assisting individuals with disabilities to achieve quality employment outcomes:**

Sound Fiscal Management

Goal 1: Implement sound fiscal management that aligns with federal and state regulations for accurate and consistent reporting and operations.

Objective 1-A: Develop internal controls that are embedded throughout service delivery.

Strategies 1-A:

- Conduct a risk analysis and identify needed procedures for internal controls.
- OVR staff works closely with Cabinet-level fiscal staff (budget, procurement, and accounting) in the development and implementation of written procedures that adhere to state and federal requirements.
- Develop needed policies and procedures.
- Train staff on established policies and procedures.

Measures 1-A:

- Internal controls are implemented in day-to-day service delivery.

Objective 1-B: Best practices and effective policies are embedded in day-to-day operations.

Strategies 1-B:

- Dedicated staff are assigned to quality assurance monitoring over the internal control processes.
- Develop a quality assurance monitoring plan.
- Implement the quality assurance plan.
- Metrics are established for internal control processes.

Measures 1-B:

- Clean audit with no findings.
- Reduction of case review errors.
- Timely submission of reports with no errors.

Objective 1-C: Proper allocation and expenditure of funds.

Strategies 1-C:

- Conduct fiscal forecasting.
- Develop a plan for expenditure for the grant award.

Measures 1-C:

- Fiscal forecasting completed
- Adequate expenditure of funds

Quality Assurance

Goal 2: Compliance with federal and state regulations in all areas to ensure continuous improvement and quality outcomes for consumers.

Objective 2-A: Enhance program compliance through the development and maintenance of policies and procedures.

#### Strategies 2-A:

- Identify an agency standard of accessibility.
- Develop a structure to maintain, update, and review policy and procedures.
- Train staff on the new process for policy and procedures.
- Train staff on common performance measures

#### Measure 2-A:

- Completion of a formal policy and procedure manual.
- Meets or exceed the RSA negotiated performance rates.

Objective 2-B: Consistently analyze and use data to inform planning.

#### Strategies 2-B:

- Implement a consistent development and review process.
- Obtain input of leadership and management to identify outcome data needs.
- Hire staff to develop a strong data review process.
- Partner with internal and external stakeholders in education and workforce to obtain necessary data.

#### Measures 2-B:

Data is always used in the decision-making process.

#### Staff Resource

Goal 3: Maximize technology and business processes to effectively support accessibility and the evolving needs of all stakeholders.

Objective 3-A: All forms and documents meet accessibility standards.

#### Strategies 3-A:

- Ensure staff use accessible forms and documents.
- Staff responsible for creating forms will create forms that meet accessibility standards.
- Policies and procedures are in place for compliance.
- Train staff on accessibility and compliance.

#### Measure 3-A:

- All forms and documents meet established accessibility standards.

#### Facility Operations

Goal 4: Improve facilities and expand programs to increase competitive, integrated employment outcomes.

Objective 4-A: Upgrade building facilities to provide a safe and accessible environment for all staff across the state.

#### Strategies 4-A:

- Develop a formal plan for ongoing and regular maintenance of state-owned buildings.
- Identify building locations private and state owned that present potential service, health,

and safety risks for staff.

- Identify relocation needs.
- Follow and adhere to all state and federal processes.
- Implement approved projects in a timely manner.

#### Measure 4-A:

- All facility projects are completed and operational as identified in the Capital Plan.
- All facilities meet facility and safety requirements.

Objective 4-B: Increase capacity to offer statewide services at state operated Centers.

#### Strategies 4-B:

- Expand curriculum and training opportunities in industry-standard computer software programs (e.g., computer literacy).
- Address hardware, software, and connectivity access barriers.
- Expand learning formats to include a variety of online and hybrid programs.
- Develop and implement a plan to ensure adequate resources for the learning format expansion.
- Centers will increase outreach efforts to reach consumers in all 120 counties.

#### Measures 4-B:

- Increase training enrollments by 25% for both Centers by 2024.
- Increase competitive, integrative employment by 25% for both Centers by 2024.

Objective 4-C: Maximize job readiness training and work experience opportunities.

#### Strategies 4-C:

- Expand job readiness training and work experience opportunities at the Centers.

#### Measures 4-C:

- 75% of McDowell Center VR participants complete a work experience.
- Re-establish all the Perkins Center's current relationships and expand those by 25%.
- Completion of job readiness training at the Perkins Center will increase by 25% by 2024.

#### Consumer Services

Goal 5: Implement innovative practices to improve quality outcomes.

Objective 5-A: Increase the number of credentialed vendors.

Strategies 5-A:

- Incorporate vendor recruitment as a part of the outreach plan.
- Train staff on new vendor credentialing and processes for vetting.
- Recruit new vendors for increased consumer choice.
- Maintain a strong application/recruitment/retention vendor process.

Measure 5-A:

- All newly approved vendors are credentialed.
- Increase supported employment providers by 5%.

Objective 5-B: Consumers have access to industry-driven training, career, and other resources.

Strategies 5-B:

- Develop a list and expand the number of agency-approved vendors.
- Develop a plan for consumers to have access to technology and virtual services.
- Counselors place greater emphasis on providing informed choices.

Measure 5-B:

- Increase the number of consumers who are engaged in and complete training by 10%.

Objective 5-C: Strengthen existing workforce partnerships, develop new partnerships, and expand learning opportunities.

Strategies 5-C:

- Employer Services Branch will develop and implement a plan to partner with employers who offer jobs in targeted sectors.
- Increase work-based learning opportunities in targeted sectors.
- Train staff using career pathways strategy guides.

Measure 5-C:

- 10% increase in competitive, integrated employment outcomes in targeted sectors.

Objective 5-D: Counselors implement a career pathways approach to increase quality employment outcomes.

Strategies 5-D:

- Expand types of employment placements into higher-paying, lower turnover jobs.
- Increase use of Labor Market Information in employment goal development.
- Increase consumer engagement.
- Implement policies that guide the implementation of the career pathway approach through team-based, early intervention strategies.

Measure 5-D:

- Annual increases in the required federal common measures.
- Decrease cases closed "unable to contact/refused services" by 10%.

Objective 5-E: Ongoing Systematic Training for all Staff

Strategies 5-E:

- Formation of a Training Development Team
- Develop a systematic training Schedule.
- Implement a systematic training schedule for all staff.

Measure 5-E:

- Training Plan Developed by December 2024.
- Ongoing systematic training is implemented by June 2025.

Objective 5-F: Increase service capacity and customer engagement through additional staff resources.

Strategies 5-F:

- Conduct an assessment of statewide staff needs based on a internal job duties analysis and service delivery trends.
- Develop a talent management plan.
- Recruit and hire staff to fill identified positions.

Measures 5-F:

- Assessment of statewide staff needs completed by June 2024
- Talent Management plan completed by December 2024
- # of Positions Filled

Public Awareness

Goal 6: Implement an ongoing, flexible outreach plan and process to improve public awareness of VR programs, services, and agency employment.

Objective 6-A: Implement a comprehensive outreach plan for the agency.

Strategies 6-A:

- Hire a dedicated outreach person.
- Create an outreach plan.
- Develop outreach materials to recruit vendors.
- Outreach materials that reflect current information and are engaging and in accessible formats.
- Outreach materials are made available to staff and consumers.



Measures 6-A:

- Staff hired to oversee outreach.
- All outreach materials are updated and maintained in appropriate, accessible formats.
- Social Media presence on most popular accessible sites.
- All outreach materials will be located for easy access to staff and consumers (agency website/paper material to Perkins for distribution/DocuShare Drive).

Objective 6-B: Recruit talent.

Strategies 6-B:

- Identify a staff representative to work with the Education and Labor Cabinet and Personnel Cabinet on issues related to talent recruitment.
- Identify staff representatives to make presentations to colleges, universities and technical colleges regarding OVR services and employment opportunities.
- Expand the quantity and types of internship programs with university programs.
- Leverage social media as a tool for recruitment.

Measures 6-B:

- Open positions are filled with qualified candidates.

The Kentucky Office of Vocational Rehabilitation set the following goals for the distribution of Title VI, Part B Funds. Kentucky has set the following goals to assist with increase employment outcomes for adults and youth with a significant disability.

Goal 1: Build capacity within supported employment services for individuals with the most significant disabilities.

Objective 1.1: Increase the number of CRP's providing supported employment services.

Strategies: Recruit more IPS providers for supported employment by holding outreach opportunities for potential providers.

Strategies: Implement additional IPS Establishment Project contracts to continue expansion of the IPS model throughout KY.

Strategies: Recruit more Employment Specialists for participation in the University of Kentucky's Human Development Institute Leadership Series on Customized Employment.

Strategies: Implement additional Customized Employment Establishment Project contracts to continue expansion of Customized Employment throughout KY.

Strategies: Continue existing contract with the University of Kentucky to allow scholarship opportunities among Employment Specialists to participate in the Leadership Series training.

Strategies: Hire internal staff to serve as IPS Trainers and Fidelity Monitors

Strategies: Hire additional CRP Branch Consultant staff to increase recruitment of new CRPs.

Measure: Increase in the number of providers (10%).

Measure: Increase the number of certified employment specialist in customized employment (10%)

Objective 2:1: Reduce attrition among CRPs providing supported employment.

Strategies: Revamp supported employment payment structure.

Strategies: Develop and implement CRP Sustainability Survey.

Strategies: Research supported employment payment structures from other state VR agencies.

Strategies: Hire additional CRP Branch Consultant staff to strengthen CRP technical support.

Measure: Development, approval and implementation of new supported employment payment structure.

Objective 3.1: Improve monitoring and exploration of additional strategies to improve CRP service quality and compliance.

Strategies: CRP Branch staff will facilitate monthly meetings with CRP and VR staff to address quality and compliance issues.

Strategies: CRP Branch will regularly assess and amend the CRP Manual to ensure up to date and accurate information is readily available to CRP and VR staff.

Strategies: Train staff on new policies related to customized employment and person—centered planning.

Strategies: Provide quarterly CRP Branch Bulletin newsletter to CRP and VR staff.

Measure: Quarterly report

Measure: Scorecard

Objective 4.1: Seek alternative strategies for providing and funding Extended Services.

Strategies: Provide Extended Services support to youth with disabilities as outlined in CFR 361.5 (19).

Strategies: Gather input from staff, education partners, service providers, individuals with disabilities, their families, and other stakeholders.

Strategies: Explore state funding earmarked for Extended Services.

#### D. EVALUATION AND REPORTS OF PROGRESS: VR AND SUPPORTED EMPLOYMENT GOALS

For the most recently completed program year, provide an evaluation and report of progress for the goals or priorities, including progress on the strategies under each goal or priority, applicable to that program year. Sections 101(a)(15) and 101(a)(23) of the Rehabilitation Act require VR agencies to describe—

##### 1. PROGRESS IN ACHIEVING THE GOALS AND PRIORITIES IDENTIFIED FOR THE VR AND SUPPORTED EMPLOYMENT PROGRAMS;

List the goals/priorities and discuss the progress or completion of each goal/priority and related strategies

## Sound Fiscal Management

Goal 1: Implement sound fiscal management that aligns with federal and state regulations for accurate and consistent reporting and operations.

Objective 1-A: Develop internal controls that are embedded throughout service delivery.

Strategies 1-A:

- Conduct a risk analysis and identify needed procedures for internal controls.
- OVR staff works closely with Cabinet-level fiscal staff (budget, procurement, and accounting) in the development and implementation of written procedures that adhere to state and federal requirements.
- Develop needed policies and procedures.
- Train staff on established policies and procedures.

Measures 1-A:

- Internal controls are implemented in day-to-day service delivery.

Objective 1-B: Best practices and effective policies are embedded in day-to-day operations.

Strategies 1-B:

- Dedicated staff are assigned to quality assurance monitoring over the internal control processes.
- Develop a quality assurance monitoring plan.
- Implement the quality assurance plan.
- Metrics are established for internal control processes.

Measures 1-B:

- Clean audit with no findings.
- Reduction of case review errors.
- Timely submission of reports with no errors.

Objective 1-C: Proper allocation and expenditure of funds.

Strategies 1-C:

- Conduct fiscal forecasting.
- Develop a plan for expenditure for the grant award.

Measures 1-C:

- Fiscal forecasting completed
- Adequate expenditure of funds

**Progress:** Significant progress has been made in Goal 1. OVR has an intensive technical assistance agreement with the VRTAC-QM under an intensive agreement established in 2022 for

the area of financial accountability and internal controls. The agency is actively working on the development of policy and procedures to establish internal controls. Policies and procedures once approved by OVR leadership are submitted to the VRTAC-QM for review, comments and edits. OVR then submits them to RSA for review and comments/questions and once the final edits are addressed a final draft is created. Upon compilation of all approved drafts the agency compiles and submit to the agency Accessibility Coordinator to ensure all documents meet agency established accessibility standards. Following the accessibility confirmation, the agency will work with the Education and Labor Cabinet legislative liaison to coordinate with Legislative Research Commission (LRC) in Kentucky for promulgation into regulation. Currently the agency has finalized drafts for: RSA 911, RSA-17, 9169, Authorizations, Service Fee Memorandums, Rate Setting, Vendors, Prior Written Approval and Third-Party cooperative Agreements. Monthly meetings occur between OVR program and grant staff and Cabinet fiscal staff to discuss fiscal operations across divisions and programs. Additional staff resources have been dedicated to associated job duties to ensure compliance in all areas. As policies are approved pertinent staff are provided with training including Cabinet fiscal staff as we continue to work toward implementing internal controls in the day-to-day service delivery. An intensive training from the VRTAC-QM provided executive leadership staff, agency fiscal staff and cabinet fiscal staff with training on D-RAN or Delegable, Reasonable, Allocable and Necessary expenditures with a focus on Period of Performance as well. An obstacle for accuracy of reporting data that the agency is currently working toward resolution on is the implementation of an updated or new case management system to ensure that accurate data is captured for reporting purposes. As we work toward resolution with a new system, staff have outlined additional manual processes in their procedures for additional checks and balances to assist with the accuracy of the information of reports, including measures for corrective action for identified errors.

## **Quality Assurance**

Goal 2: Compliance with federal and state regulations in all areas to ensure continuous improvement and quality outcomes for consumers.

Objective 2-A: Enhance program compliance through the development and maintenance of policies and procedures.

Strategies 2-A:

- Identify an agency standard of accessibility.
- Develop a structure to maintain, update, and review policy and procedures.
- Train staff on the new process for policy and procedures.
- Train staff on common performance measures

Measure 2-A:

- Completion of a formal policy and procedure manual.
- Meets or exceed the RSA negotiated performance rates.

Objective 2-B: Consistently analyze and use data to inform planning.

Strategies 2-B:

- Implement a consistent development and review process.

- Obtain input of leadership and management to identify outcome data needs.
- Hire staff to develop a strong data review process.
- Partner with internal and external stakeholders in education and workforce to obtain necessary data.

Measures 2-B:

Data is always used in the decision-making process.

**Progress:** The agency continues to work on this goal area. There has been significant progress for this area. The Case Review Process was analyzed by the VRTAC-QM as part of an intensive technical assistance agreement established in 2022. Agency staff and VRTAC-QM have worked closely together to develop policy and procedures for this process that include associated forms and standardized practices for feedback to staff that will lead to quality improvements. Staff performance evaluations now include expectations related to timely completions of Eligibility and IPE determination with reviews conducted on interim and annual basis. All staff have been trained on common performance measures and timely and accurate data entry. The accessibility workgroup developed an agency standard of accessibility and is under review of the agency Executive Leadership Team. A structure to maintain, update and review policy and procedures was developed and implemented. Currently, leadership holds weekly administrative review meetings inclusive of subject matter experts that work on policy development and procedures. Once the content is established a standardized format is applied to the documents and submitted to VRTAC-QM for review/comments/updates followed by the same process for submitting to RSA for input into the finalized draft. Additional staff have been hired to provide additional supports for the case review processes. The agency has established a collaborative relationship with fiscal Cabinet level staff. Cabinet staff are included in agency developed or sponsored training initiatives to ensure that they are trained on topics crucial to the implementation of federal requirements for the state vocational rehabilitation program. For program year 2022 OVR met all of the negotiated performance measures but one that was just under the set goal. An area of focus for this year will continue to be the development of a formal policy and procedure manual and the training of staff.

### **Staff Resource**

Goal 3: Maximize technology and business processes to effectively support accessibility and the evolving needs of all stakeholders.

Objective 3-A: All forms and documents meet accessibility standards.

Strategies 3-A:

- Ensure staff use accessible forms and documents.
- Staff responsible for creating forms will create forms that meet accessibility standards.
- Policies and procedures are in place for compliance.
- Train staff on accessibility and compliance.

Measure 3-A:

- All forms and documents meet established accessibility standards.

**Progress:** The agency has in place an Accessibility Team, an Accessibility Coordinator and a Diversity, Equity, and Inclusion (DEI) Team to assistance with compliance and forward progress in policy and procedure as it relates to this goal. The Accessibility Team has developed a standard of accessibility and a detailed manual with recommendations for training development staff support in this area. The DEI Team has included accessibility as part of their Strategic Plan. The agency Accessibility Coordinator works closely with staff to ensure that documents, forms and other correspondence meet accessibility requirements. In addition, the coordinator also assists with ensuring that documents sent out through larger Cabinet initiatives are also accessible for our staff. This has been accomplished through a solid working relationship with staff of the Education and Labor Cabinet (ELC) Office of Communications on accessibility. The ELC is also working to secure their own accessibility specialist to assist them with internal assurances of compliance for all documents, forms and correspondence. They are using the OVR position description for our Accessibility Coordinator to establish the roles and responsibilities for the position they intend to hire. This continues to be a work in progress and though this goal cannot be considered completed at this time, great progress has been made.

### **Facility Operations**

Goal 4: Improve facilities and expand programs to increase competitive, integrated employment outcomes.

Objective 4-A: Upgrade building facilities to provide a safe and accessible environment for all staff across the state.

Strategies 4-A:

- Develop a formal plan for ongoing and regular maintenance of state-owned buildings.
- Identify building locations private and state owned that present potential service, health,

and safety risks for staff.

- Identify relocation needs.
- Follow and adhere to all state and federal processes.
- Implement approved projects in a timely manner.

Measure 4-A:

- All facility projects are completed and operational as identified in the Capital Plan.
- All facilities meet facility and safety requirements.

Objective 4-B: Increase capacity to offer statewide services at state operated Centers.

Strategies 4-B:

- Expand curriculum and training opportunities in industry-standard computer software programs (e.g., computer literacy).
- Address hardware, software, and connectivity access barriers.
- Expand learning formats to include a variety of online and hybrid programs.

- Develop and implement a plan to ensure adequate resources for the learning format expansion.
- Centers will increase outreach efforts to reach consumers in all 120 counties.

Measures 4-B:

- Increase training enrollments by 25% for both Centers by 2024.
- Increase competitive, integrative employment by 25% for both Centers by 2024.

Objective 4-C: Maximize job readiness training and work experience opportunities.

Strategies 4-C:

- Expand job readiness training and work experience opportunities at the Centers.

Measures 4-C:

- 75% of McDowell Center VR participants complete a work experience.
- Re-establish all the Perkins Center's current relationships and expand those by 25%.
- Completion of job readiness training at the Perkins Center will increase by 25% by 2024.

**Progress:** The Carl D. Perkins Vocational Training Center (CDPVTC) and the Charles McDowell Center are both older residential facilities with complex maintenance issues that must be addressed. Both facilities have in place a formal plan for ongoing and regular maintenance. The agency staff, along with executive leadership, meet bi-monthly and more if needed with the Education and Labor Cabinet (ELC) facilities staff to discuss the ongoing and regular maintenance issues as well as the capital projects that have been approved by RSA and state leadership for implementation. For CDPVTC this includes a new forklift area as this is a consistently sought after certification with crucial update needs for continued program implementation. CDPVTC also has plans for medical wing updates and other maintenance initiatives to maintain or enhance current program. Charles McDowell Center staff have undergone maintenance to update dorms, safety features of the building and climate control mitigation to address moisture issues in the facility. CDPVTC continues to have Wi-Fi issues due to the large number of individuals in the building sharing the network and the number of technology devices that pull from that system such as staff computers and phones as well as student computers, phones, televisions, game systems, etc. The Wi-Fi system was updated by the Commonwealth Office of Technology in 2023 but continues to be a challenge for the area in which they are located.

The largest issue that the agency faces regarding maintenance issues, is the associated processes fiscal process from state government. Delays in approvals and project implementation/completion can significantly impact the budget projections for expenditures for period of performance as well as program progress. This in addition to labor and product shortages has impacted the work on capital projects for OVR.

Both divisions consistently work to improve facility services and the courses offered to consumers. CDPVTC is implementing a Barista program due to the increased growth in coffee houses throughout the state. They are partnering with Division of Blind Services to grow the knowledge of visual disabilities with their staff to provide services to consumers with visual impairments in a supportive role to the Charles McDowell Services. The Bioptic Driving

Program is adding additional staff to support this program. COVID provided an opportunity for both centers to hone staff skills related to virtual service delivery and this continues to be a utilized training support for consumers for both of these programs. CDPVTC continues to maintain their Commission on Accreditation for Residential Facilities (CARF) status.

### **Consumer Services**

Goal 5: Implement innovative practices to improve quality outcomes.

Objective 5-A: Increase the number of credentialed vendors.

Strategies 5-A:

- Incorporate vendor recruitment as a part of the outreach plan.
- Train staff on new vendor credentialing and processes for vetting.
- Recruit new vendors for increased consumer choice.
- Maintain a strong application/recruitment/retention vendor process.

Measure 5-A:

- All newly approved vendors are credentialed.
- Increase supported employment providers by 5%.

Objective 5-B: Consumers have access to industry-driven training, career, and other resources.

Strategies 5-B:

- Develop a list and expand the number of agency-approved vendors.
- Develop a plan for consumers to have access to technology and virtual services.
- Counselors place greater emphasis on providing informed choices.

Measure 5-B:

- Increase the number of consumers who are engaged in and complete training by 10%.

Objective 5-C: Strengthen existing workforce partnerships, develop new partnerships, and expand learning opportunities.

Strategies 5-C:

- Employer Services Branch will develop and implement a plan to partner with employers who offer jobs in targeted sectors.
- Increase work-based learning opportunities in targeted sectors.
- Train staff using career pathways strategy guides.

Measure 5-C:

- 10% increase in competitive, integrated employment outcomes in targeted sectors.

Objective 5-D: Counselors implement a career pathways approach to increase quality employment outcomes.

Strategies 5-D:



- Expand types of employment placements into higher-paying, lower turnover jobs.
- Increase use of Labor Market Information in employment goal development.
- Increase consumer engagement.
- Implement policies that guide the implementation of the career pathway approach through team-based, early intervention strategies.

Measure 5-D:

- Annual increases in the required federal common measures.
- Decrease cases closed "unable to contact/refused services" by 10%.

Objective 5-E: Ongoing Systematic Training for all Staff

Strategies 5-E:

- Formation of a Training Development Team
- Develop a systematic training Schedule.
- Implement a systematic training schedule for all staff.

Measure 5-E:

- Training Plan Developed by December 2024.
- Ongoing systematic training is implemented by June 2025.

Objective 5-F: Increase service capacity and customer engagement through additional staff resources.

Strategies 5-F:

- Conduct an assessment of statewide staff needs based on a internal job duties analysis and service delivery trends.
- Develop a talent management plan.
- Recruit and hire staff to fill identified positions.

Measures 5-F:

- Assessment of statewide staff needs completed by June 2024
- Talent Management plan completed by December 2024
- # of Positions Filled

**Progress:** The agency has developed and implemented policy and procedures related to Vendor Approvals, credential confirmations, timely agreement distribution and returned vendor agreements. The agency has designated staff assigned specific job duties regarding the vendor process. There is still a great deal of work needed for the area of vendor recruitment and provider capacity. There are no vendor recruitment materials currently available. The agency did develop a specific Outreach packet for Kentucky Psychiatric Association professional conference held in Louisville in 2023. This was an identified area of significant need for vendor recruitment. Plans for the agency include the development of additional Outreach materials for

the vendor groups. Currently, we are looking at restructuring the Employer Services Branch to maximize statewide services and address jobs in targeted sectors using of career pathway strategies. In July of 2021, OVR's Blind Services division was accepted into the Progressive Employment (PE) Development Project through Explore VR/Institute for Community Inclusion. Since that time, the division director and key McDowell staff have participated in targeted monthly technical assistance with the PE team, quarterly nationwide PE meetings of participating states, and have even attended one in-person learning collaborative meeting. In January 2024, an ICI staff provided on-site training with McDowell staff and OVR field staff. The McDowell Center for the Blind (a residential and day training center for visually impaired adults) has implemented the Progressive Employment model with the goal of providing the highest quality training opportunities and increasing competitive employment outcomes for consumers. McDowell Center outreach materials list Progressive Employment as a "core" program offering alongside Braille, Assistive Technology and Orientation and Mobility. Center participants are provided work-based learning services, such as job shadowing, informational interviews, paid work experiences, and employer site tours. Implementing the model has resulted in an updated job readiness curriculum that is more dynamic and focuses on building relationships with employers and the larger community outside the walls of the Center. Participating in Progressive Employment allows consumers to gain a deeper understanding of their career interests and skills, and to overcome the fear and anxiety related to entering or re-entering the workforce as a blind adult.

Ongoing systematic training for all staff is ongoing. This includes plans for a statewide training in 2024. In 2023, the agency held a state training for all assistants to address areas staff identified as critical for their work to increase their individual knowledge and skills. The agency is working toward establishing a robust training team. During the past year OVR added additional staff to this area with continued plans for growth of personnel to address the diverse and specialized needs of staff. The training staff works closely with subject matter experts within the division to assist with the development and implementation of appropriate training programs. In addition, with the newly implemented Case File Review process the results will be utilized to systematically determine the needed training elements to ensure timely, accurate, data driven elements are taking place during case service delivery and follow-up. The new employee orientation for staff has been revamped to ensure timely training for all onboarding. Consumer engagement is an element of focus to reduce to the numbers of cases closed "unable to contact/refused services" and will be a training element in the statewide training initiative and ongoing training supports upon completion of a systematic training schedule for all staff.

### **Public Awareness**

Goal 6: Implement an ongoing, flexible outreach plan and process to improve public awareness of VR programs, services, and agency employment.

Objective 6-A: Implement a comprehensive outreach plan for the agency.

Strategies 6-A:

- Hire a dedicated outreach person.
- Create an outreach plan.
- Develop outreach materials to recruit vendors.
- Outreach materials that reflect current information and are engaging and in accessible formats.

- Outreach materials are made available to staff and consumers.

Measures 6-A:

- Staff hired to oversee outreach.
- All outreach materials are updated and maintained in appropriate, accessible formats.
- Social Media presence on most popular accessible sites.
- All outreach materials will be located for easy access to staff and consumers (agency website/paper material to Perkins for distribution/DocuShare Drive).

Objective 6-B: Recruit talent.

Strategies 6-B:

- Identify a staff representative to work with the Education and Labor Cabinet and Personnel Cabinet on issues related to talent recruitment.
- Identify staff representatives to make presentations to colleges, universities and technical colleges regarding OVR services and employment opportunities.
- Expand the quantity and types of internship programs with university programs.
- Leverage social media as a tool for recruitment.

Measures 6-B:

- Open positions are filled with qualified candidates.

**Progress:** The agency conducted a statewide outreach needs assessment in 2023 to determine the resources needed by staff to adequately represent the agency at outreach events. The agency coordinated with the Education and Labor Cabinet Office of Communication the development and design of needed resources and a process for securing the needed materials. In the future, OVR may add an additional dedicated person for the area of outreach. Currently, existing central office staff work with agency leadership on these initiatives. The agency does have an Outreach Team that coordinates the distribution of all printed and electronic documents for outreach. These items are vetted by the ELC Office of Communications prior to printing and distribution to staff. There are plans for the development of additional Outreach materials for the vendor groups. OVR maintains a social media presence on Facebook with pages dedicated for the agency as a whole and specific page for the Carl D. Perkins Vocational Training Center and the Division of Blind Services. This allows for the sharing of important information and updates with the public as well as opportunities to share success stories associated with the work and services the agency provides. The agency ensures that all protocol is followed regarding the release of identifying consumers for these Outreach initiatives.

Internships, fieldwork opportunities and job shadowing all continue to be recruitment and outreach tools for the agency. The agency works with educational entities to provide these opportunities for students. With the implementation of state raises at the agency level as well as statewide initiatives initiated by the governor, the agency has increased success in recruitment, filling positions, and retaining qualified candidates in positions.

**The Kentucky Office of Vocational Rehabilitation set the following goals for the distribution of Title VI, Part B Funds. Kentucky has set the following goals to assist with increase employment outcomes for adults and youth with a significant disability.**

**Goal 1:** Increase the number of CRP's providing Supported Employment Services

Objective 1.1: Recruit more providers for supported employment for unserved and underserved areas.

Strategies:

Create a strategic planning team to analyze and develop a viable and comprehensive payment system to community rehabilitation providers.

**Progress:** The CRP Branch Manager participated in multiple meetings with various states to discuss rates and rate setting. The CRP Branch Manager participated in the bi-monthly Community of Practice (CoP) meetings that addressed and explored rates from other state VR agencies from around the country. Various states provided information to CoP members pertaining to their rates for CRP related services. The CRP Branch Manager and staff developed and disseminated a CRP Sustainability Survey to obtain the perspectives and input of the CRPs. The CRP Branch Manager developed a rate revision proposal for supported employment based on the information obtained from the different sources of information. When exploring possible rate and payment system changes, consideration was given to changes that would increase engagement between the consumer, CRP, and VR staff. The proposal was submitted to OVR leadership and the Program Policy and Support Branch responsible for rate setting for consideration. At this time the proposal is under review.

Create Establishment Projects to replicate the UPS Transitional Learning Center model and expansion of the IPS and Customized employment models to increase a network of services providers.

**Progress:** OVR did not pursue establishment projects used to model the UPS Transitional Learning Center. OVR was a part of a pilot model was pursued and temporarily implemented between the employer, Kyosan Denso Manufacturing Kentucky, LLC (KDMK) and a local CRP that was funded through the current service fee memorandum payment structure. The pilot was discontinued due to staffing issues with the CRP.

There was a total of 8 contracts that were developed and implemented related to the expansion of IPS and Customized Employment. KY VR was successful in obtaining Rehabilitation Services Administration (RSA) approval for three (3) Customized and four (4) Individual Placement and Support (IPS) Establishment Project contracts. Additionally, a contract with the University of Kentucky's Human Development Institute (HDI) was created to provide technical assistance to the new IPS providers, which was vital and necessary to sustain the respective programs.

Increase Capacity in customized employment through participation in the Leadership Series through the University of Kentucky's Human Development Institute.

**Progress:** Through an existing contract with the University of Kentucky's HDI, KY VR was able to offer opportunities for CRPs to participate in the Leadership Series to acquire certification in customized employment under Marc Gold & Associates training Gateways. Establishment Project contracts for customized employment greatly increased participation within the Leadership Series.

Hold outreach opportunities for potential providers.

**Progress:** The CRP Branch has initiated conversations with VR Branch Managers and asked that they implement regular dialogue within their staff meetings that focuses on identifying potential providers in their respective areas. Information obtained from these meetings are to be shared

with the CRP Branch so that contact can be made to prospective CRPs throughout the state. Each CRP Branch Consultant would network with each prospective CRP to pursue and gauge interest in becoming a CRP.

5. Provide training on new polices related to customized employment, IPS, and person- centered planning.

**Progress:** The CRP Branch provides training to all new KY VR counselors during Skills Enhancement Training (SET). The CRP Branch has four (4) Consultants that provide training to staff throughout their respective areas address customized employment, IPS, and person-centered planning. The CRP Branch also provides various trainings and meetings to all CRPs throughout the state on these and other CRP related topics.

Measures:

Increase the number of providers by 5%.

**Progress:** The number of providers were not increased by 5%. In PY 2021-2022 there were a total of 110 CRPs and in PY 2022-2023 there were a total of 103.

Implementation of new service fees

**Progress:** A service fee was established for Extended Services, which is only for a youth with a disability between the ages of 14-21. Exploration of revisions to current supported employment rates did occur but no final revisions were implemented. Refer to #1 under Goal 1 for additional information.

### **Implementation of Establishment projects**

**Progress:** There was a total of seven (7) establishment project grants initiated. An additional contract was initiated to support the three (3) contracts pertaining to IPS with technical support, which is consistent with the evidenced-based model. The other four (4) contracts were designed to implement customized employment. Refer to #2 under Goal 1 for additional information.

# Of Trainings Provided

**Progress:** CRP Consultants provide quarterly trainings in their respective regions. That equates to 12 trainings per year that are provided regionally. Various consultants provided training at various conferences throughout the year. CRP Quarterly Meetings include subject matter experts to provide trainings to CRPs throughout the state. The CRP Branch provides multiple external training opportunities to CRPs through email correspondence. Each Employment Specialist is required to obtain 15 hours of CEUs annually when providing Supported Employment or Employment and Retention services. CRPs providing pre-Vocational services are required to have 5 hours of CEUs.

Increase in the number of competitive integrated outcomes for individuals in supported employment.

**Progress:** There was a total of 289 successful outcomes in supported employment in PY 2021- PY 2022. Although there were few providers in PY 2023, there were 391 successful outcomes in supported employment in PY 2022-2023. This is an increase of 26%.

Goal 2: Monitor Service Quality of Providers

Objective 2.1: Develop strategies for continuous quality improvement in collaboration with the Program Policy and Support Branch.

**Progress:** The Program, Policy and Support Branch created policies and procedures pertaining to audits, billing, and invoicing of contract providers. A systematic approach for fiscal and programmatic reviews are in place. Training for program administrators was provided.

Strategies:

Ensure agency compliance to WIOA requirements of Section 511 (annually)

**Progress:** OVR added additional staff under the Program, Policy and Support Branch to oversee compliance of Section 511 among 14C holders. Policies and procedures were developed to provide to aid staff in understanding and consistency of compliance related issues.

Ensure CRP compliance with the terms of their signed service agreements through annual audits and monitoring (annually).

**Progress:** CRP Branch Consultants conduct monthly audits of CRPs within their respective regions. They record detailed information on the Audit Review Form and provide feedback to the CRP. If significant issues surface through the audit process, then the CRP may have to participate in a Program Improvement Plan (PIP). Compliance issues are addressed throughout the year and discussed in monthly meetings held by the Consultants and reiterated in the CRP Quarterly Meeting.

Measures:

Annual Audits of Services

**Progress:** Each CRP Consultant conducts at least 1 audit per month, with 4 consultants, that totals 12 audits per year.

Corrective Action Plans Program Improvement Plans

**Progress:** There were two (2) Program Improvement Plans implemented in PY 2022-2023.

Scorecard

**Progress:** There have been challenges with generating scorecards in a manner that reflects accurate data. The CRP Branch Manager has communicated frequently with the Program, Policy, and Support Branch to address issues. Resolution is ongoing.

Goal 3: Seek alternative strategies for providing and funding Extended Services

Objective 3.1: Provide another source of extended services, is if available, so there will be no interruption of services for individuals with significant disabilities.

Strategies:

Seek input from staff and other stakeholders such as education, service providers and individuals with disabilities on extended services.

Identify potential strategies for the provision of services.

Identify potential funding sources. (2023)

Update the Supported Employment Service Fee Memorandum to include extended services to youth.

Measure:

Additional funding secured.

**Progress:** KY VR developed service fee codes for extended services for IPS, Traditional, and Customized Supported Employment services. Extended services are only to be used by youth with a disability between the ages of 14-21. VR is unable to use funding for extended services to adults participating in supported employment. KY VR participated in conversations regarding the 1915 (i) waiver to expand their service delivery coverage to include supported employment. If approved, those with the (i) waiver could access extended services after funding from VR.

2. PERFORMANCE ON THE PERFORMANCE ACCOUNTABILITY INDICATORS UNDER SECTION 116 OF WIOA FOR THE MOST RECENTLY COMPLETED PROGRAM YEAR, REFLECTING ACTUAL AND NEGOTIATED LEVELS OF PERFORMANCE. EXPLAIN ANY DISCREPANCIES IN THE ACTUAL AND NEGOTIATED LEVELS; AND

WIOA Section 116 (b) (2) (A) and its implementing regulations 34 CFR 361.155 (a) (1) establish the six primary indicators of performance. They are as follows:

Employment Rate in the 2nd Quarter After Exit

Employment Rate in the 4th Quarter After Exit

Median Earnings in the 2nd Quarter After Exit

Credential Attainment rate

Measurable Skill gains (MSG) Rate

Effectiveness in Serving Employers (Statewide)

Kentucky is committed to gathering the collective data required under section 116 of WIOA for all the core partners. KYSTATS and state agencies will work with the state board to ensure required reports for the performance accountability are completed to the best of the state's ability.

OVR is seeking Technical Assistance from the VRTAC-QE for employment and the VRTAC-QM for quality management. OVR has established the following goals that includes strategies that address OVR's performance on the WIOA accountability measures.

The RSA team has reviewed with Kentucky the quarterly data dashboards. RSA data rankings for PY 2022 for Kentucky are as follows: for the Median Earnings PY 20 OVR is in the 1st Quartile at \$7,768 (met); OVR is in the 2nd Quartile for the 2nd Quarter Employment rate at 59% (met); 4th quarter Employment Rate at 46.9% (met) in the 3rd Quartile and Credential Attainment Rate at 27.0% in the 4th Quartile (met); and for Measurable Skill Gains for PY22, OVR is in the 4th Quartile at 30.7% (not met).

OVR met all of the negotiated rates except for Measurable Skill Gains. The negotiated rate was 38%. OVR fell below the negotiated rates at 7.3%. OVR has provided staff training on timely data entry. This continues to be an area of needed improvement in order to accurately capture the attainment of measurable skill gains in the system. Another factor is the difficulty staff have in obtaining this information in a timely manner from VR consumers.

The current Kentucky OVR VR Case Management System (CMS): a web-based system used to collect required data, enforce workflow rules, verify data accuracy, authorize and pay for

consumer services, and produce a variety of monthly and real time reports; was implemented in October 2008. The system was designed to be fully accessible with particular attention to usability with screen reading technology - a goal that none of the “off the shelf” options for case management systems for vocational rehabilitation agencies could meet at the time.

The current CMS system has reached its useful life expectancy. OVR is in process of development of a new system with a vendor. In the interim, the current system is being modified to meet the data collection requirements for common measures as well as the additional data elements required for RSA 911 quarterly reporting. The current system has allowed for us to collect the necessary data and produce accurate reports prior to the due dates for Rehabilitation Services Administration and common measures reporting.

### 3. THE USE OF FUNDS RESERVED FOR INNOVATION AND EXPANSION ACTIVITIES (SECTIONS 101(A)(18) AND 101(A)(23) OF THE REHABILITATION ACT) (E.G., SRC, SILC).

OVR will use innovation and expansion funds to support the Statewide Council for Vocational Rehabilitation (SCVR), Kentucky’s SRC, including all meeting expenses and expenses related to conducting an annual survey of consumer satisfaction, the Annual Report of the council, the Comprehensive Statewide Needs Assessment, Establishment Projects and support of the Statewide Independent Living Council (SILC).

The Kentucky Office of Vocational Rehabilitation (OVR) will provide the amount of \$65,000 each year for innovation and expansion activities from Basic Support Grant Funds for the SILC. The SILC provided OVR a resource plan that outlines the funding allowable under 34 CFR 361.35 Innovation and Expansion Activities Resource Plans for Statewide Independent Living Councils. The funds will be utilized for the support of the salary of the SILC Coordinator and expenses of the Council. The Division Director of Blind services represents the agency on the Council. The SILC is now their own 501C 3.

### **Statewide Council for Vocational Rehabilitation Annual Report**

The recommended theme for the 2023 Annual Report was “Building On A Solid foundation” signifying the strength of OVR’s organizational foundation. That foundation is the belief that employment shall be considered the first and primary option for persons with disabilities of working age who desire to become employed. The annual report contained a summary of agency statistics, consumer stories and an overview of the agency programs and successes throughout the year.

### **OVR Satisfaction Survey**

Since 1996, the Human Development Institute (HDI) at the University of Kentucky has coordinated the annual Kentucky Office of Vocational Rehabilitation Consumer Satisfaction Survey at the request of the Statewide Council for Vocational Rehabilitation (SCVR). As part of federal requirements, OVR has collaborated with the SCVR and the HDI since 1996 to coordinate the annual OVR Consumer Satisfaction Survey (CSS). The most recent survey was for cases closed between October 2021– September 2022. The CSS was presented to the SCVR at the quarterly meeting on April 24, 2023. The sample of people randomly selected to participate was stratified to reflect the population of all consumers with cases closed in fiscal year 2022. IQS Research contacted consumers by email and/or telephone in January through March of 2023 to participate in the survey. A total of 1,042 individuals participated in the survey which was available as both a telephone and online survey, with responses included from each of the districts. Phone surveys accounted for 38.1% of responses and 61.8% of responses were collected via online surveys. The overall response rate for the survey was 23.8%. There was a



46% response rate via phone contacts and 18% via email contacts. HDI compiled the results, and the final report was reviewed by the SCVR Consumer Services and Program Evaluation Committee prior to HDI presenting to the entire council during the April 2023 quarterly meeting. A total of 1,042 individuals participated in the survey with responses received from each of the 19 field districts. The overall statewide consumer satisfaction was 88.8% with an average score of 3.49 on a four-point scale (1 = very poor, 2 = poor, 3 = good, and 4 = very good).

### **Comprehensive Statewide Needs Assessment (CSNA)**

OVR contracted with the University of Kentucky, Human Development Institute (HDI) to complete the triennial Comprehensive Statewide Needs Assessment (CSNA) to identify gaps in existing services that can be reduced through programs and policies by the OVR. A mixed method of online surveys and forums was used to collect insights about the rehabilitation needs of Kentuckians with disabilities. The insights gained from the CSNA will provide the information needed for the development of the State Plan for services. The Needs Assessment was carried out by OVR staff working with the staff and faculty at the Human Development Institute (HDI).

### **Establishment Projects**

OVR established contracts with four community rehabilitation providers for Individual Placement and Supports (IPS) projects for a four-year period. IPS is an evidence-based supported employment program, based on eight principles, including Rapid Job Development, Competitive Employment, Systematic Job Development, Integrated Services, Benefits Planning, Zero Exclusion, Time-Unlimited Supports and Worker Preferences. The IPS Model of Supported Employment has proven to be a successful approach for individuals with Serious Mental Illness and Substance Use. Funding through these contracts will be used to provide IPS Supported Employment (SE) for individuals with Serious Mental Illness (SMI), Substance Use Disorders, and also to individuals with intellectual and/or developmental disabilities. OVR will continue to be a partner in the IPS International Learning Collaborative and will provide data that may/can be used throughout partnering efforts.

OVR established contracts with three community rehabilitation providers for Customized Employment for a four-year period under the Marc gold & Associates model of customized employment. MG & A provides technical assistance and training in support of community inclusion of people with the most significant disabilities to national and state agencies, nonprofit and educational agencies that impact the lives of individuals with disabilities and their families.

### **Innovation**

OVR is committed to continuing the work of KYRETAIN sustaining key initiatives and promising practices to meet the needs of employers and workers in the prevention of job loss. OVR is currently engaged in sustainability planning to keep Kentuckians as valued, productive members of the labor force past the end date of the grant project. The program design is built around a rapid-response, interdisciplinary, and person-centered return-to-work/stay at work strategies that will result in higher rates of continued employment and lower rates of application for long-term Federal disability benefits. Return to Work Coordinators provide early intervention services aimed at getting employees back to work or to stay at work while navigating needed services. There will continue to be a strong emphasis on assistive technology, universal design and peer support. Currently the target population is workers with non-work-

related injuries and illnesses that have not applied for or are receiving federal disability benefits in keeping with the research design of the grant. Once the grant ends OVR will expand the eligibility criteria to serve all eligible applicants that need early return to work/stay at work services. The final year of the grant will be used to enable a smooth transition to an innovative systems change model in Kentucky VR.

**E. SUPPORTED EMPLOYMENT SERVICES, DISTRIBUTION OF TITLE VI FUNDS, AND ARRANGEMENTS AND COOPERATIVE AGREEMENTS FOR THE PROVISION OF SUPPORTED EMPLOYMENT SERVICES.**

**1. ACCEPTANCE OF TITLE VI FUNDS:**

(A) VR agency requests to receive title VI funds.

**2. IF THE VR AGENCY HAS ELECTED TO RECEIVE TITLE VI FUNDS, SECTION 606(B)(3) OF THE REHABILITATION ACT REQUIRES VR AGENCIES TO INCLUDE SPECIFIC GOALS AND PRIORITIES WITH RESPECT TO THE DISTRIBUTION OF TITLE VI FUNDS RECEIVED UNDER SECTION 603 OF THE REHABILITATION ACT FOR THE PROVISION OF SUPPORTED EMPLOYMENT SERVICES. DESCRIBE THE USE OF TITLE VI FUNDS AND HOW THEY WILL BE USED IN MEETING THE GOALS AND PRIORITIES OF THE SUPPORTED EMPLOYMENT PROGRAM.**

Funding will be used for the implementation of supported employment services throughout KY. Funds will be utilized through the current Service Fee Memorandum payment structure to Community Rehabilitation Program providers who provide supported employment services, which is currently based on an outcome payment system. More specifically, CRPs will receive payment for supported employment services when the consumer has worked in competitive integrated employment for thirty-days (30), sixty-days (60), and at ninety-days (90). If the consumer requires additional supported employment services beyond 90-days, then this may be provided by utilizing Additional Supported Employment Services. These payments are available for consumers who may require customized employment, Individual Placement and Support (IPS), which is an evidenced-based model of SE for individuals with Serious Mental Illness (SMI), or for those who may benefit from the more traditional model of SE. The rates used by KY VR are similar or higher than other states, which are designed to assist in obtaining new CRPs and creating higher sustainability among existing CRPs. For example, IPS now has 21 providers throughout the state and has now expanded to 76 counties.

**3. SUPPORTED EMPLOYMENT SERVICES MAY BE PROVIDED WITH TITLE 1 OR TITLE VI FUNDS FOLLOWING PLACEMENT OF INDIVIDUALS WITH THE MOST SIGNIFICANT DISABILITIES IN EMPLOYMENT. IN ACCORDANCE WITH SECTION 101(A)(22) AND SECTION 606(B)(3) OF THE REHABILITATION ACT, DESCRIBE THE QUALITY, SCOPE, AND EXTENT OF SUPPORTED EMPLOYMENT SERVICES TO BE PROVIDED TO INDIVIDUALS WITH THE MOST SIGNIFICANT DISABILITIES, INCLUDING YOUTH WITH THE MOST SIGNIFICANT DISABILITIES; AND THE TIMING OF TRANSITION TO EXTENDED SERVICES.**

Supported employment offers more than just the assistance needed to find and learn a job. It provides the necessary ongoing support to help an individual maintain employment. Kentucky has 89 supported employment providers throughout the state. Individualized strategies are also utilized to arrange for supported employment services outside of "organized programs" when necessary (i.e., coworkers at the job site may provide support paid for with various resources;

independent supported employment specialists may be hired, etc.). More than three-fourths of Kentucky's 120 counties have access to supported employment programs. The lack of accessible and dependable transportation often limits access to supported job opportunities.

Extended services are provided by each local supported employment program utilizing funds from a myriad of sources, including the Department for Behavioral Health, Developmental and Intellectual Disabilities (DBHDID), the Kentucky Council on Developmental Disabilities, city and county governments, United Way, fund-raising campaigns, PASS funding, Medicaid, Supports for Community Living Waiver funds, Michelle P waiver funds and other resources. Most programs utilize a combination of funding sources for the provision of extended services. Natural supports are encouraged (such as co-workers, peers, etc.) and are carefully monitored by the supported employment provider.

Kentucky OVR's partner, the Department of Behavioral Health, Developmental and Intellectual Disabilities (DBHDID), has developed a new Medicaid Waiver that would more adequately fund supported employment services for people with developmental disabilities. The Supports for Community Living Waiver 2 (SCL2) effective in 2014 calendar year increased the fee structure and modified the service definitions for supported employment. The Michelle P., ABI, and 1915 C waivers also pay for supported employment services.

Kentucky's supported employment programs have primarily served individuals with intellectual disability and individuals with chronic mental illness. This is largely due to greater availability of funding for extended services for these two groups. Individuals with other disabilities are served if funding for extended services are available and if the supported employment provider has the expertise to meet that individual's needs for employment training and support.

Kentucky has become the 12th state to participate in the Individual Placement and Support (IPS) model of supported employment, which is an evidenced-based practice. The goal is to demonstrate the effectiveness of the IPS model for supported employment for people with serious mental illness throughout Kentucky. In July 2011, four sites in Kentucky began pilot site implementation. In 2012, two sites were added. In 2013, three sites were added. In 2014 BHDDID required that all Community Mental Health Centers implement the IPS program as one of the four evidence-based practices required in their state plan. A Statewide Coordinator, employed through the University of Kentucky, Human Development Institute, oversees the pilot sites. In 2021, the OVR began the process to implement 4 Establishment Project contracts to expand IPS in KY. This initiative was successful and began implementation in March of 2023. Two of these contracts are designed to serve individuals with intellectual and developmental disabilities. This is an innovative strategy by KY VR, and information obtained through this process will be shared with other state VR agencies and countries within the national IPS Learning Community.

Currently there are 21 providers in KY that provide IPS supported employment services, which serves 76 of the 120 counties in Kentucky. OVR has implemented an agreement with the University of Kentucky for the purpose of increasing technical and fidelity monitoring to support new IPS providers. OVR will continue to explore establishment projects for prospective expansion initiatives with community rehabilitation providers as the existing contracts begin to phase out, which may not exceed four years.

The OVR and the Kentucky Division of Behavioral Health collaborate as Team Leading agencies for the project. The Kentucky Association for Persons in Supported Employment (KY APSE) has been successful in creating greater supported employment awareness among the legislators in

Kentucky's General Assembly. These awareness/advocacy efforts will continue with the goal of increased statewide funding allocations and possible supported employment legislation to create a more solid funding base for extended services.

QUALITY Pursuant to federal regulations, supported employment services provided by approved vendors must contain these elements: 1) competitive work; 2) integrated work settings; and 3) provision of extended services. To ensure that supported employment services are provided according to regulation, the following guidelines must be met:

1. Services will be provided to individuals with the most significant disabilities who have a documented need for supported employment services, including extended services.
2. Work will be performed on a full-time or part-time basis. Everyone in supported employment and his/her OVR counselor shall jointly establish in the IPE an appropriate goal for the number of hours per week that will maximize the individual's vocational potential.
3. Work must take place in integrated settings where most workers do not have disabilities.
4. Wages must follow the Fair Labor Standards Act. Each supported employee will have a goal of earning at least minimum wage. Kentucky's supported employment providers adhere to the following principles:
  - The supported employment concept assumes that all persons, regardless of degree of disability, have the capacity and should be afforded the opportunity to participate in real employment with appropriate support.
  - Emphasis is placed on recognizing and maximizing opportunities in the workplace rather than just providing skills training.
  - The purpose of the program is employment with all the general expectations of a job such as wages, job security, and performing meaningful work. Job Development rather than Job Placement is the focus.
  - Ongoing, extended services are tailored to meet the needs of the consumer.
  - Individuals are offered choices in the selection and maintenance of jobs. Decisions about appropriate services are made jointly with the individual and/or the family, the supported employment provider, and the VR counselor.
  - Integration on the job site is recognized as necessary and important.
  - Opportunities are available for non-work interactions with non-disabled workers. Interactions with non-disabled co-workers are a part of regular job responsibilities. "Natural supports" are developed and emphasized.

Extended services are proactive, not merely reactive. For example, plans are developed with individuals in anticipation of career advancement rather than merely waiting for a job loss, lay off, company closing, etc., before seeking other opportunities. The primary staff responsible for providing supported employment services are "job coaches," "job trainers," and/or "supported employment specialists." Positions are both full and part-time, depending on the size and service territory of the local provider. Training and Consultation for staff is provided by the Supported Employment Branch according to the needs of the provider. Completion of the Supported Employment Training Project is a requirement for all CRP Employment Specialists. This is funded through a Memorandum of Agreement between the Department of Behavioral

Health Developmental and Intellectual Disabilities and the OVR. The Supported Employment Training Project is conducted by the University of Kentucky's Human Development Institute.

Technical assistance is also provided by the OVR CRP Branch staff. A CRP manual and other policies and guidelines were developed for vocational rehabilitation counselors and CRP staff. These are periodically revised and updated so that staff may better understand the rehabilitation process regarding supported employment. Seminars, workshops, and training awareness sessions are arranged and/or participated in throughout the state with various agencies and organizations that can assist with funding, conversion, employment, and other related supported employment issues. Meetings of this nature are regularly held with such groups as The Arc of Kentucky, the Kentucky Commonwealth Council on Developmental Disabilities, Community Mental Health Centers, Kentucky Consortium for Values Based Training, KY APSE, Kentucky Rehabilitation Association, and others. The quality of supported employment outcomes is assessed individually. Such issues as Consumer satisfaction, earnings, benefits, employee and employer satisfaction, the degree of integration, availability of dependable transportation, co-worker support, socialization, work environment, and provision of support services are important. On a regular basis, the CRP Branch staff conducts technical assistance visits with each provider for quality assurance purposes. As well, each supported employment provider has established ongoing strategies to measure customer satisfaction.

EXTENT as a part of the eligibility determination process for the OVR services, supported employment will be considered as a possible vocational outcome for individuals with the most significant disabilities. The agency is now in an order of selection, serving all priority categories of services. The OVR will be able to provide supported employment services through approved vendors and/or individual providers.

These services include:

1. Development of a Person-Centered Employment Plan (PCEP). Vocational Profile, or Career Profile with recommendations for job- development;
2. Individually designed job development services, including assistance with customization, job carving, reasonable accommodation, technology and/or other support strategies;
3. Intensive on-the-job skills training and other support services provided by supported employment specialists and/or co-workers and employers;
4. Time-unlimited follow-up services (including regular contact with employer, trainee, parent, guardian, or others deemed appropriate) throughout the consumer's term of employment;
5. Other services needed to support the individual, such as travel, training, employment advocacy, non-employment advocacy, and counseling; and
6. Development of a Long-Term Support Plan, which includes an outline of the extended services to be provided, and a plan for review and update. The amount, frequency and type of services will be based on the needs of each individual once eligibility is established for supported employment. If off-job-site monitoring is determined to be appropriate, the monitoring, at a minimum, will consist of two meetings per month with the individual and one meeting each month with the employer. Extended services for individuals not considered as youth will be the responsibility of other state agencies, private organizations, and other sources of funding. These services will be considered and planned for prior to an individual receiving the services listed above. Vendor status

is not approved unless assurance is made of the availability of funding for extended services. If extended services are not fully assured at the onset of the IPE, the Vocational Rehabilitation counselor and the OVR CRP Branch staff will participate with the provider in planning for these services before the Vocational Rehabilitation case is closed.

The OVR conducted a statewide survey of field counselors to explore the need and availability of Customized Supported Employment services for individuals with the most significant disabilities. It was expected, due to Section 511 of WIOA, that there would be an increase in the need and demand for Customized Supported Employment Services. Fifty-two percent (52%) stated that there are Community Rehabilitation Program (CRP) providers in their area that provide CSE. However, 62% also stated that it's not readily available due to limited staff or oversized caseloads. Around 93% of the counselor's state that only 3 or fewer of their individuals have been able to utilize this service due to lack of availability. When asked if there was a need for CSE in their area, overwhelmingly, 85% stated that there was a need. Over 46% stated that they have at least 4 or more consumers on their caseloads that could benefit from CSE. Over 17% state that they have at least 8 or more consumers that need this service.

As a result, the OVR implemented 3 Establishment Project MOAs to assist in making this service readily available to individuals with the most significant disabilities in the areas of the state that need it most. As existing MOAs approach expiration, consideration will be given to new MOA recipients for continued expansion of customized employment. OVR is also exploring the implementation of a customized employment fidelity scale. The OVR CRP Branch staff participates in supported and customized employment Community of Practice meetings, which includes ongoing discussions pertaining to the development and implementation of fidelity scales.

The CRP Branch within the OVR is making this a main priority to ensure the needs of the individuals being served are met, which will assist them in accomplishing their vocational goals and dreams.

### **Timing of Transition to Extended Services**

Currently, transition from Title VI, Part B funds to various other individually determined funding sources begins 90-days post-placement in the job. The transition to extended services funding is completed (generally) after 90 days on the job. Monitoring of services continues for a minimum of 90 additional days to assure that the job is stable. The current model is under review. Consideration of a new payment structure is being explored for the purpose of building capacity and increasing sustainability among CRPs in all models of supported employment.

Extended services then continue by the provider indefinitely using funds other than Title VI, Part B. The VR case is closed when the supported employment provider, the VR counselor, and the consumer determine that stabilization has been achieved. Stabilization is measured for each individual by considering all circumstances including support needs, consumer choice and satisfaction regarding services, and employer feedback. Extended services are funded and made available without delay for youth with the most significant disabilities.

Extended Services are those services provided to individuals with the most significant disabilities, which include youth with the most significant disabilities. Services may be provided by a state agency, a private nonprofit organization, employer, or any other appropriate resource when the individual no longer receives support services from the agency. OVR will determine the need for and fund services on a case-by case basis dependent upon each individual's need for services. OVR will reserve and expend half (50%) of the State's allotment for the provision of

supported employment services and extended services to youth with the most significant disabilities.

Extended services will be available for youth without delay for a period not to exceed four years or until the youth no longer meets the definition of a youth with a disability. OVR will work with providers to ensure another source of extended services to youth are available so there will be no interruption of services for individuals with significant disabilities.

4. SECTIONS 101(A)(22) AND 606(B)(4) OF THE REHABILITATION ACT REQUIRE THE VR AGENCY TO DESCRIBE EFFORTS TO IDENTIFY AND ARRANGE, INCLUDING ENTERING INTO COOPERATIVE AGREEMENTS, WITH OTHER STATE AGENCIES AND OTHER APPROPRIATE ENTITIES IN ORDER TO PROVIDE SUPPORTED EMPLOYMENT SERVICES. THE DESCRIPTION MUST INCLUDE EXTENDED SERVICES, AS APPLICABLE, TO INDIVIDUALS WITH THE MOST SIGNIFICANT DISABILITIES, INCLUDING THE PROVISION OF EXTENDED SERVICES TO YOUTH WITH THE MOST SIGNIFICANT DISABILITIES IN ACCORDANCE WITH 34 C.F.R. § 363.4(A) AND 34 C.F.R. § 361.5(C)(19)(V).

The Office will seek to expand services to unserved and underserved counties as well as unserved and underserved disability groups, including youth with the most significant disabilities. We will encourage continuous improvement in supported employment by monitoring the state fiscal climate for opportunities to partner with KY APSE (Association for Persons in Supporting Employment First) to advocate for increased state funding for extended services.

OVR will continue to do the following:

1. Maximize existing dollars for extended services through collaborative agreements and contracts, increasing knowledge of Kentucky's plan for self-determination strategies, especially within the Medicaid Waiver (Supports for Community Living, Michelle P) programs;
2. Partner with local Community Mental Health Centers;
3. Recruit new Providers;
4. Provide training and technical assistance to new supported employment agencies;
5. Provide consultation and technical assistance to OVR staff and providers as needed; and
6. Research better ways to fund and/or deliver services.

Meetings with the Department of Behavioral Health and Developmental and Intellectual Disabilities (ID/DD) are ongoing to strengthen the partnership by leveraging funding to expand IPS SE services in unserved and underserved areas.

For example, the OVR worked diligently over a two-year period on development and implementation of Rehabilitation Services Administration (RSA) approved Establishment Project MOAs for the sole purpose of expanding IPS to individuals with serious mental illness and individuals with ID/DD. Four IPS MOAs were implemented in the spring of 2023. Two of which are designated for ID/DD. KY is one of just a couple of states in the country that is utilizing this evidenced-based model for individuals with ID/DD. KY OVR will assess and evaluate this initiative and report findings to the National IPS Learning Collaborative, so information can be used by other states who may be considering similar initiatives. Additionally, a contract was developed and implemented with the University of Kentucky's Human Development Institute for the purpose of strengthening the infrastructure for IPS

sustainability by expanding technical assistance support and fidelity monitoring. Through this contract, a State IPS Trainer and IPS Fidelity Monitor were hired to provide needed support for staff hired through the Establishment Project MOAs.

Additionally, the OVR developed Customized Employment initiatives and sought RSA approval for the implementation of three (3) Customized Supported Employment (CSE) Establishment Project MOAs for the purpose of expanding customized employment throughout Kentucky. Through an existing contract with the University of Kentucky's Human Development Institute (UK-HDI), training opportunities for employment specialists throughout the state were increased by implementing a training scholarship program. This allows Employment Specialists to apply for scholarships to participate in the Leadership Series, which provides training in Social Role Valorization, Discovery, Job Development, and Systematic Instruction with the last three offering certification opportunities.

The OVR established billing codes for extended services for youth who are participating in supported employment. The purpose of this billing method is to aid in the expansion of services to youth in supported employment with collateral benefits that address sustainability concerns among CRPs. Implementation of billing for Extended Services to youth in supported employment began in October of 2022.

Extended Services are those services provided to individuals with the most significant disabilities, which may include youth with the most significant disabilities. Services may be provided by the State agency, a private nonprofit organization, employer, or any other appropriate resource when the individual no longer receives support services from the agency. OVR will determine the need for and fund services on a case-by-case basis dependent upon each individual's need for services.

OVR will reserve and expend half (50%) of the State's allotment for the provision of supported employment services and extended services to youth with the most significant disabilities.

Extended services will be available for youth without delay for a period not to exceed four years or until the youth no longer meets the definition of a "youth with a disability". OVR will work with providers to ensure another source of extended services is available so there will be no interruption of services for individuals with significant disabilities.

The Office will collaborate with the Department of Behavioral Health, Developmental and Intellectual Disabilities (DBHDID) to expand supported employment options to unserved and underserved groups, as well as youth with the most significant disabilities without delay.

1. Participation in Commissions established as a result of state legislation, including Commission on Services and Supports for Individuals with an Intellectual Disability and other Developmental Disabilities (HB 144); Commission on Services and Supports to People with Mental Illness and Dual Diagnoses (HB 843); and the Advisory Council on Autism Spectrum Disorders.
2. Development of partnerships with Kentucky Medicaid Waiver Programs (Supports for Community Living, Michelle P, Home and Community Based Waivers, and Acquired Brain Injury Waivers) so that these sources of extended support funding can be fully utilized; and
3. Utilization of interagency workgroups to develop better understanding and expand awareness of work incentives (such as in SCL Waiver, Social Security, etc.).



4. Developing and implementing the IPS Supported Employment programs for consumers with severe mental illness within the community mental health centers.

**F. ANNUAL ESTIMATES**

Sections 101(a)(15) and 101(a)(23) of the Rehabilitation Act require all VR agencies to annually conduct a full assessment of their resources and ability to serve all eligible individuals before the start of the Federal fiscal year. In accordance with 34 C.F.R. § 361.29(b), annual estimates must include the following projections:

**1. ESTIMATES FOR NEXT FEDERAL FISCAL YEAR—**

**A. VR PROGRAM; AND**

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Priority Category (if applicable)	No. of Individuals Eligible for Services	No. of Eligible Individuals Expected to Receive Services under VR Program	Costs of Services using Title I Funds	No. of Eligible Individuals Not Receiving Services (if applicable)
1	19,168	16,676	18,252,882.56	0
2	5,717	4,974	5,376,894	0
3	907	789	588,988.50	0
4	29	25	4,407.50	0

**B. SUPPORTED EMPLOYMENT PROGRAM.**

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Priority Category (if applicable)	No. of Individuals Eligible for Services	No. of Eligible Individuals Expected to Receive Services under Supported Employment Program	Costs of Services using Title I and Title VI Funds	No. of Eligible Individuals Not Receiving Services (if applicable)
1 & 2	1,718	FY 2024 1,008	FY 2024 \$3,458,432	N/A

Priority Category (if applicable)	No. of Individuals Eligible for Services	No. of Eligible Individuals Expected to Receive Services under Supported Employment Program	Costs of Services using Title I and Title VI Funds	No. of Eligible Individuals Not Receiving Services (if applicable)
		FY 2025 1,038	FY2025 \$3,562,185	N/A

**G. ORDER OF SELECTION**

1. PURSUANT TO SECTION 101(A)(5) OF THE REHABILITATION ACT, THIS DESCRIPTION MUST BE AMENDED WHEN THE VR AGENCY DETERMINES, BASED ON THE ANNUAL ESTIMATES DESCRIBED IN DESCRIPTION (F), THAT VR SERVICES CANNOT BE PROVIDED TO ALL ELIGIBLE INDIVIDUALS WITH DISABILITIES IN THE STATE WHO APPLY FOR AND ARE DETERMINED ELIGIBLE FOR SERVICES.

\* VR agencies may maintain an order of selection policy and priority of eligible individuals without implementing or continuing to implement an order of selection.

The VR agency is not implementing an order of selection and all eligible individuals will be served.

2. FOR VR AGENCIES THAT HAVE DEFINED PRIORITY CATEGORIES DESCRIBE—

A. THE JUSTIFICATION FOR THE ORDER

OVR utilizes a multimodal approach to assessing the resources available to allow the agency to provide vocational rehabilitation services to all eligible individuals who apply, such as the following:

- Population data related to disability incidence;
- Short and long-term budgetary outlook;
- Short and long-term staffing projections;
- Comprehensive Needs Assessment;
- Waiting list for services;
- VR Counselor caseload size and expenditures; and
- SRC input Public Forum Input.

The agency carefully analyzes information from these sources to predict its ability to provide quality services to eligible individuals with disabilities as required by the Rehabilitation Act of 1973, as amended.

According to data from the 2021 American Community Survey (ACS), published in the Annual Compendium of Disability Statistics, 39% of Kentucky civilians living in the community report having a disability. According to this resource, Kentucky’s overall population is 3,414,123 people. Using the percentage in 2021 and applying it to the population numbers, there is an estimated 1,330,951 people in the state of Kentucky who have a disability. The overall rate of individuals with a disability in the United States is 28.3% for 2021. The rate in Kentucky is higher than the rate nationally by 10.7%. The percentage of residents of working age (18-64) in

Kentucky who are employed is 76% for 2021. The national average was 76.6% in 2021. In this instance of employment, the rate in Kentucky is slightly lower than the rate nationally.

In FFY 2021, 2022 and year to date FY 2023, agency staff along with fiscal and the State Council of Vocational Rehabilitation reviewed on a quarterly and often monthly basis data on numbers served and agency fiscal resources to determine the need to open or close categories. During FFY 2022 and year to date in 2023, budgets and fiscal resources were reviewed monthly by the agency Executive Leadership Team (ELT). Information was presented to the State Rehabilitation Council at each meeting.

**B. THE ORDER (PRIORITY CATEGORIES) TO BE FOLLOWED IN SELECTING ELIGIBLE INDIVIDUALS TO BE PROVIDED VR SERVICES ENSURING THAT INDIVIDUALS WITH THE MOST SIGNIFICANT DISABILITIES ARE SELECTED FOR SERVICES BEFORE ALL OTHER INDIVIDUALS WITH DISABILITIES; AND**

The priority categories to be followed in selecting eligible individuals to be provided VR services to ensure those individuals with the most significant disabilities are selected for services before other individuals with disabilities are as follows:

Category 1: Eligible individuals with a most significant disability and that limits three (3) or more functional capacities.

Category 2: Eligible individuals with a most significant disability that limits two (2) functional capacities.

Category 3: Eligible individuals with a significant disability that limits one (1) functional capacity.

Category 4: Eligible individuals with a non-significant disability.

**C. THE VR AGENCY'S GOALS FOR SERVING INDIVIDUALS IN EACH PRIORITY CATEGORY, INCLUDING HOW THE AGENCY WILL ASSIST ELIGIBLE INDIVIDUALS ASSIGNED TO CLOSED PRIORITY CATEGORIES WITH INFORMATION AND REFERRAL, THE METHOD IN WHICH THE VR AGENCY WILL MANAGE WAITING LISTS, AND THE PROJECTED TIMELINES FOR OPENING PRIORITY CATEGORIES. NOTE: PRIORITY CATEGORIES ARE CONSIDERED OPEN WHEN ALL INDIVIDUALS IN THE PRIORITY CATEGORY MAY BE SERVED.**

Once eligibility is determined, the significance or non-significance of the disability must be established. As part of the eligibility decision, the counselor determines whether the individual has a physical or mental impairment or combination of impairments that seriously limit one or more functional capacities in terms of employment outcome. In order to be considered significantly disabled, an individual is expected to require multiple vocational rehabilitation services, one of which is assumed to be vocational rehabilitation counseling and guidance.

Presumption of Eligibility for Social Security Recipients and Beneficiaries means that an individual who has been determined eligible under Title I or Title XVI of the Social Security Act is:

Considered to be an individual with a significant disability; and Presumed to be eligible for vocational rehabilitation services under Title I (provided the individual intends to achieve an employment outcome consistent with the unique strengths, resources, priorities, concerns, abilities, capabilities, interests, and informed choice of the individual) unless the office can demonstrate by clear and convincing evidence that such individual is incapable of benefiting

from vocational rehabilitation services in terms of employment outcome due to the severity of the disability of the individual.

If the Executive Director and State Rehabilitation Council determine that the agency lacks available funds and/or staff resources to serve all consumers, the office shall follow an order of selection to give priority for services according to a ranking of categories of consumers based on the severity of the disability. The Executive Director of the Office of Vocational Rehabilitation shall direct the order of selection by designating in written memorandum, the priority categories to be served.

Order of Selection will not use any of the following factors in determining eligible individual's residency duration, type of disability; age, gender, race, color, or national origin, source of referral, type of expected employment outcome, need for specific services or anticipated cost of services, or the income level of the individual or its family.

The order of selection shall be implemented on a statewide basis.

The order of selection shall be implemented to assure that eligible individuals with the most significant disabilities are provided services before other eligible individuals.

The order of selection shall not affect: a) the acceptance of referrals and applicants; b) the provision of assessment services to determine whether an individual is eligible for vocational rehabilitation services; c) the individual's priority under the order of selection; d) services needed by any eligible individual who has begun to receive services under an individualized plan for employment prior to the effective date of the order of selection, irrespective of the severity of the eligible individual's disability; and e) individuals requiring post-employment services. The office will ensure that all funding arrangements for providing services under the State plan, including third-party arrangements and awards under the establishment authority, are consistent with the order of selection.

An eligible individual shall be immediately reclassified into a higher priority category whenever appropriate justification exists in the case record of the individual.

The office shall conduct an assessment to determine whether an individual is eligible for vocational rehabilitation services and the individual's priority under the order of selection. The VR Counselor determines the eligibility of the individual and their priority category based on a review of the data from the assessment.

In the order of selection each eligible individual within a closed priority category shall be placed on a waiting list until such time as the priority category is opened. The process for the waiting list is as follows:

Once an individual has been determined eligible within a closed priority category by the Vocational Rehabilitation Counselor, the individual will receive notification through the counselor in writing of:

The individual's assignment to a particular category;

The priority categories currently being served;

The individual's right to appeal the category assignment and the availability of the Client Assistance Program (CAP);

Information and referral services; and

The individual is given the option to be placed on a waiting list by date of application until such a time the priority category can be opened, and the individual employment plan can be developed and initiated.

The waiting list will be maintained by the Director of Field Services and reviewed quarterly by both the Director of Field Services and the Regional Managers.

Consumers will be contacted annually to inform them the status of Order of Selection and their specific priority category. Additional information, (I & R) will be given. The consumer will be asked regarding their preference for remaining on the waiting list.

At the time when funds become adequate and a priority category will be opened, the following sequence of action will occur for those individuals in a closed category:

1. Priority Category Two (2) will be opened and individuals on the waiting list will be served by date of application.
2. The office will assure that eligible individuals, who do not meet the order of selection criteria for the priority categories, shall have access to services provided through the information and referral system in accordance with the 1973 Rehabilitation Act.
3. These services will include referral to other Federal and State programs including the statewide workforce investment programs. The process for this is as follows:
  - a. The agency will provide the individual with a notice of referral;
  - b. The notice will contain a point of contact for the program or service an individual is being referred to and any relevant information regarding services for the individual relating to the preparation, securing, obtaining or retaining of employment; and
  - c. Documentation of the nature and scope of information and referral services provided will be included in the individual service record and entered in the Case Management System (CMS).

Individuals who are presumed to be significantly disabled because they receive SSA benefits will be further assessed to determine if they meet the agency's criteria for "individual with a most significant disability."

Consumers making the decision not to be placed on a waiting list after they receive notification of their priority category will be closed. They will receive notification from their VR Counselor that their case will close and of their right to appeal the agency's decision, including information on how to contact CAP. The notification will include information on how they may reapply for services in the future if their circumstances change or if the agency makes changes to order of selection.

When a request for services by an eligible individual is affected by the order of selection, the individual shall be immediately notified of such in writing and provided with information on procedures for individual rights for appeal, and how the Client Assistance Program may provide help in the process.

Quarterly, the Executive Director, State Rehabilitation Council and Executive Leadership Team along with fiscal staff will reevaluate the agency circumstances to determine whether or not the agency's resources are sufficient in serving all individuals or if there is a need to implement, establish or make changes in Order of Selection. At such time that the agency finds it is able to

serve those individuals in any closed priority category, that category will be re-opened. If the Agency finds that they have the resources to serve some individuals but not all individuals in a priority category, the date of application will be utilized as a criterion for ranking individuals within a priority category. The timeline for this would be a year, unless the agency's financial situation should change, drastically. Circumstances that would allow this to occur include a decrease in the number of referrals or other sources that would result in additional funds, which could be utilized to serve these individuals.

When a priority category is to be opened for services, the Executive Director shall issue an implementing memorandum to staff, with instructions that appropriate services delayed under the order of selection may be provided.

**3. HAS THE VR AGENCY ELECTED TO SERVE ELIGIBLE INDIVIDUALS OUTSIDE OF THE ORDER OF SELECTION WHO REQUIRE SPECIFIC SERVICES OR EQUIPMENT TO MAINTAIN EMPLOYMENT?**

No.

**H. WAIVER OF STATEWIDENESS.**

The State plan shall be in effect in all political subdivisions of the State, however, the Commissioner of the Rehabilitation Services Administration (Commissioner) may waive compliance with this requirement in accordance with Section 101(a)(4) of the Rehabilitation Act and the implementing regulations in 34 C.F.R. § 361.26. If the VR agency is requesting a waiver of statewideness or has a previously approved waiver of statewideness, describe the types of services and the local entities providing such services under the waiver of statewideness and how the agency has complied with the requirements in 34 C.F.R. § 361.26. If the VR agency is not requesting or does not have an approved waiver of statewideness, please indicate "not applicable."

Not Applicable

**I. COMPREHENSIVE SYSTEM OF PERSONNEL DEVELOPMENT.**

In accordance with the requirements in Section 101(a)(7) of the Rehabilitation Act, the VR agency must develop and maintain annually a description (consistent with the purposes of the Rehabilitation Act) of the VR agency's comprehensive system of personnel development, which shall include a description of the procedures and activities the State VR agency will undertake to ensure it has an adequate supply of qualified State rehabilitation professionals and paraprofessionals that provides the following:

**1. ANALYSIS OF CURRENT PERSONNEL AND PROJECTED PERSONNEL NEEDS INCLUDING—**

**A. THE NUMBER OF PERSONNEL CURRENTLY NEEDED BY THE VR AGENCY TO PROVIDE VR SERVICES, BROKEN DOWN BY PERSONNEL CATEGORY; AND**

**B. THE NUMBER AND TYPE OF PERSONNEL THAT ARE EMPLOYED BY THE VR AGENCY IN THE PROVISION OF VOCATIONAL REHABILITATION SERVICES, INCLUDING RATIOS OF QUALIFIED VOCATIONAL REHABILITATION COUNSELORS TO CLIENTS;**

**C. PROJECTIONS OF THE NUMBER OF PERSONNEL, BROKEN DOWN BY PERSONNEL CATEGORY, WHO WILL BE NEEDED BY THE VR AGENCY TO PROVIDE VR SERVICES IN 5 YEARS BASED ON PROJECTIONS OF THE NUMBER OF INDIVIDUALS TO BE SERVED, INCLUDING INDIVIDUALS WITH SIGNIFICANT DISABILITIES, THE NUMBER OF PERSONNEL EXPECTED TO RETIRE OR LEAVE THE FIELD, AND OTHER RELEVANT FACTORS.**

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Note, please do not edit the table header or formatting. Only edit the table contents.

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Personnel Category	No. of Personnel Employed	No. of Personnel Currently Needed	Projected No. of Personnel Needed in 5 Years
Accountant	1	0	0
Adaptive Equipment Specialist	1	1	1
Administrative Branch Manager	1	0	0
Administrative Section Supervisor	4	0	0
Admissions Counselor	2	0	0
Assistant	95	3	4
Assistant Director	4	1	3
Bioptic Driving Instructor	2	0	1
Budget Support Specialist	1	0	0
Carpenter Finish	1	0	0
Consumer Services Coordinator	1	0	0
Deputy Executive Director	1	0	0
Disabilities Assistance Specialized Driver	3	0	1
District Food Operations Evaluator	2	0	0
Division Director	4	0	1
Dorm Counselor	4	0	0
Electronic Technician III	1	0	0
Employment Specialist	10	2	1
Executive Director	1	0	0
Executive Staff Advisor	1	0	0
Facilities Security Officer	6	0	1

Personnel Category	No. of Personnel Employed	No. of Personnel Currently Needed	Projected No. of Personnel Needed in 5 Years
Facility Administrator	1	0	0
Facility Maintenance Worker	3	0	0
Fiscal Manager	1	0	1
Grants Administrator	2	1	0
IL/OIB Specialist	9	0	2
Instructor	19	1	1
Interpreter I	1	0	0
Job Placement	4	0	0
Licensed Practical Nurse	4	1	0
Maintenance Manager	1	0	0
Mechanical Maintenance & Operations Technician	3	0	0
Nurse Supervisor	1	0	0
Occupational Therapist	3	1	0
Occupational Therapy Assistant	1	0	0
Office Support Assistant	2	0	0
Orientation & Mobility	2	0	0
Patient Aide I	3	0	0
Physical Therapist Assistant	1	0	0
Pre-ETS	6	0	0
Pre-ETS Specialist	1	0	0
Procedures Development Specialist II	1	0	0
Program Coordinator	2	0	0
Regional Program Manager	5	0	0
Registered Nurse	4	0	0



Personnel Category	No. of Personnel Employed	No. of Personnel Currently Needed	Projected No. of Personnel Needed in 5 Years
Rehabilitation Care Aide	1	1	0
Rehabilitation Technologist	6	0	0
Resource Management Analyst	6	0	1
Speech Pathologist	2	0	2
Staff Assistant	1	0	0
Therapy Program Assistant	1	0	0
Training Development Specialist	2	0	0
Voc Rehab Counselor	134	7	34
Voc Rehab Manager	27	0	0
Vocational Evaluator	1	0	0
VR Administrator	20	3	6
VR Specialist	1	6	0
Work Experience Coordinator	1	0	0

**D. RATIO OF QUALIFIED VR COUNSELORS TO CLIENTS:**

Kentucky OVR employed 134 qualified vocational rehabilitation counselors for this reporting period and had 44,929/134 active consumer cases for a 335 ratio of clients to counselors. This number includes potentially eligible cases in the amount of 15,568 so in removing that number it becomes 29,361/134 with a ratio of 219 client to counselor.

**E. PROJECTED NUMBER OF INDIVIDUALS TO BE SERVED IN 5 YEARS:**

Based on the latest estimated population for Kentucky from the U.S. Census Bureau, the National Center on Birth Defects and Developmental disabilities estimate of Kentucky adults in relation to the population, the 2021 Annual Disability Statistics Compendium population of Kentucky growth from 2017 - 2021, and agency consumer growth from 2022 - 2023 the projected number of consumers to be served over the next 5 years is 247,890.

**2. DATA AND INFORMATION ON PERSONNEL PREPARATION AND DEVELOPMENT, RECRUITMENT AND RETENTION, AND STAFF DEVELOPMENT, INCLUDING THE FOLLOWING:**

**A. A LIST OF THE INSTITUTIONS OF HIGHER EDUCATION IN THE STATE THAT ARE PREPARING VR PROFESSIONALS, BY TYPE OF PROGRAM; THE NUMBER OF STUDENTS**

ENROLLED AT EACH OF THOSE INSTITUTIONS, BROKEN DOWN BY TYPE OF PROGRAM; AND THE NUMBER OF STUDENTS WHO GRADUATED DURING THE PRIOR YEAR FROM EACH OF THOSE INSTITUTIONS WITH CERTIFICATION OR LICENSURE, OR WITH THE CREDENTIALS FOR CERTIFICATION OR LICENSURE, BROKEN DOWN BY THE PERSONNEL CATEGORY FOR WHICH THEY HAVE RECEIVED, OR HAVE THE CREDENTIALS TO RECEIVE, CERTIFICATION OR LICENSURE.

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Institute of Higher Education	Type of Program	No. of Students Enrolled	No. of Prior Year Graduates
University of Kentucky	Master of Counseling with a Clinical Mental Health Counseling (CMHC) or Rehabilitation Counseling (RC) Track	65 (43 in CMHC and 22 in RC)	18 (13 in CHMC and 5 in RC)
University of Kentucky	Undergraduate Interdisciplinary Disability Studies	17	7

B. THE VR AGENCY’S PLAN FOR RECRUITMENT, PREPARATION AND RETENTION OF QUALIFIED PERSONNEL, WHICH ADDRESSES THE CURRENT AND PROJECTED NEEDS FOR QUALIFIED PERSONNEL; AND THE COORDINATION AND FACILITATION OF EFFORTS BETWEEN THE VR AGENCY AND INSTITUTIONS OF HIGHER EDUCATION AND PROFESSIONAL ASSOCIATIONS TO RECRUIT, PREPARE, AND RETAIN PERSONNEL WHO ARE QUALIFIED, INCLUDING PERSONNEL FROM MINORITY BACKGROUNDS AND PERSONNEL WHO ARE INDIVIDUALS WITH DISABILITIES.

Recruitment for state government positions is coordinated through the Commonwealth of Kentucky Personnel Cabinet. The Cabinet advertises available positions on their website and shares the information with LinkedIn. In addition, all advertisements are shared statewide on the agency Kentucky KYOVR (KYOVR) listserv for those that may be interested in advancement opportunities or would like to share the information with others outside of the agency that may be interested in the applying, including agency consumers.

The agency developed a Diversity, Equity and Inclusion (DEI) Team which presented and had approved a Strategic Plan. Within the strategic plan the first goal is “Staff Diversity: Recruit, hire and retain a diverse and inclusive staff to provide quality services to Kentuckians with Disabilities.” The agency is committed to this effort and the cabinet is supportive of this initiative. As result of the successful team format and progress they have made on this initiative, the Education and Labor Cabinet is establishing a DEI Council, and our agency team lead will serve on this council on our behalf.

Additional recruitment occurs because of KYOVR collaboration with the University of Kentucky for fieldwork experiences as well as internships for students when there are available staff to assume the supervision responsibilities. Multiple KYOVR staff serve on the University of Kentucky Advisory Board and attend annual meetings and ad hoc meetings that may

occur. Participation this board allows the agency an opportunity to keep the university of apprised of agency goals, challenges and staffing needs while also allowing the university an opportunity to share their stats for the programs and provide updates to the KYOVR team.

In addition to the University of Kentucky Master of Counseling program, the agency also offers internship opportunities to other collegiate programs within the state that support degree programs in social work. With the ever-growing number of new hires from this related degree program, the agency is making efforts to provide exposure to our programs through additional university connections and fieldwork opportunities.

Retention of employees is being addressed in multiple ways. Pay equity has been addressed through agency supported increases, governor initiatives have created pay raises for all state employees and the agency promotes continuous development opportunities for career growth. In addition to agency efforts, the Education and Labor Cabinet now provides access to an Emerging Leaders Program that staff can apply to participate in for career development. Currently there are four agency staff participating in this initiative. Details regarding pay increase and other efforts are explained in subsequent paragraphs.

Retention issues surrounding pay have been addressed in multiple phases. In the spring of 2022, the agency was provided with approval from the Personnel Cabinet to bring all the current staff that were not already at the midpoint of their grade, to the midpoint. A new starting salary for all job classifications within the agency was created to enhance onboarding of new personnel. In addition to this change, the governor approved and provided an 8% increase for all state employees in July 2022 and another 6% was included in the budget for July 2023. The Governor announced in October 2023 that he has proposed the biennial budget to include a 6% increase in July 2024 and a 4% increase in July 2025 for all state employees. The midpoint raises increased starting salaries and additional pay increases through the Governor has made the agency more competitive in salaries and has helped stabilize agency retention. Some vocational rehabilitation professionals that left the agency due to pay have returned to their former positions. Exit interviews with departing staff prior to the raises indicated that the employees were leaving because of pay and not because of the work or the work environment and the return of these employees appears to verify that finding.

In addition to the raises that have taken place across the agency and state government, the Commonwealth of Kentucky Personnel Cabinet was charged by the legislators with reviewing all job classifications in the Commonwealth to ensure the relevance of the classification and the proper grading of the position based on the requirements of the job. Some reviews have resulted in increased pay for staff based on the education and experience required to fulfill the knowledge and skills for the position. The Personnel Cabinet has completed their review of all vocational rehabilitation specific positions. The reviews resulted in pay increases for the Vocational Rehabilitation Managers and Vocational Rehabilitation Specialists. The Vocational Rehabilitation Counselor classification series was changed from the former three classifications of "Vocational Rehabilitation Counselor, Vocational Rehabilitation Counselor Certified I and Vocational Rehabilitation Certified II" to two classifications. The two positions are now titled "Voc Rehab Counselor" and "Voc Rehab Counselor Certified". There was no downgrading or demotions because of the collapsing of the classifications. Those that qualified for higher level positions based on their qualification and certifications were automatically moved to their new title and grade. Those that did not have a change in their grade did not receive a pay increase nor did their job change, only their job title. The certified counselor classification requires the individual to be a Certified Rehabilitation Counselor.

The agency currently utilizes contract employees to provide additional supports for service delivery. This resource is used to supplement temporary needs but has historically been utilized due to the non-competitive salaries offered in the state positions for professional positions. The agency is reviewing this practice along with the current payrates of contracted professional services to determine if returning these professionals to the state system is achievable. These include such positions as interpreters and rehabilitation technologists. Professional services for mental health counselors, psychiatrists, and psychologists are and will be contracted through universities for services as needed. Temporary staff will continue to be utilized in high turnover positions such as cooks and second and third shift employees at our centers.

The Governor's Minority Management Trainee Program (GMMTP) is a state leadership program that assists in recruitment, preparation and retention within state agencies. GMMTP is a twelve-month transformational leadership development program designed to provide guidance and leadership development opportunities for minority employees in the merit system. A flagship program, the GMMTP has garnered respect and attention as a model for retaining and promoting minorities within state government. Staff interested and eligible for this program are encouraged to apply.

C. DESCRIPTION OF STAFF DEVELOPMENT POLICIES, PROCEDURES, AND ACTIVITIES THAT ENSURE ALL PERSONNEL EMPLOYED BY THE VR AGENCY RECEIVE APPROPRIATE AND ADEQUATE TRAINING AND CONTINUING EDUCATION FOR PROFESSIONALS AND PARAPROFESSIONALS:

I. PARTICULARLY WITH RESPECT TO ASSESSMENT, VOCATIONAL COUNSELING, JOB PLACEMENT, AND REHABILITATION TECHNOLOGY, INCLUDING TRAINING IMPLEMENTED IN COORDINATION WITH ENTITIES CARRYING OUT STATE PROGRAMS UNDER SECTION 4 OF THE ASSISTIVE TECHNOLOGY ACT OF 1998; AND

II. PROCEDURES FOR THE ACQUISITION AND DISSEMINATION OF SIGNIFICANT KNOWLEDGE FROM RESEARCH AND OTHER SOURCES TO VR AGENCY PROFESSIONALS AND PARAPROFESSIONALS AND FOR PROVIDING TRAINING REGARDING THE AMENDMENTS TO THE REHABILITATION ACT MADE BY THE WORKFORCE INNOVATION AND OPPORTUNITY ACT.

The agency believes that a well-trained professional staff is essential in providing quality services to individuals with disabilities and achieving competitive integrated employment outcomes for agency consumers. Training plans are based on federal laws, RSA monitoring findings, agency strategic plan, case reviews, continuous improvement initiatives, training needs assessment, staff and consumer input.

The agency utilizes both in-person and online resources for training from internal and external sources. Onboarding for the State of Kentucky, the Cabinet and KYOVR now includes web-based trainings offering more timely engagement. All the required trainings must be completed within 30 days of employment. These include Anti-Harassment, Workplace Violence Prevention, State Government Ethics, Security Awareness for Technology, Performance Evaluation Orientation and Accurate Time Reporting.

Skills Enhancement Training (SET) is the agency new employee orientation program. A new format has been developed to ensure that staff receive the two-week required training within the first 6 months of employment. This training occurs at least 4 times during the calendar year or as often as needed to accommodate new hires. Agenda items include Laws and Regulations, Organizational Structure, Specific Disabilities, Pre-Employment Training Services/Transition, Case Management, Referral and Application, Social Security, Eligibility, Follow Up and Case

Closure, IPE's, Kentucky Business Enterprise Program, Diversity, Cost Sharing, Employer Services, Assistive Technology, Mental Health Issues, Visual Impairments, Deaf and Hard of Hearing Services, Kentucky Retaining Employment and Talent after Injury/Illness Network Retain (KY RETAIN), Engagement and information on both of the centers. To further enhance the new employee knowledge of the agency, two (2) of the sessions are held at the centers to showcase their programs for consumers and provide new staff with a tour of the facility. With the reformatting of SET, participants that completed the orientation training five (5) or more years ago are encouraged to attend the trainings again. Future plans are to require this "Re-Setting" at a minimum of every (5) years. Upon completion of the training the agency sends out an assessment survey to evaluate the training provided. Plans are moving forward to include a repeat assessment survey after 6 months to evaluate the usefulness of the training provided in their daily job duties.

New employees are also required to take a recently updated online training on the Client Assistance Program (CAP) developed in 2023 by the coordinator of that service. The training provides an overview of the services provided to consumers and processes for consumers to enlist the services of CAP if needed.

In April 2023 the agency conducted an assistant training focusing on the duties and responsibilities of the staff that provide support to the counselors and other agency other staff. In May 2024 the agency will conduct a statewide training for all employees providing 3 days of in-person presentations and workshops. A statewide training team with representation from all agency divisions is in place to work with the central office training team to develop an agenda that ensures the provided content applies to all classifications within the agency for pertinent professional development.

The agency counselor mentor program has grown into a program that is an essential component of successful new employee orientation for agency VR Counselors. New counselors receive training and guidance from a trained KYOVR Counselor Mentor. The rehabilitation counselor mentoring program was implemented in June 2002 with pilot programs and has been active since the completion of the pilot in 2003. Currently there are 21 counselors involved in the program. A Counselor Mentor Leadership oversees all aspects of this program including policies, procedures, recruitment, training materials and implementation of the annual training program for this group. The team consists of an administrator from central office, two field managers (one representing services to the blind and the other representing all other disability services) and appointed counselor mentors with required mentoring experience. There are 11 out of 19 districts represented within the mentoring program. Certified mentors are voluntary and receive no additional pay for their services. They are required to undergo additional training to maintain their mentor credentials. The development of the skills and knowledge required to perform this specific role provides an opportunity to build their resume' and prepares them to assume other leadership roles within the agency.

Eligibility requirements for an individual to apply for the KYOVR Counselor mentor program area as follows: an applicant must have the minimum of a bachelor's degree in a field of study reasonably related to vocational rehabilitation, such as vocational rehabilitation counseling, social work, psychology, disability studies, business administration, human resources, special education, supported employment, customized employment, and economics. An applicant must also have a minimum of three (3) years of experience as a Vocational Rehabilitation Counselor, a Rehabilitation Counselor for the Blind (RCB), or a Rehabilitation Counselor for the Deaf (RCD) for the state of Kentucky if they are a CRC and submit a recommendation from their supervisor. If the applicant is not a CRC, they must have 5 years of experience. The applicant

must have successfully completed probation. Applicants must complete a questionnaire with essays regarding their reasons for applying for the mentor program and submit a sanitized case that reflects their best casework. When the case is reviewed, the team reviews the application to determine if the deadline for submission was met, the appropriate documents for the application were provided, the case was sanitized and that the case contains the required documents as per federal law and agency policy. The Mentor Leadership Team reviews the application and case provided to determine admission into the program. If approved, the applicant attends an orientation that contains an overview of the mentor guide. All mentors are required to attend annual training designed by the mentor leadership team to hone their skills and knowledge for the mentoring process. The pandemic and salary discrepancies are variables that have impacted our ability to provide consequential data regarding the formal mentoring process on retention and improved competitive integrated employment outcomes. KYOVR leadership has charged the mentoring team to refocus their review to include updated data tracking the impact of this program on the areas identified.

In 2020 the agency was selected to participate in the Center for Innovative Training in Vocational Rehabilitation, an RSA grant through George Washington University. The introduction for the VR Development Groups YesLMS program is one benefit of participation in this grant as it provided staff access to an already developed VR specific training in an online format. In addition, to the training already developed, the agency training staff and staff in the counselor mentor program worked with Interworks from San Diego State University as a part of the CIT-VR grant to develop a Kentucky specific training for new counselors. In an ongoing effort to stay aware of trends and training developments, agency training staff regularly participate in the Community of Practice (CoP) meetings for Training Coordinators and Directors. Participation in the CoP allows agencies to share and receive information on innovative research, trainings, and materials available.

Due to the benefit and success of the YesLMS use, the agency contracted for access to this resource for all agency staff. This system provides staff access to already developed VR specific training in an online format. All trainings developed by the VR Development Group have certified rehabilitation counselor credits approved and available upon successful completion of the courses and quizzes associated. The system houses a large course library and developers continue to upload new relevant courses as they become available. Additionally, the system allows KYOVR to add agency specific courses to the library. Leadership and management staff can assign additional courses from the library to staff as needed. This is particularly beneficial when staff are dealing with development issues where training is available to assist them with being more successful in their work life. We find that this system is not only helpful to new employees, but also allows the agency to offer advanced training opportunities from national resources to all staff to broaden their 21<sup>st</sup> century knowledge of workforce innovations, systems and professional advancements.

The Carl D Perkins Vocational Training Center (CDPVTC) Commission on Accreditation of Rehabilitation Facilities (CARF) certified which requires their employees to take training for certification compliance. These trainings include: Ethics and code of conduct, Education to stay current in the field, Education to reduce identified physical risks, Health and safety, Infectious diseases, Transportation safety, Onboarding (only new employees), Workforce development activities, Cybersecurity / HIPPA, Performance measurement (only new, managers staff), Use of positive interventions (student behavior), and Disability Awareness. The trainings offered online are a tremendous supplemental support for training offered onsite at the center.

Professional continuing education credits for assistive technology professionals occurs annually when the agency partners with the Kentucky Assistive Technology System (KATS) Network and Protection and Advocacy to coordinate a statewide training. The content includes current best practices, emerging trends and issues related to the various aspects of assistive technology. The Summer Assistive Technology Workshops are attended by KYOVR staff, AT professionals, educators, Occupational Therapists, Physical Therapists, and other professionals that have in interest in or contact with AT. KYOVR administers the KATS Network, the Commonwealth's Assistive Technology program. Rehabilitation Engineering and Assistive Technology Society of North America (RESNA) continuing education credits were offered as part of the training to ensure that all agency rehabilitation technology staff maintain the required credits for continuance of their professional certification.

The agency also encourages staff to utilize the training offered through other entities within and outside of state government. This type of information is disseminated via email to all staff. One partner in this endeavor is the University of Kentucky Human Development Institute (UKHDI) from the University of Kentucky. Employees also utilize the webinar series topics offered by UKHDI during a spring, summer and fall training program. Topics of 2023 included: Disability Pride: What's In a Name?, Traumatic Brain Injury; What is it and how does it manifest?, Oh, the Places You'll Go! – Transportation access in Kentucky, "The Art of the Grant Proposal" and Leadership in our Backyard: The History and Power of Advocacy in our State.

College and university level classes are highly encouraged for staff though the agency does not provide educational assistance currently. Obtaining an education degree may result in a reclassification if the reclassification also includes an increase in material duties assumed by the employee. The agency shares information with staff regarding formal educational training such as the Master of Rehabilitation Counselor degree. Included in the information are details about scholarships and grants that may be available to assist with educational expenses.

Agency staff are encouraged to participate in the Leadership and Diversity Conference hosted by the Kentucky Personnel Cabinet Office of Diversity Equality and Training. The most recent training took place in September 2023. As with many other conferences, this one took place in a virtual format which created a positive outcome of more employee participating in the event.

Information regarding research and training pertinent to all vocational rehabilitation professionals and paraprofessionals is disseminated via email to all staff. In addition, the Executive Staff Advisor responsible for training, maintains a calendar of all training that has been disseminated along with a folder in a shared drive for all staff that contains a copy of all announcements that have been distributed along with any supporting documentation. Resources that have been shared throughout 2023 are from the following sources: National Institute on Disability, Independent Living, and Rehabilitation Research (NIDILRR), Rehabilitation Services Administration (RSA), Vocational Rehabilitation Technical Assistance Center (VRTAC), National Technical Assistance Center on Transition: The Collaborative (NTACT:C), Workforce GPS, Office of Special Education Programs (OSEP), Office of Disability Employment Policy (ODEP), and the University of Kentucky Human Development Institute (HDI).

KYOVR makes every effort to have representation at and participate in national, regional, and state training events. In 2023 KYOVR staff represented the agency at the following conferences: National Rehabilitation Association Annual Conference, , Kentucky Rehabilitation Association Annual Conference, Kentucky Association of Persons for Supported Employment Conference, Kentucky Individual Placement and Support Conference, Assistive Technology Workshop, Kentucky Governor's Conference on Leadership, Equality, Accessibility and Diversity, Sagebrush

Conference for Randolph-Sheppard, Council of State Administrator of Vocational Rehabilitation, National Council of State Agencies for the Blind, National Federal for the Blind, American Federation for the Blind, VR Technical Assistance Webinars, Kentucky Chamber of Commerce Inclusive Workforce Summit and Southeast Rehabilitation Institute on Deafness. Additionally, we have staff participate in the National Rehabilitation Leadership Institute that provides them with additional knowledge to share with staff based on shared ideas that learn within the program.

The agency provides training opportunities to address identified needs from the respective supervisors or as determined based on case review processes and advancements in the field of rehabilitation. Staff are supported in attending associational meetings for the rehabilitation professions such as Kentucky Rehabilitation Association and Association for Persons for Supporting Employment 1st. Staff participated in the Kentucky Chamber of Commerce's Inclusive Workforce Summit in 2023. Presentation titles included, Disability Inclusion Strategies in the Workplace, Getting Comfortable with Disability, Employment First Kentucky, The Impact of Work on Health, Using Universal Design from the Starting Gate as a Key to an Inclusive Workforce, Kentucky Retaining Employment and Talent after Injury/Illness Network Retain (KY RETAIN): The Study, the Network, the Capacity Building, Preparing Youth and Young Adults with Disabilities for the Workforce, Resources Employers Can Use Today, The Disability Equality Index, and Innovative Supports for Autistic Workers.

3. DESCRIPTION OF VR AGENCY POLICIES AND PROCEDURES FOR THE ESTABLISHMENT AND MAINTENANCE OF PERSONNEL STANDARDS CONSISTENT WITH SECTION 101(A)(7)(B) TO ENSURE THAT VR AGENCY PROFESSIONAL AND PARAPROFESSIONAL PERSONNEL ARE ADEQUATELY TRAINED AND PREPARED, INCLUDING—

A. STANDARDS THAT ARE CONSISTENT WITH ANY NATIONAL OR STATE-APPROVED OR -RECOGNIZED CERTIFICATION, LICENSING, REGISTRATION, OR OTHER COMPARABLE REQUIREMENTS THAT APPLY TO THE PROFESSION OR DISCIPLINE IN WHICH SUCH PERSONNEL ARE PROVIDING VR SERVICES; AND

B. THE ESTABLISHMENT AND MAINTENANCE OF EDUCATION AND EXPERIENCE REQUIREMENTS, IN ACCORDANCE WITH SECTION 101(A)(7)(B)(II) OF THE REHABILITATION ACT, TO ENSURE THAT THE PERSONNEL HAVE A 21ST CENTURY UNDERSTANDING OF THE EVOLVING LABOR FORCE AND THE NEEDS OF INDIVIDUALS WITH DISABILITIES.

The KYOVR defines a “Qualified Vocational Rehabilitation Counselor” as one who meets the following criteria, based on the Kentucky Personnel Classification for vocational rehabilitation counselor positions.

1. A Certified Rehabilitation Counselor (CRC) is preferred.
2. Master’s degree from an accredited university in master’s degree in rehabilitation, rehabilitation teaching or therapy, guidance and/or counseling, psychology, sociology, orientation and mobility, social work, special education with emphasis in vocational counseling or a related; OR
3. Meets the Kentucky Personnel Cabinet standard for a Vocational Rehabilitation Counselor. This position requires the individual to be a graduate of a college or university with a master's degree in rehabilitation, rehabilitation teaching or therapy, guidance and/or counseling, psychology, sociology, orientation and mobility, social work, special education, education with emphasis in vocational counseling, disability studies, behavioral science, human services, vocational assessment, addiction counseling, or a related field. There is a substitution clause



that allows for a bachelor's degree plus two years of professional experience in rehabilitation, rehabilitation counseling, rehabilitation teaching or therapy, vocational assessment, employer relations, rehabilitation technology, vocational evaluation, supported employment, job placement, guidance and/or counseling, psychology, sociology, orientation and mobility, social work, special education, education with an emphasis in vocational counseling, customized employment, health studies, human relations/resources, addiction studies, occupational therapy, physical therapy, school counseling or a related field will substitute for the required master's degree.

Based on the above criteria of Vocational Rehab Counselor, all employed vocational rehabilitation counselors meet or exceed the criteria.

The qualifying certification for the certified position is the Certified Rehabilitation Counselor (CRC).

Managers for vocational rehabilitation counselor positions are required to meet the minimum qualification for their position and are encouraged to obtain their CRC. Currently 84% of our VR counselor managers are also Certified Rehabilitation Counselors.

Certifications required for professional and para-professional positions are supported by the agency through continuing education opportunities provided inhouse as well as other pertinent local, state, and national level training. A broader access to national training is now achieved with the implementation of online training initiatives through a variety of resources. Staff with a desire to achieve a certification in their profession are supported in the preparation phase of their efforts and with examination fee support on a onetime pass or fail basis.

Primary certifications currently utilized within KYOVR are as follows:

- Certified Rehabilitation Counseling (CRCC/CRC)
- Assistive Technology Professional (ATP/RESNA),
- Certified Interpreters (R)
- Certified Driver Rehabilitation Specialist (CDRS)

The agency also has need of professionals to fulfill medical and specialized services provided at Carl D. Perkins Vocational Training Center and the Charles McDowell Center. To fulfill those needs there are additional licensed or certified personnel such:

- Driver and Traffic Safety Training Certification - for those that provide on-the-road driver instructions to students.
- Certified Daycare Director - for the childcare program
- Orientation and Mobility (COMS)
- Kentucky Professional Teaching - for the vocational instructors
- Certified Speech Pathologists
- Certified Public Account
- Certified Maintenance Employees and Drivers- plumbing, electric and CDL
- Nursing Staff

Some critical services in the residential facilities must be contracted to provide specialized counseling services and those include.

- Licensed Clinical Social Worker
- Licensed Alcohol and Drug Abuse Counselor
- Licensed Psychologist

The agency training developers consistently share virtual and in-person training opportunities with staff and maintain a calendar of all of the events for easy information access for staff. Professional and paraprofessional positions are provided with supports necessary to maintain their required continuing education for their respective fields and the agency provides financial assistance for the maintenance of required professional certifications. The training team ensures that all courses developed internally provide associated professional certification for continuing education hours. Individuals seeking their credentials in their profession are supported through examination fees and are considered for reclassifications as appropriate based on their academic and professional certification changes.

Online training options are provided through the YesLMS system library and has titles available on various topics that can provide staff with a better understanding of the evolving labor force and the needs of individuals with disabilities. The inclusion of these national trainings in the system broadens 21<sup>st</sup> century knowledge and awareness on a national level for our agency staff.

#### 4. METHOD(S) THE VR AGENCY USES TO ENSURE THAT PERSONNEL ARE ABLE TO COMMUNICATE IN APPROPRIATE MODES OF COMMUNICATION WITH OR IN THE NATIVE LANGUAGE OF APPLICANTS OR ELIGIBLE INDIVIDUALS WHO HAVE LIMITED ENGLISH SPEAKING ABILITY.

The agency is committed to established practices that ensure that staff is trained and knowledgeable of resources to assure consumers receive the appropriate communication resources to fully participate in agency processes and programs. Consumers in need of interpreting or communication assistance services have resources provided as part of their vocational rehabilitation process.

The agency has designated counselors with specialized skills assigned to handle caseloads serving individuals who are deaf, deaf/blind, blind and visually impaired. Recruitment of individuals with specialized skills occurs utilizing the Commonwealth of Kentucky Personnel Cabinet through their online job's portal. Classifications for these positions specifically outline the necessary skills required to fill the position.

Supporting the development of additional resources for communication is also part of the agency processes. Specifically, the Deaf and Hard of Hearing Services Branch actively provides internship and volunteer opportunities for students graduating from the American Sign Language (ASL) program at Eastern Kentucky University and those graduates that need training hours for their certification. This gives the graduates a chance to learn and gain exposure to working within the state agency as an employee or serving as in an ASL contracted employee for the state.

#### 5. AS APPROPRIATE, DESCRIBE THE PROCEDURES AND ACTIVITIES TO COORDINATE THE DESIGNATED STATE UNIT'S COMPREHENSIVE SYSTEM OF PERSONNEL DEVELOPMENT WITH PERSONNEL DEVELOPMENT UNDER THE INDIVIDUALS WITH DISABILITIES EDUCATION ACT.

The KYOVR agency coordinates its CSPD plan to ensure the standards and qualifications of our personnel coordinate with personnel development under the Individuals with Disabilities Education Act (IDEA), and the standards under the Rehabilitation Act, as amended.

The Kentucky Interagency Transition Council meets on a quarterly basis to address continued fulfillment of the Kentucky Interagency Agreement on Transition Services for Youth with Disabilities. The KYOVR and the Department of Education are two of the eleven state agencies that are parties to the agreement. One of the provisions of this agreement is cooperative training and staff development concerning transition issues. KYOVR staff attend Community Work Transition training offered by the University of Kentucky's Human Development Institute (HDI). Rehabilitation counselors work collaboratively with high school education teachers, local directors of special education, and Employment Specialists for students transitioning from high school into employment. KYOVR Counselors attend Individual Education Plan (IEP) and Admissions and Release Committee (ARC) meetings working with the team in establishing a vocational goal. This assures the development of the students IEP in conjunction with the vocational rehabilitation Individualized Plan for Employment (IPE). KYOVR provides support to teaching instructors, school staff and Employment Specialists regarding rehabilitation issues and other areas of agency staff expertise such as Assistive Technology to ensure successful placements. Often rural schools do not have the needed resources; therefore, KYOVR staff offer their expertise based on the individual needs of the student working closely with all staff involved with IDEA.

#### J. COORDINATION WITH EDUCATION OFFICIALS.

In accordance with the requirements in Section 101(a)(11)(D) of the Rehabilitation Act—

##### 1. DESCRIBE PLANS, POLICIES, AND PROCEDURES FOR COORDINATION BETWEEN THE DESIGNATED STATE AGENCY AND EDUCATION OFFICIALS RESPONSIBLE FOR THE PUBLIC EDUCATION OF STUDENTS WITH DISABILITIES, THAT ARE DESIGNED TO FACILITATE THE TRANSITION OF THE STUDENTS WITH DISABILITIES FROM THE RECEIPT OF EDUCATIONAL SERVICES IN SCHOOL TO THE RECEIPT OF VOCATIONAL REHABILITATION SERVICES, INCLUDING PRE-EMPLOYMENT TRANSITION SERVICES.

The OVR Transition Services Branch will coordinate with education officials on a state and local level in the planning and implementation of the provision of Pre-Employment Transition Services (Pre-ETS) and Transition services to students with disabilities. The branch consists of one (1) Branch Manager, three (3) Program Administrators, one (1) Administrative Specialist, and six (6) Pre-ETS Coordinators. The Branch Manager oversees all branch activities and represents the agency on inter-agency teams. The Program Administrators coordinate and monitor Pre-ETS and Transition services throughout the state inclusive of the Community Work Transition Program, including specific contracts with service providers. The Administrative Specialist provides clerical support to the branch. The Pre-ETS Coordinators work with Potentially Eligible students in their specific regions. They collaborate directly with schools and providers to receive referrals, coordinate Pre-Employment Transition Services, and monitor the progress of Potentially Eligible students to help determine if/when it is appropriate for a student to apply for OVR services. The Pre-ETS Coordinators transfer the Potentially Eligible students' cases to VR Counselors who determine eligibility for services and develop Individualized Plans for Employment.

Branch Staff are currently working on the revision of policies and procedures for the branch. OVR staff will receive training on all policies to assure to timely implementation of service

delivery and the effective coordination of services. OVR has a focus on internal controls for the areas of documentation and accurate data entry to ensure the efficacy of reporting.

OVR works with many agencies to provide transition services and pre-employment transition services to students with disabilities. This is inclusive of the blind and visually impaired and the deaf and hard of hearing populations. All of the collaborations described below allow for transition and pre-employment transition services to be provided by either OVR or our partners.

OVR provides the following five required pre-employment transition activities:

1. Job Exploration Counseling
2. Work Based Learning
3. Counseling on Post-Secondary Opportunities
4. Workplace Readiness Training
5. Instruction in Self -Advocacy

OVR has assigned a VR Counselors and Pre-ETS Coordinator to each of Kentucky's 171 Local Education Agencies including the School for the Deaf and the School for the Blind for the purpose of ensuring that all students with disabilities are served. The counselors work with referrals from special education and general education staff as well as the individual with a disability, their family, and other agencies who assist students with disabilities who are in need of transition services. These counselors coordinate and authorize transition services for students with disabilities, age who are eligible for VR services. The counselors also provide general coordination, information, and outreach activities about vocational rehabilitation services to the local education agency and student for use in transition planning. OVR Pre-employment Transition Services Coordinators work in conjunction with the VR counselor in the provision of services. Pre-ETS Coordinators receive referrals from services providers, schools, students, and families for students who are Potentially Eligible for VR services. Pre-ETS Coordinators approve and monitor students Pre-ETS activities to help determine when it is appropriate for the student to apply for VR services. Service coordination activities may also include resource information about vocational rehabilitation, presentations, handouts, and staff development. The VR Counselor and Pre-ETS Coordinators collaborate with the local education agency to develop the transition services section of the Individualized Education Program (IEP) and the Individualized Plan for Employment (IPE) for transitioning students. Both the IEP and IPE will include, if appropriate, a statement of interagency responsibilities or any needed linkages by which the responsibilities of other entities are satisfied.

The student should be prepared to enter the competitive integrated workforce following the provision of needed services, as reflected on the IPE. The student should have ample opportunity to participate in Pre-employment Transition Services before they graduate. The OVR Counselor along with the Pre-Employment Transition Services Coordinators will engage in providing services that would be most beneficial to an individual in the early stages of employment exploration, such as counseling and self—advocacy training. These services are provided to students who are eligible or who are potentially eligible for VR services.

OVR partners with the public-school districts, Department of Education and the University of Kentucky Human Development Institute to provide transition services and pre-employment transition services through the Community Work Transition Program (CWTP). The CWTP is designed to provide Pre-employment Transition Services and transition services to students

with the most significant disabilities to assist them in transitioning from high school to competitive integrated employment. Employment Specialists, funded by the local education agency, refer students to OVR in order to provide pre—employment transition services during their final three years of school. The CWTP contracts with the individual school districts to hire employment specialists to provide students with employment exploration and experiences, community-based evaluation, work experience and job placement while in high school.

OVR has a contract with the Jobs for America's Graduates (JAG) to provide Pre-employment Transition Services to students with disabilities in the school system. JAG is a state-based national non- profit organization dedicated to preventing dropouts among young people who have serious barriers to graduation and/or employment.

Additionally, OVR has contractual agreements with three of the nine special education cooperatives for the provision of Pre-employment Transition Services. Community Rehabilitation Providers may provide Pre-ETS through a Service Fee Memorandum.

Transition Services Branch staff work directly with the Kentucky Interagency Transition Council. These involvements help facilitate all of the partner's understanding of the unique transition needs of students with disabilities and assists in understanding the educational process of Public Schools in the State.

The Kentucky School for the Blind (KSB) serves students with visual disabilities from across the state. Students can live and attend classes at the school's Louisville location, or receive outreach services while attending their local elementary, middle and high schools. Staff in specialized positions actively participates in the vocational planning and academic progress of all of these students through collaboration and assistance with KSB's Community Based Instruction Program, and services such as vocational assessments, and annual Individual Education Plans. Staff collaborates on a variety of work-readiness and work-experience programs with KSB such as the Summer Work Program and The World of Work Program that provides work-based learning experiences in a competitive, integrated settings.

The Kentucky School for the Deaf (KSD) provides education to deaf and hard of hearing students from elementary through high school levels. It is a residential program in Danville, KY that also provides outreach services to students in their local schools. Vocational services include opportunities to prepare for work or continued education in the high school curriculum. An OVR Rehabilitation Counselor for the Deaf is assigned to students on campus.

Rehabilitation Counselors for the Deaf are proficient in American Sign Language and serve individuals who are deaf and hard of hearing and use this type of communication. Rehabilitation Counselors for the Deaf are also skilled in serving people who have vision limitations in addition to a hearing loss or deafness. Individuals who are deaf and use American Sign Language are served by a Rehabilitation Counselors for the Deaf. There are Rehabilitation Counselors for the Deaf statewide to provide OVR services.

The Office of Vocational Rehabilitation also has staff trained regarding the limitations that people with hearing loss may experience. These Communication Specialists receive specialized training regarding ways to serve individuals who are hard of hearing or late deafened with auditory/oral communication. This includes training regarding Hearing Aid technology and Assistive Listening Devices.

The State Coordinator of Deaf-Blind Services (SCDB) works with, consults, and provides technical assistance to KY Office of Vocational Rehabilitation (OVR) staff including the Rehabilitation Counselors for the Blind (RCB), Rehabilitation Counselors for the Deaf (RCD), and

Communication Specialists. Other staff include Managers, Blind Services Division Staff, and various other administrators within OVR. The SCDB also maintains relationships for service delivery with staff from the Helen Keller National Center (HKNC), Kentucky Commission for the Deaf and Hard of Hearing (KCDHH), The Kentucky Deaf-Blind Project, KY Mental Health Services for the Deaf and Deaf-Blind, Kentucky Association of Deaf-Blind (KADB), and several other Community Rehabilitation Providers (CRP). Kentucky has one of the largest Deaf-Blind census numbers with approximately 49,000 known individuals listed as being Deaf-Blind in the State. The SCDB also coordinates, plans, and oversees training and support for staff that work with this population.

INSIGHT - Post-secondary Preparation Program for Students Who Are Blind or Significantly Visually Impaired is a collaborative project between the Kentucky Educational Development Corporation Special Education Cooperative, Kentucky School for the Blind, Kentucky School for the Blind Charitable Foundation, the Office of Vocational Rehabilitation, MCP Orientation and Mobility Services, and Morehead State University. INSIGHT is a unique program designed to provide college bound students an opportunity to experience some of the challenges encountered when entering a university or community college. Participants gain an increased awareness of the educational, recreational, and social opportunities and challenges of the post-secondary environment.

Staff also participates with the Kentucky Deaf-Blind Project, which helps promote cooperative transition services for youth who are deaf-blind. OVR has a Deafblind Coordinator who is responsible for helping to facilitate pre-employment transition services, including all the previously described work readiness and summer work experience programs, for this population of students. OVR collaborates with the Kentucky Deaf-Blind Project to provide a weeklong summer camp for eight to nine students who are Deaf-Blind that addresses the five required Pre-Employment Transition Services. This program is unique to Kentucky, and other Deaf-Blind Projects across the nation are interested in replicating it in their states.

The PATH Program is a Pre-employment Transition Services program held either through a virtual platform or at the McDowell Center in Louisville, KY. This program is conducted in collaboration with the University of Kentucky's Teacher Preparation Program in Visual Impairments. Through the University of Kentucky, practicum students from the teacher preparation program are able to assist with the providing the Pre-employment Transition Services to up to fifteen blind or visually impaired students from across the state. The University of Kentucky also provides staff such as Orientation and Mobility Specialists that assist the McDowell Center staff provide the five required Pre-employment Transition Services.

Workforce Development Boards: OVR counselors actively participate on their local Workforce Development Board's Youth and One Stop committees to enhance and make accessible the programs and services for transition age consumers.

KY AHEAD is a professional organization whose purpose is to promote communication among professionals in post-secondary education in order to improve the development and implementation of services for persons with disabilities. Campus Disability Services Centers are an essential resource for students with disabilities attending post-secondary educational institutions. VR counselors maintain relationships with disability service center staff and strongly encourage college students to utilize the services available at the centers so that they can receive individualized accommodations for their coursework. Every effort is made to arrange for a student to meet with staff at the disability center prior to entry into a post-secondary program in assuring a smooth transition for the individuals.

The Kentucky Special Education Cooperative Network consists of nine special education cooperatives located across the state. These cooperatives were formed to better meet the needs of the multiple school systems across Kentucky's 120 counties. All 171 local school districts, and the Kentucky Schools for the Blind and Deaf are members of a special education cooperative. Each cooperative has VI teachers and an AT specialist to assist students with visual needs. The school districts employ other specialty service providers such as Orientation and Mobility Specialists, Physical Therapists, and Speech Therapists. OVR works collaboratively with each cooperative network across the state in the provision of information and referral for students of all ages.

2. DESCRIBE THE CURRENT STATUS AND SCOPE OF THE FORMAL INTERAGENCY AGREEMENT BETWEEN THE VR AGENCY AND THE STATE EDUCATIONAL AGENCY. CONSISTENT WITH THE REQUIREMENTS OF THE FORMAL INTERAGENCY AGREEMENT PURSUANT TO 34 C.F.R. § 361.22(B), PROVIDE, AT A MINIMUM, THE FOLLOWING INFORMATION ABOUT THE AGREEMENT:

A. CONSULTATION AND TECHNICAL ASSISTANCE, WHICH MAY BE PROVIDED USING ALTERNATIVE MEANS FOR MEETING PARTICIPATION (SUCH AS VIDEO CONFERENCES AND CONFERENCE CALLS), TO ASSIST EDUCATIONAL AGENCIES IN PLANNING FOR THE TRANSITION OF STUDENTS WITH DISABILITIES FROM SCHOOL TO POST-SCHOOL ACTIVITIES, INCLUDING PRE-EMPLOYMENT TRANSITION SERVICES AND OTHER VOCATIONAL REHABILITATION SERVICES;

B. TRANSITION PLANNING BY PERSONNEL OF THE DESIGNATED STATE AGENCY AND EDUCATIONAL AGENCY PERSONNEL FOR STUDENTS WITH DISABILITIES THAT FACILITATES THE DEVELOPMENT AND IMPLEMENTATION OF THEIR INDIVIDUALIZED EDUCATION PROGRAMS (IEPS) UNDER SECTION 614(D) OF THE INDIVIDUALS WITH DISABILITIES EDUCATION ACT;

C. THE ROLES AND RESPONSIBILITIES, INCLUDING FINANCIAL RESPONSIBILITIES, OF EACH AGENCY, INCLUDING PROVISIONS FOR DETERMINING STATE LEAD AGENCIES AND QUALIFIED PERSONNEL RESPONSIBLE FOR TRANSITION SERVICES AND PRE-EMPLOYMENT TRANSITION SERVICES;

D. PROCEDURES FOR OUTREACH TO AND IDENTIFICATION OF STUDENTS WITH DISABILITIES WHO NEED TRANSITION SERVICES AND PRE-EMPLOYMENT TRANSITION SERVICES. OUTREACH TO THESE STUDENTS SHOULD OCCUR AS EARLY AS POSSIBLE DURING THE TRANSITION PLANNING PROCESS AND MUST INCLUDE, AT A MINIMUM, A DESCRIPTION OF THE PURPOSE OF THE VOCATIONAL REHABILITATION PROGRAM, ELIGIBILITY REQUIREMENTS, APPLICATION PROCEDURES, AND SCOPE OF SERVICES THAT MAY BE PROVIDED TO ELIGIBLE INDIVIDUALS;

E. COORDINATION NECESSARY TO SATISFY DOCUMENTATION REQUIREMENTS SET FORTH IN 34 C.F.R. PART 397 REGARDING STUDENTS AND YOUTH WITH DISABILITIES WHO ARE SEEKING SUBMINIMUM WAGE EMPLOYMENT; AND

F. ASSURANCE THAT, IN ACCORDANCE WITH 34 C.F.R. § 397.31, NEITHER THE SEA NOR THE LOCAL EDUCATIONAL AGENCY WILL ENTER INTO A CONTRACT OR OTHER ARRANGEMENT WITH AN ENTITY, AS DEFINED IN 34 C.F.R. § 397.5(D), FOR THE PURPOSE OF OPERATING A PROGRAM UNDER WHICH YOUTH WITH A DISABILITY IS ENGAGED IN WORK COMPENSATED AT A SUBMINIMUM WAGE.

**A. Consultation and technical assistance, which may be provided using alternative means for meeting participation (such as video conferences and conference calls), to assist educational agencies in planning for the transition of students with disabilities from school to post-school activities, including pre-employment transition services and other vocational rehabilitation services;**

The Kentucky Office of Vocational Rehabilitation has a current Memorandum of Understanding with the Kentucky Department of Education that was signed in September of 2022 and will remain in effect for three years. Within this agreement are strategies for the two agencies to work collaboratively in evaluating, serving, and planning for a seamless transition from school for students with disabilities who are eligible or potentially eligible for Vocational Rehabilitation (VR) services. The intended result of these collaborative strategies and activities is that students will achieve their post-secondary goals as they make the transition from school to adult education, competitive integrated employment (including customized employment and supported employment), continuing and adult education, independent living, and community participation. Signed agreements are in place with the local educational agencies. These agreements are updated annually, and they outline and identify the responsibilities of each party for the provision of services. These agreements are designed to facilitate the transition of students with disabilities from the receipt of educational services in school, to the receipt of vocational rehabilitation services.

Currently OVR, HDI (the Center for Excellence at the University of Kentucky) and KDE are meeting monthly to address policy and procedural changes to address the Community Work Transition Program and transition services, pre-employment transitions services, data sharing agreements and a clear identification of each of the roles of the partners involved in the agreement.

OVR receives ongoing technical assistance from the National Technical Assistance Center on Transition for the area of pre – employment transitions services. NTACT staff provide guidance to assure we have a clear understanding and interpretation of the regulations and any other federal guidance received from the Rehabilitation Services administration. Based on feedback from NTACT and the results of monitoring reviews from other states, OVR is working on implementing a stronger internal controls system. OVR staff will be responsible for monitoring the delivery of pre-employment transition services provided by other entities to ensure the quality of services provided and the accurate reporting of services. Contractual agreements are in place so that OVR has more involvement in the approval of services for students with disabilities. OVR's current case management system and the ability to pull accurate information through the Web Intelligence program has not been as strong as it could be. OVR is currently in the process implementing a new case management system.

The Office participates with the Kentucky Department of Education (KDE) and 21 other state agencies on the Kentucky Interagency Transition Council (KITC) in the coordination among agencies in the delivery of transition services. OVR Transition Services Branch staff are members of KITC and participate in quarterly council meetings. OVR provides ongoing technical assistance to providers of transition services and pre-employment transitions services. OVR and KDE each have staff serving as team leads on a subcommittee of KITC that meets monthly to work towards improving transition services throughout Kentucky.

The Executive Director of the Office of Vocational Rehabilitation (OVR) was appointed to serve as a voting member of the State Interagency Council (SIAC) for Services and Supports to Children and Transition-Age Youth. The Executive Director or a designee attends monthly SIAC meetings to collaborate on the matters of the council as it relates to youth who are Kentucky



students with disabilities. The monthly SIAC meetings give OVR the opportunity to collaborate, plan and develop on going partnerships with other state agency representatives who serve mutual individuals with disabilities. KDE also has representation on the SIAC.

Regional OVR representation has been established for the Regional Interagency Councils (RIAC) for the system of care to have consistent OVR representation. There is a total of 18 RIAC's across the commonwealth. An OVR regional representative attends monthly RIAC meetings to establish partnership with state, public and community agencies to address concerns that families have within the regions of Kentucky. OVR regional representation supports the momentum of the system level work that is occurring statewide. Strategies are set in place to promote a spectrum of effective, community-based services and supports for children and transition-age youth, with at-risk behavioral health needs or other challenges, and their families that: are organized into a coordinated network; builds meaningful partnerships with families and youth and addresses their cultural and linguistic needs in order to help them function better at home, in school, in the community, and throughout life.

OVR and the Kentucky Department of Education continues to meet quarterly with interested interagency partners and serve as the catalyst for development and implementation of an infrastructure which supports youth with disabilities to transition from high school to post-secondary school and employment. Pre-Employment Transition Services will continue to represent the earliest set of services available under OVR for students with disabilities, which are short-term in nature and are designed to help students identify career interests.

OVR continues its work in expanding its relationship with the Kentucky School for the Deaf. A group of stakeholders is part of an Engage for Change group in Kentucky. This is a national effort through the National Deaf Center on Postsecondary Outcomes. OVR maintains strong relationships with the KY Deaf-Blind Project and the Kentucky School for the Blind, and the programs with these partners are frequently reviewed to improve the quality of these services.

**B. Transition planning by personnel of the designated State agency and educational agency personnel for students with disabilities that facilitates the development and implementation of their individualized education programs (IEPs) under section 614(d) of the Individuals with Disabilities Education Act;**

Under IDEA, schools are responsible for initiating transition planning at the age of 16 for each student identified with a disability. In Kentucky, as stated in Kentucky Special Education Regulation 707, KAR 1:320, Section 7:1, transition planning can start in the child's 8th grade year or when the child turns age 14, or earlier if the ARC deems it appropriate, in alignment with the child's Individual Learning Plan (ILP). The Memorandum of Understanding between OVR and KDE outlines general responsibilities of both parties related to transition planning for students with disabilities through the provision of information and technical assistance to local education agencies.

Since school faculty and staff are academic specialists, it is very important for the VR counselor to have early influence on the student's vocational future helping to avoid weak or unrealistic vocational training. The VR counselor acts as a vocational specialist forging the educational and future vocational needs of the child realistically together. The VR counselor is educated on the federal and state laws associated with transition and acts as an advocate for the student and parents. VR counselors attend transition related meetings as early as age 14 and act as a consultant in the student's IEP. Early contact and intervention not only save the VR counselor considerable time and effort, but it also allows the student and parents the opportunity to plan a realistic vocational path that will lead them to the vocational goal of their choice.

VR counselors attend student IEP meetings starting at age 14. The school system will continue to have the primary responsibility for accommodations and student's educational needs. Once the student graduates OVR will become the primary agent. It is mandatory that the IPE be developed with the student 90 days after eligibility or prior to graduation, whichever comes first.

An IPE is developed for each student determined eligible and that meets the current order of selection for vocational rehabilitation services. The IPE should address the student's pre-employment transition services needs in the areas of job exploration counseling, work-based learning experiences, counseling regarding post-secondary training opportunities, workplace readiness training to assist in the development of social and independent living skills, and instruction in self-advocacy.

OVR recognizes that it is the responsibility of Kentucky schools and OVR to coordinate and provide transition planning and services for students with disabilities. The VR counselor will provide consultation and technical assistance to assist the school as well as pre-employment transition services based on the student's needs. OVR recognizes that transition planning is an ongoing process and that a student may choose to go in a different direction requiring a change in their vocational goal. Ongoing exploration, work exposure, and vocational counseling will be provided to assist students in the decision-making process.

**C. The roles and responsibilities, including financial responsibilities, of each agency, including provisions for determining State lead agencies and qualified personnel responsible for transition services and pre-employment transition services;**

The Memorandum of Understanding between OVR and KDE clearly states that each entity is, "financially responsible for the services they provide under their own laws and rules."

Additionally, Memoranda of Agreements at the local level are used in order to further the collaborative efforts detailed in the interagency cooperative agreement between the Kentucky Department of Education and the agency. These memoranda of agreements will define the basic tenets of the Community Work Transition Program (CWTP).

The rights and responsibilities of OVR and the local education agency for implementing and carrying out the CWTP are also detailed in these memoranda of agreements. OVR authorizes payment of services needed to determine eligibility and for any services provided that do not fall under the responsibility of the school district. OVR provides payment for pre-employment services such as job exploration counseling, work-based learning experiences, counseling on post-secondary education, workplace readiness training and instruction in self-advocacy.

**D. Procedures for outreach to and identification of students with disabilities who need transition services and pre-employment transition services. Outreach to these students should occur as early as possible during the transition planning process and must include, at a minimum, a description of the purpose of the vocational rehabilitation program, eligibility requirements, application procedures, and scope of services that may be provided to eligible individuals;**

Outreach and involvement of the VR agency begins at age 14. OVR assigns VR Counselors to each school district to provide information regarding transition services, including Pre-employment Transition Services, and to accept referrals of students with disabilities. Local Education Agencies provide lists of students with Individualized Education Plans (IEP) and 504 Plans to VR staff and/or service providers. VR Staff or providers contact these students to encourage participation in transition services, including Pre-employment Transition Services.

OVR obtains a list of the number of students between the ages of 14 and 21 per county that are accessing modified instructional materials due to their visual disability. Rehabilitation Counselors for the Blind receive information regarding the number of students that receive these materials to help identify where unserved students are located in the school districts. Staff conduct outreach to school staff, inclusive of Teachers of the Visually impaired to strengthen partnerships and increase awareness of available services. This includes pre-employment transition services.

The CWTP is designed to provide pre-employment transition and transition services to all students with significant disabilities to assist in transitioning from high school to competitive integrated employment. Employment Specialists, funded by the local education agency, refer students to OVR for services.

Should the student need individualized transition services during this time, OVR counselors work with the Employment Specialists to ensure that community vocational services provided lead to the completion of an individualized vocational evaluation and the development of individualized programs (IEP and IPE) to ensure successful transitioning from high school to post school activities, including employment. Upon completion of the IPE, further community—based vocational services are provided to the student in the form of training for the planned vocational goal. The desired outcome for participants in the CWTP Transition Services is a post—school outcome or competitive, integrated employment.

Outreach to students also occurs through OVR’s contractual agreements with Jobs for America’s Graduates (JAG) and three of the Special Education Cooperatives for pre-employment transition services. Additionally, local Community Rehabilitation Providers who provide Pre-employment Transition Services through a Service Fee Memorandum, also provide outreach to students in local schools.

Jobs for Kentucky’s Graduates (JAG KY) operates its curriculum program in conjunction with the Kentucky Office of Vocational Rehabilitation to service students in their program who have disabilities and who are potentially eligible and/or eligible for the Office of Vocational Rehabilitation. JAG provides a curriculum for in-school youths with disabilities who have significant barriers to success that includes academic, physical, psychological, work related, and/or environmental barriers to success. The curriculum will include career development, job attainment, job survival, basic skills, leadership and self-development, personal skill, life survival skills, and workplace and economic empowerment. The JAG KY curriculum will also include presentations by local VR staff to encourage students to apply for OVR services. JAG KY employs and certify Specialist who are assigned to the schools that have a JAG KY Program through Kentucky.

The Kentucky Special Education Cooperative Network consists of nine (9) Special Education Cooperatives located across the state.

- Central Kentucky Educational Cooperative (CKEC)
- Green River Regional Educational Cooperative (GRREC)
- Greater Louisville Education Cooperative (GLEC)
- Kentucky Educational Development Corporation (KEDC)
- Kentucky Valley Educational Cooperative (KVEC)
- Northern Kentucky Cooperative for Educational Services (NKCES)

- Ohio Valley Educational Cooperative (OVEC)
- Southeast/Southcentral Education Cooperative (SESC)
- West Kentucky Educational Cooperative (WKEC)

OVR has the opportunity to enter into contracts with each of the Educational Cooperatives. Upon contract implementation, Pre-employment Specialists are hired by the cooperatives to provide the five required services to qualified students through individual and group activities. The activities will be determined by individual student need(s). The Cooperatives collaborate and utilize the student's individual education program (IEP), the student need(s), or the ARC committee decisions to determine what Pre-employment activities the students need. Outcomes are determined by multiple data points, such as evidence of participation and evaluation of readiness and engagement in the activities.

The Community Rehabilitation Programs (CRP) provide Pre-employment Transition Services on a Fee Schedule in groups or to individual students. Proposals for the provision of pre-employment services are submitted to the OVR Transition Services Branch. CRP programs may provide the five required pre-employment services: Job exploration counseling, work-based learning experiences, post-secondary counseling, workplace readiness training, and self-advocacy. CRPs provide in-school and after-school Pre-employment Transition Services.

**E. Coordination necessary to satisfy documentation requirements set forth in 34 CFR part 397 regarding students and youth with disabilities who are seeking subminimum wage employment; and**

The Memorandum of Understanding between OVR and KDE references Section 511 of the Workforce Innovation and Opportunities Act (WIOA) which requires OVR to perform certain actions prior to an employer paying an individual a wage that is below the standard minimum wage (subminimum wage).

OVR ensures that all OVR staff are trained to understand the process that a youth (24 or under) with a disability must complete prior to entering a subminimum wage employment:

1. Youth must be determined eligible.
2. Youth must have an approved Individualized Plan for Employment.
3. Youth must have worked toward their vocational goal for a reasonable amount of time with appropriate supports, without success and have their OVR case closed.
4. Pre-employment transition services and/or Transition services, supported employment and/or customized employment are provided as appropriate.
5. Career Counseling is provided and information regarding resources and other available programs in support of competitive integrated employment.

OVR provides subminimum wage facilities within the Commonwealth access to:

- A Career Counseling video that is to be shown to individuals according to the requirements set forth in WIOA.
- The Career Counseling Participation Form is completed on each individual and provided to the Community Rehabilitation Program (CRP) Branch of OVR, per Federal requirement.

- Offer multiple Pre-Employment Transition Services (Pre-ETS) opportunities for youth with a disability to ensure that this WIOA mandate is met.
- Provides individuals with available resources in their community to help with services for obtaining employment and support.

OVR continues to:

- Monitor and provide technical assistance to subminimum wage facilities to ensure WIOA requirements are met.
- Retain records on all individuals that receive Career Counseling.
- Provide individuals during first year, Career Counseling twice.
- Provide individuals during subsequent years, Career Counseling annually.

**F. Assurance that, in accordance with 34 CFR 397.31, neither the SEA nor the local educational agency will enter into a contract or other arrangement with an entity, as defined in 34 CFR 397.5(d), for the purpose of operating a program under which youth with a disability is engaged in work compensated at a subminimum wage.**

The OVR will not enter into a contract or other arrangement with an entity as defined in 34 CFR 397.5(d) for the purpose of operating a program under which youth with a disability is engaged in work compensated at a subminimum wage.

#### K. COORDINATION WITH EMPLOYERS

In accordance with the requirements in Section 101(a)(11)(E) of the Rehabilitation Act, describe how the VR agency will work with employers to identify competitive integrated employment and career exploration opportunities in order to facilitate the provision of VR services; and transition services for youth and students with disabilities, including pre-employment transition services for students with disabilities.

#### **Vocational Rehabilitation Services**

The Department of Workforce Investment (DWI) in partnership with local and state workforce organizations are dedicated to providing proactive business services and industry skills development. Through local Kentucky Career Center Business Service networks, this partnership has laid a foundation for coordinated business services that leverage the assets of the Office of Employer and Apprenticeship Services (OEAS).

Kentucky Career Center Business Services offer a streamlined approach to assisting businesses with recruiting talent, training new and existing employees, and developing tomorrow's workforce. At its core, the Business Service strategy consists of five primary organizations who provide direct resources and services to businesses:

Local Workforce Development Boards (LWDB)

Kentucky Education and Workforce Development Cabinet (EWDC)

Kentucky Cabinet for Economic Development (CED)

The Kentucky Chamber's Workforce Center (Workforce Center)

Kentucky Community and Technical College System (KCTCS)

These partnering agencies strive to provide unified, efficient, quality, and seamless workforce services and resources to new, existing, and expanding companies within the Commonwealth. The Kentucky Career Center Business Service strategy has the following four primary components:

Identify a single point of contact for business development within each WIOA region;

Streamline workforce resource delivery;

Unify and coordinate outreach and information; and

Leverage multiagency data sharing systems.

Core programs and partners gained access to a business customer relationship management system based on a Salesforce platform. Phase 1 allowed shared access to employer contacts and business needs, and Phase 2 gave the partnership the ability to add and assess employer programs and resources. This platform allows the tracking of business engagement and reporting for the aligned goal of furthering business services and is the tool that encompasses the Kentucky Integrated Business Engagement System (KIBES). The OVR Employer Services Branch is dedicated to employer outreach and consumer job placement services allowing for a consistent approach to services across the state. This enables the agency to focus on more intensive employer outreach, including increased emphasis on corporate employers and partnership, and expanding direct employer interaction statewide.

OVR employs ten job placement specialists across the state. These specialists are responsible for developing relationships with local employers to facilitate the placement of OVR consumers into competitive integrated employment. Employer engagement activities may include: 1) technical assistance to employers on hiring individuals with disabilities; 2) disability awareness training; 3) ongoing and regular contact with employers; 4) attending meetings of local Chambers of Commerce, Society of Human Resource Managers (SHRM), and other business-related groups; and 5) no cost accessibility surveys to employers. Job placement specialists utilize the targeted industry sectors, as determined by their local workforce region, in order to provide specific labor market information to consumers, employers and agency partners.

OVR employs a statewide Employer Services Branch Manager who is responsible for the supervision and oversight of staff and statewide employment activities. This is inclusive of providing training and technical assistance to the Job Placement Specialists, developing agency-wide relationships with large employers and acts as the agency contact for the National NET and TAP programs managed by Council of State Administrators of Vocational Rehabilitation (CSAVR).

OVR recognizes that it has two customers, the job seeker and the employer, and works collaboratively with partner organizations in providing quality services on all levels. OVR is positioned to provide valuable services to 503 Federal Contractors with utilization goals of 7% of their workforce, employees with disabilities. DWI shares with OVR the list of federal contractors it maintains, and staff are assigned to contact those employers individually making them aware of vocational rehabilitation services available to them.

The Statewide Council for Vocational Rehabilitation (SCVR), Kentucky's State Rehabilitation Council (SRC), and the Employment First Council include several employers and a representative of the Kentucky Workforce Innovation Board (KWIB) who provide important input on agency policy and activities related to employment. The SCVR presents the Employer Recognition Award annually to employers who work closely with the OVR and who make the hiring of persons with disabilities a priority. OVR conducts a Job Placement Month annually in

October which includes many events around the state that promote collaboration with employers. Regional Employer Recognition Awards are given out during the month to employers who have hired OVR consumers.

OVR participates in Project SEARCH, the immersive job experience program for transition-aged students with disabilities. OVR's Statewide Coordinator for Project Search identifies and collaborates with employers throughout the state to introduce and promote the program designed to provide transition-age students an on-site working and learning experience. Currently, there are four major employers involved in Project Search Programs: University of Kentucky Healthcare in Lexington, Northern Kentucky University in Highland Heights, ABB Optical in Florence and Baptist Health Hospital in Elizabethtown. OVR develops relationships with employers to provide transition-age students the opportunity to explore career paths and identify opportunities that lead to competitive integrated employment after completion of the program. Transition-age students have received instruction for entry level jobs and training in high-demand career fields specific to area, such as central sterile, research and manufacturing. OVR's Statewide Coordinator continues to develop local partnerships with employers and schools to create a coalition of support for assisting transition-age students in developing, building and identifying career opportunities.

OVR will continue to partner with local initiatives like Project SEARCH in Northern Kentucky and the Coalition for Workforce Diversity in Louisville, Lexington, Ashland, and Mayfield to identify and educate employers willing to develop new programs specifically designed to focus on hiring and training individuals with disabilities.

**Transition Services for youth with disabilities and students with disabilities, including pre-employment transition services.**

OVR currently has innovative programs that provide high school students a variety of work-based learning, financial literacy, self-advocacy training, job exploration, career counseling, and workplace readiness training opportunities that exist in the community with employers, in our rehabilitation center, and in post-secondary institutions. A diverse array of partnerships is needed in order to market the benefits of earn and learn opportunities including registered apprenticeships to Kentucky businesses for individuals with disabilities, including youth and students with disabilities. OVR will work with its existing partners among workforce, economic development, education and business entities to foster work-based learning opportunities. OVR has contractual agreements with three of the nine special education cooperatives and Jobs for American Graduates for the provision of Pre-employment Transition Services.

Kentucky's registered apprenticeship program continues to be a national model in preparing individuals for successful entry into the workforce. This administrative move builds momentum by harnessing Kentucky Education and Workforce Development Cabinet's (KEWDC) existing statewide network to connect employers with potential employees and provide increased apprenticeship opportunities for Kentuckians. There are over 4,000 apprentices in Kentucky in 600+ different programs currently representing 200+ unique occupations.

The Registered Apprenticeship model is a flexible, employer-driven approach that provides high-quality job training and produces skilled, competent employees for Kentucky employers. The division is responsible for registering apprenticeship programs that meet federal standards, issuing nationally recognized and portable Credentials of Completion to apprentices, and promoting the development of new programs through education, outreach and technical assistance.

The Community Work Transition Program (CWTP) is designed to provide pre-employment transition services and transition services to assist students with the most significant disabilities in transitioning from high school to Competitive Integrated Employment upon exiting secondary education. There is a Supported Employment Consulting fee available with the CWTP to facilitate a seamless transition into Competitive Integrated Employment.

There are specific programs in place with specialized services for the blind and visually impaired.

The PATH Program focuses on job exploration, workplace readiness training, and self-advocacy and is an intensive three-week program that introduces employability skills to students with disabilities. The curriculum is specific to individuals who are blind or visually impaired. The Summer Work Experience Program is in collaboration with Community Rehabilitation Providers (CRP). CRPs are paid to find work experiences in competitive integrated settings for transition aged individuals. The goals of the work experience are to provide community-based career exploration and the opportunity to practice work readiness skills. It is also hoped that by participating in the work experience program, employers will be open to providing more opportunities for individuals who are blind or visually impaired in their communities.

The Summer Work Program is in collaboration with the Kentucky School for the Blind (KSB), Kentucky Kingdom, the American Printing House for the Blind, and the Louisville Zoo. The World of Work Program is another program in which the OVR and KSB provide work-based learning experiences to students. The program provides competitive integrated work experiences to students that attend the Kentucky School for the Blind. The INSIGHT Post-Secondary Preparation Program is held each summer at Morehead State University. Students are able to participate in college classes, live in the dorm, and participate in social activities both on and off campus during this eight-day program. They receive counseling on post-secondary opportunities and are taught the self-advocacy skills necessary to succeed in a post-secondary environment along with workplace readiness skills.

#### L. INTERAGENCY COOPERATION WITH OTHER AGENCIES

In accordance with the requirements in Section 101(a)(11)(C) and (K), describe interagency cooperation with and utilization of the services and facilities of agencies and programs that are not carrying out activities through the statewide workforce development system to develop opportunities for community-based employment in integrated settings, to the greatest extent practicable for the following:

##### 1. STATE PROGRAMS (DESIGNATE LEAD AGENCY(IES) AND IMPLEMENTING ENTITY(IES)) CARRIED OUT UNDER SECTION 4 OF THE ASSISTIVE TECHNOLOGY ACT OF 1998;

The Kentucky Assistive Technology Services (KATS) Network is the state program carried out under Section 4 of the Assistive Technology Act of 1998 for making assistive technology (AT) information, devices and services easily obtainable for people of any age and/or disability, their families, employers and employment service providers, educators, healthcare and social service providers. The KATS Network serves Kentucky residents of all ages with disabilities of all types, their families, employers and employment service providers, educators, health care and social service providers, and others seeking information about assistive technology (AT) and accessible information technology.

The Kentucky Office of Vocational Rehabilitation (OVR) is the lead agency for the KATS Network. The KATS Network in turn collaborates with five nonprofit organizations to operate assistive technology resource centers (ATRCs) across the state in Louisville, Lexington, Ft.



Mitchell, Hazard, and Owensboro. These ATRCs provide assistive technology demonstrations, device loans, as well as accept device donations which they refurbish and redistribute to individuals in need. In addition to the ATRC collaborations, the KATS Network teams up with many other organizations to meet individual's unique needs as well as works to connect Kentuckians to community resources. One example of this, is the Statewide Hearing Aid Reuse Program (SHARP), a program the KATS Network operates in partnership with Starkey. Starkey repairs and refurbishes donated hearing aids to SHARP and provides those hearing aids to individuals in need at a reduced cost. Additionally, the KATS Network receives financial credit for hearing aid donations which is used to cover the cost of hearing aid repairs for Kentuckians. The KATS Network is a statewide network of organizations and individuals connecting to enhance the availability of assistive technology devices and services to improve the productivity and quality of life for individuals with disabilities.

The Assistive Technology Alternative Financing Program (ATAFP) for Kentucky is the Kentucky Assistive Technology Loan Corporation (KATLC). KATLC provides financial loans for the purchase of assistive technology with its lending partner for individuals with disabilities or the parent or legal guardian of an individual with a disability. KATLC has joined with the Appalachian Assistive Technology Loan Fund (AATLF) to provide no interest, no fee loans from \$100-7,000 for assistive technology to promote independence and enhanced quality of life for individuals with disabilities.

KATLC is funded by both private and public monies to assist Kentuckians with disabilities to obtain low interest loans for the purchase of assistive technology that will promote their independence and enhance their quality of life. KATLC is actively working to obtain a new lending partner to provide loans over \$7,000.

## 2. PROGRAMS CARRIED OUT BY THE UNDER SECRETARY FOR RURAL DEVELOPMENT OF THE DEPARTMENT OF AGRICULTURE;

The USDA Rural Development makes available funding to rural communities across the Commonwealth. One of the main goals of Rural Development is to strengthen the local economies by working to improve not only small businesses but also to engage the communities surrounding the businesses.

Programs and initiatives are geared towards providing resources and building bridges of communication for rural communities. The fundamental concerns for rural areas and their communities are wrapped around access and equity. This includes individuals who are living with a disability and their support systems.

Kentuckians with disabilities living in rural areas have further challenges. Kentucky is a primarily rural state, incorporating 54 Appalachian counties, and characterized by a high poverty rate relative to other U.S. States. (Project E3). According to 2021 Census data, Kentucky is among five states with the highest disability populations in the country making up more than 17% of the state's population. This data also explains that individuals experiencing disabilities represent over half the population in rural areas throughout the country. The geographic isolation of Kentucky's rural communities poses significant challenges for persons with disabilities in achieving competitive, integrated, and lasting employment and community participation and integration. The rural nature of Kentucky and the centralization of employment opportunities in urban areas create significant transportation and access barriers to employment opportunities. (Project E3).

An important program that will assist the broader community in rural Kentucky is the USDA Rural Developments broadband initiative. The Rural Development Innovation Center's

Broadband Resources for Rural America program addresses the digital gap in households and assists in providing internet access across these rural areas. Broadband services are important to families in rural communities for them to have access to education, training and health resources as well as connecting them to workforce opportunities.

Rural families and businesses are seeing more opportunities by the support of USDA programs, offering loans, aggressively pursuing broadband access for communities, advancing infrastructure and equity initiatives for both families and businesses that will benefit people's livelihood and workforce opportunities in all areas of the state. This initiative may also help with isolation experienced by people living in rural areas.

Efforts by OVR staff to provide information for these available resources to consumers continue to be made. The Assistive Technology Branch holds an Assistive Technology Conference annually for Kentucky State University's Research Farm. The 3-day conference ensures awareness of the various programs, services and resources available. At the most recent 2023 Assistive Technology Conference held in June, the following topics discussed were:

- Assistive technology and the college experience;
- Comprehensive automotive mobility solutions;
- Built-in accessibility features in windows and other software;
- Increasing independence at home with smart home technology;
- Maximizing mobility and independence;
- Mental health in the workplace; and
- Advocacy, education and empowerment for people with disabilities.

OVR Counselors are aware of programs to assist single families living in rural areas in securing a variety of loans and grants to improve their living situations, such as the single-family housing program to assist with affordable housing for individuals with low or very-low income. Agency staff provide information and referral to consumers for these programs to meet their individual needs.

### 3. NON-EDUCATIONAL AGENCIES SERVING OUT-OF-SCHOOL YOUTH;

OVR serves out-of-school youth such as high school non-completers, students expelled from school or habitually truant, high school graduates and GED holders who are basic skills deficient, unemployed or underemployed, as well as those enrolled in postsecondary education. This is an area identified to increase outreach and strengthen those existing relationships in order to reach and engage out-of-school youth on a higher level.

In Kentucky the vocational rehabilitation agency is one of two workforce programs that are fully integrated into the Kentucky Career Centers. This has strengthened our relationships with the other core programs of the workforce development system. OVR works collaboratively with the following additional agencies and groups of individuals.

- Juvenile and Criminal Justice Systems. Juvenile Justice is responsible for prevention programs for at-risk-youth, court intake, pre-trial detention, residential placement/treatment services, probation, community aftercare/reintegration programs and youth awaiting adult placement or court.
- Faith-based Organization (i.e., churches, Jewish Family Services, health clinics).

- Community organizations like Big Brothers, Big Sisters, and other community-based organizations.
- Service Organizations (i.e., Lions, Rotary, Kiwanis, Elks)
- Kentucky Cabinet for Health and Family Services that administers foster care and the division of family support (Medicaid, Foster Care and Supplemental Nutrition Assistance Program)
- Employers
- Kentucky Youth Career Center offices are located in Jefferson, Bullitt, and Shelby Counties, and are administered by KentuckianaWorks, the region's Workforce Development Board.

Overseeing and coordinating programs in the community for youth ages 16 - 21, the Youth Career Centers offer innovative education, employment, and youth empowerment services. The Kentucky Youth Career Center offers resume and interview preparation assistance, GED tutoring and help with testing fees, help applying to colleges and job-training programs, and financial assistance for college and job training. Depending on the need, referrals are made to other community services such as housing, transportation, food, and physical or mental health services. The Kentucky Youth Career Center also creates engagement opportunities with employers through internship and summer job programs, and fosters connections to mentors as well as other youth, and provides an ongoing series of workshops on life-enhancing topics.

#### 4. STATE USE CONTRACTING PROGRAMS;

Under the state procurement code, administered by the Finance and Administration Cabinet, there are preferences to be given by governmental entities and political subdivisions in purchasing commodities or services from specified entities. Specifically, when purchasing commodities or services, first preference is given to the products made by the Department of Corrections, Division of Prison Industries, as required by KRS 197.210. Second preference shall be given to any products produced by Kentucky Industries for the Blind, Incorporated, or any other nonprofit corporation that furthers the purposes of KRS Chapter 163, and agencies of individuals with severe disabilities as described in KRS 45A.465 i.e., Community Rehabilitation Providers (CRP). This means that state and local governmental agencies are to purchase directly from Correctional Industries, or an Industries contracted with by OVR and/or a CRP without having to utilize the competitive procurement processes.

#### 5. STATE AGENCY RESPONSIBLE FOR ADMINISTERING THE STATE MEDICAID PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT (42 U.S.C. 1396 ET SEQ.);

In Kentucky, The Cabinet for Health and Family Services (CHFS) is home to most of the state's human services and health care programs, including Medicaid, the Department for Community Based Services and the Department for Public Health. Medicaid Services purchases quality healthcare and related services that produce positive outcomes for persons eligible for programs administered by the department.

OVR has worked with the Department for Medicaid Services to attempt to expand the Medicaid Works, Kentucky's Medicaid Buy-In program, to maximize the opportunities for OVR consumers to get employed in competitive, integrated employment. Eligibility requirements remain restrictive and very few individuals have qualified for Medicaid Works. OVR still feels a revised buy-in would help more individuals with disabilities become successfully employed. As discussed in (6) of this section, Medicaid Waiver funding is utilized to provide long term

supports for supported employment consumers, increasing the numbers of individuals who can benefit from supported employment services.

In addition, OVR's newly established Employment First Council has representation from the Department of Medicaid Services. Most recently, through the implementation of the Department of Labor's Office of Disability Employment Policy (ODEP), the Employment First Council was chosen to participate in the National Expansion on Employment Opportunities Network (NEON). Project NEON allows agencies, including that of OVR and the Department of Medicaid Services, to review policy in order for them to align with Kentucky's definition of competitive integrated employment to propel the movement of Employment First throughout the commonwealth.

While OVR serves on numerous councils that have representation from the Department for Medicaid Services, the agency will continue to work to ensure the provision of vocational rehabilitation services and if appropriate, accommodations or auxiliary aides and services.

#### 6. STATE AGENCY RESPONSIBLE FOR PROVIDING SERVICES FOR INDIVIDUALS WITH DEVELOPMENTAL DISABILITIES;

The Department for Behavioral Health, Developmental and Intellectual Disabilities is the agency that provides quality information, services and support for individuals with needs related to mental illness, intellectual disability or other developmental disability and their families.

The Office of Vocational Rehabilitation (OVR) is an active member of the Commonwealth Council for Developmental Disabilities, participating in their strategic plan development and collaborating on projects to promote independence and employment for the specific population.

The OVR works with the Division of Developmental and Intellectual Disabilities (DIDD) to improve quality Supported Employment Services and provide a smooth transition from VR supported employment services to long-term support services through the Supports for Community Living (SCL) and the Michelle P. Waiver. OVR and DIDD jointly fund the Supported Employment Training Program at the University of Kentucky's Human Development Institute to train all Supported Employment Specialists in the state.

OVR serves on numerous councils, boards, and planning committees, such as, the Commonwealth Council for Developmental Disabilities, as well as the Kentucky Advisory Council on Autism, the HB144 Commission and, the Kentucky Judicial Commission on Mental Health, relating to persons with developmental disabilities.

Additionally, effective on July 14, 2022, legislation was passed, stating, "the General Assembly finds and declares that it is the policy of the Commonwealth of Kentucky that competitive integrated employment shall be considered the first and primary option for persons with disabilities of working age who desire to become employed." KRS 151B. 211. With the passage of the recent legislation, a new Employment First Council was established and delegated to be supported by OVR. With the formation of the Council, comes a representative from DIDD, several other key agencies, community partners, and advocates, to collaborate and address the five charges of the Council, which are:

1. Identify state policies that create disincentives for the employment of people with disabilities and develop recommendations to address and eliminate those disincentives;
2. Develop training and resources for families, self-advocates, public and private providers, and employers on the benefits of competitive integrated employment of workers with a disability;

3. Recommend the development and implementation of policies and effective practices for providers of supported employment services that increase employment opportunities for workers with a disability;
4. Utilize appropriate metrics to assess progress of efforts to increase the competitive integrated employment of workers with a disability; and
5. Submit an annual report by December 1 to the Legislative Research Commission, the secretary of the Education and Labor Cabinet, and the Governor summarizing its findings and recommendations.

OVR continues to review ways to increase interagency collaboration and support.

#### 7. STATE AGENCY RESPONSIBLE FOR PROVIDING MENTAL HEALTH SERVICES; AND

The Department of Behavioral Health (DBH) is responsible for the administration of state and federally funded mental health and substance abuse treatment services throughout the commonwealth. Publicly funded community services are provided for Kentuckians who have challenges with mental health, developmental and intellectual disabilities, or substance abuse, through Kentucky's 14 regional Boards for Mental Health or Individuals with an Intellectual Disability (Regional MHID Boards). Regional MHID Boards are private, nonprofit organizations established by KRS Chapter 210 which serve residents of a designated multi-county region.

OVR has partnered with the DBH to implement the Individual Placement Service (IPS) Model, an evidenced based practice in Supported Employment, for consumers with serious mental illness. Currently, there are 21 IPS programs throughout Kentucky. In 2019, OVR participated in meetings with the Cabinet for Health and Family Services to initiate efforts to expand IPS Supported Employment services to individuals with opiate use conditions. OVR will continue to collaborate with other state partners to expand and provide IPS services to underserved populations.

The OVR serves on numerous councils that also have representation from the DBH. In 2021, the OVR began the approval process to implement 4 Establishment Project contract opportunities with CRPs to expand IPS to unserved or underserved areas. Four providers were selected and approved, two of which were selected to provide IPS to individuals with intellectual and/or development disabilities. These contracts were approved by RSA and began in spring of 2023. It's the intent of the OVR to continue with new Establishment Projects as others phase out to continue the efforts to build capacity for IPS services throughout Kentucky.

#### 8. OTHER FEDERAL, STATE, AND LOCAL AGENCIES AND PROGRAMS OUTSIDE THE WORKFORCE DEVELOPMENT SYSTEM.

OVR maximizes all available resources in collaboration with all partners and agencies in assisting individuals with disabilities to achieve competitive integrated employment. This will ensure the provision of vocational rehabilitation services described in subparagraph (A) other than those specified in paragraph (5) (D), and in paragraph (1) through (4) and (14) of Section 103 (a) of the Rehabilitation Act Amendments of 1998, that are included in the individualized plan for employment of an eligible individual, including the provision of such vocational rehabilitation services during the duration of any dispute.

OVR will continue to have a collaborative relationship with agencies and entities within and outside the statewide workforce investment system both private and public agencies and programs. OVR works cooperatively with the following agencies to avoid the duplication of services and enhance the service delivery process for consumers. OVR has representation on

the State Interagency Council (SIAC) for services and supports to Children and Transition-age Youth. Regional Interagency Councils (RIACs) operate as the locus of accountability for the system of care, providing a structure for coordination, planning, and collaboration of services and supports at the local level to children, adolescents, and transition-age youth and their families, to help them function better at home, in school, in the community and throughout life. OVR has representation through the Kentucky Cabinet on the Commission on the Deaf and Hard of Hearing (KCDJHH). KCDJHH advisory board provides education, advocacy, and programs to eliminate barriers for deaf and hard-of-hearing Kentuckians. Also, Collaboration and coordination of services occur between OVR and the Veterans Administration Rehabilitation and Employment Programs. Veterans Administration provides rehabilitation services including vocational guidance and counseling, job development, and placement to veterans with disabilities.

OVR collaborates and coordinates services for individuals with disability within school districts, including the School for the Deaf and the School for the Blind. There are also nine special education cooperative networks across the state created to enhance educational opportunities.

As an agency, we receive and make referrals to the following agencies when needed: Department of Behavioral Health; Intellectual and Developmental Disabilities through their 14 Regional MH/IDD Boards for Supported Employment; Kentucky Drug Courts; Kentucky Cabinet for Health and Family Services; Social Security Administration; Community Rehabilitation Providers; Kentucky Association of Persons in Supporting Employment First (APSE); Department of Medicaid Services; Department of Community Based Services; Supplemental Nutrition Assistance Program (SNAP); Employment and Training (E & T) program; American Printing House for the Blind; Kentucky School for the Blind; Kentucky Federation of the Blind; and Kentucky American Council of the Blind.

We also work closely with the University of Kentucky Human Development Institute, a University Center of Excellence established by federal legislation to promote team-based approaches to provide services for individuals with disabilities and their families. OVR also works closely with The Kentucky Assistive Technology Service (KATS), which is a statewide network of organizations and individuals connecting to enhance the availability of assistive technology devices and services to improve the productivity and quality of life for individuals with disabilities. In addition, the Office works in coordination with the Statewide Independent Living Council (SILC).

OVR works with other federal, state, and local agencies related to the rehabilitation of individuals with disabilities such as the Department of Protection and Advocacy, Department of Probation and Parole, Department of Workers Compensation, and Department of Disability Determination. The Client Assistance Program is available for additional assistance and advocacy during the entire rehabilitation process as well.

#### 9. OTHER PRIVATE NONPROFIT ORGANIZATIONS.

The Office of Vocational Rehabilitation (OVR) maintains Memorandum of Agreements with providers of private, non-profit vocational rehabilitation service providers to support achievement of successful competitive integrated employment outcomes for individuals with disabilities. The OVR works with Community Rehabilitation Program providers (CRPs) through a vendor application process to ensure quality services to agency consumers.

OVR currently works with 114 CRP's. Currently, 75 CRPs provide Employment and Retention services, another 89 provide Supported Employment services resulting in competitive

integrated employment. Other agreements with private, non-profit OVR service providers will be made as necessary.

To provide services with the agency, the process is as follows:

1. The potential vendor obtains the vendor application, vendor manual, and CRP manual from the OVR website or from an OVR staff member.
2. The potential vendor reviews the Vendor and CRP Manuals to ensure the vendor is applying for appropriate services.
3. The potential vendor completes the application and provides required supplemental documentation (dependent on types of services applying for) to OVRVendors@ky.gov.
4. Central Office staff monitors the web box, and reviews submitted application and any documentation provided.
5. Central Office staff provides the application, with all documentation provided, and all internal review completed to CRP branch.
6. CRP branch reviews to ensure no additional documentation or clarification is needed.
7. Application is approved, and the Vendor is notified.
8. Vendor completes the Vendor Registration Process by a) Obtaining a vendor number by registering on our vendor self-service platform, or by completing an EZ Registration form and provide it to finance cabinet, along with a W9, for finance to establish a vendor number; b) Reviewing and signing a Vendor Agreement; and c) Reviewing and signing a CRP Agreement.
9. CRP Branch assists the Vendor with training and other information.
10. All CRP vendors are required to participate in the Supported Employment Training Project provided through the University of Kentucky Human Development Institute.
11. All CRP vendors are monitored by the CRP Branch Staff for programmatic review.
12. All CRP vendors are monitored by Central Office staff for financial review.
13. All CRPs are subject to audits at least once every three years, or more frequently, if necessary.
14. CRP Branch ensures all Employment Specialist have the mandated 15 hours of continuing education units (CEUs) annually, with at least 4 of the hours consisting specifically to servicing individuals who are blind, deaf, or DeafBlind.
15. CRPs are required to review and sign a CRP agreement every two (2) years.

**Note:** Current ones are good through 06/30/2024.

#### ASSURANCES

The designated State agency or designated State unit, as appropriate and identified in the State certifications included with this VR services portion of the Unified or Combined State Plan and its supplement, through signature of the authorized individual, assures the Commissioner, that it will comply with all of the requirements of the VR services portion of the Unified or Combined State Plan and its supplement, as set forth in sections 101(a) and 606 of the Rehabilitation Act.

The individual authorized to submit the VR services portion of the Unified or Combined State Plan and its supplement makes the following assurances:

**The VR agency must select the “Edit” button to review and agree to the VR State plan Assurances.**

The State Plan must include
1. Public Comment on Policies and Procedures: The designated State agency assures it will comply with all statutory and regulatory requirements for public participation in the VR Services Portion of the Unified or Combined State Plan, as required by section 101(a)(16)(A) of the Rehabilitation Act.
2. Submission of the VR services portion of the Unified or Combined State Plan and Its Supplement: The designated State unit assures it will comply with all requirements pertaining to the submission and revisions of the VR services portion of the Unified or Combined State Plan and its supplement for the State Supported Employment Services program, as required by sections 101(a)(1), (22), (23), and 606(a) of the Rehabilitation Act; section 102 of WIOA in the case of the submission of a Unified State plan; section 103 of WIOA in the case of a submission of a Combined State Plan; 34 CFR 76.140.
3. Administration of the VR services portion of the Unified or Combined State Plan: The designated State agency or designated State unit, as appropriate, assures it will comply with the requirements related to:
3.a. the establishment of the designated State agency and designated State unit, as required by section 101(a)(2) of the Rehabilitation Act.
3.b. either a State independent commission or State Rehabilitation Council, as required by section 101(a)(21) of the Rehabilitation Act.
3.c. consultations regarding the administration of the VR services portion of the Unified or Combined State Plan, in accordance with section 101(a)(16)(B) of the Rehabilitation Act.
3.d. the financial participation by the State, or if the State so elects, by the State and local agencies, to provide the amount of the non-Federal share of the cost of carrying out the VR program in accordance with section 101(a)(3).
3.e. as applicable, the local administration of the VR services portion of the Unified or Combined State Plan, in accordance with section 101(a)(2)(A) of the Rehabilitation Act.
3.f. as applicable, the shared funding and administration of joint programs, in accordance with section 101(a)(2)(A)(ii) of the Rehabilitation Act.
3.g. statewideness and waivers of statewideness requirements, as set forth in section 101(a)(4) of the Rehabilitation Act.
3.h. the requirements for cooperation, collaboration, and coordination, as required by sections 101(a)(11) and (24)(B); and 606(b) of the Rehabilitation Act.
3.i. all required methods of administration, as required by section 101(a)(6) of the Rehabilitation Act.
3.j. the requirements for the comprehensive system of personnel development, as set forth in section 101(a)(7) of the Rehabilitation Act.



The State Plan must include
3.k. the compilation and submission to the Commissioner of statewide assessments, estimates, State goals and priorities, strategies, and progress reports, as appropriate, and as required by sections 101(a)(15), 105(c)(2), and 606(b)(8) of the Rehabilitation Act.
3.l. the reservation and use of a portion of the funds allotted to the State under section 110 of the Rehabilitation Act for the development and implementation of innovative approaches to expand and improve the provision of VR services to individuals with disabilities, particularly individuals with the most significant disabilities as set forth in section 101(a)(18)(A).
3.m. the submission of reports as required by section 101(a)(10) of the Rehabilitation Act.
4. Administration of the Provision of VR Services: The designated State agency, or designated State unit, as appropriate, assures that it will:
4.a. comply with all requirements regarding information and referral services in accordance with sections 101(a)(5)(E) and (20) of the Rehabilitation Act.
4.b. impose no duration of residence requirement as part of determining an individual's eligibility for VR services or that excludes from services under the plan any individual who is present in the State in accordance with section 101(a)(12) of the Rehabilitation Act.
4.c. provide the full range of services listed in section 103(a) of the Rehabilitation Act as appropriate, to all eligible individuals with disabilities in the State who apply for services or, if implementing an order of selection, in accordance with criteria established by the State for the order of selection as set out in section 101(a)(5) of the Rehabilitation Act.
4.d. determine whether comparable services and benefits are available to the individual in accordance with section 101(a)(8) of the Rehabilitation Act.
4.e. comply with the requirements for the development of an individualized plan for employment in accordance with section 102(b) of the Rehabilitation Act.
4.f. Comply with requirements regarding the provisions of informed choice for all applicants and eligible individuals in accordance with section 102(d) of the Rehabilitation Act
4.g. provide vocational rehabilitation services to American Indians who are individuals with disabilities residing in the State, in accordance with section 101(a)(13) of the Rehabilitation Act.
4.h. comply with the requirements for the conduct of semiannual or annual reviews, as appropriate, for individuals employed either in an extended employment setting in a community rehabilitation program or any other employment under section 14(c) of the Fair Labor Standards Act of 1938, as required by sections 101(a)(14) and 511 of the Rehabilitation Act.
4.i. meet the requirements in sections 101(a)(17) and 103(b)(2) of the Rehabilitation Act if the State elects to construct, under special circumstances, facilities for community rehabilitation programs.
4.j. With respect to students with disabilities, the State,
4.j.i. has developed and will implement,

The State Plan must include
4.j.i.A. strategies to address the needs identified in the assessments; and
4.j.i.B. strategies to achieve the goals and priorities identified by the State, to improve and expand vocational rehabilitation services for students with disabilities on a statewide basis; and
4.j.ii. has developed and will implement strategies to provide pre-employment transition services (sections 101(a)(15), 101(a)(25) and 113).
4.j.iii. shall reserve not less than 15 percent of the allocated funds for the provision of pre-employment transition services; such funds shall not be used to pay for the administrative costs of providing pre-employment transition services.
5. Program Administration for the Supported Employment Title VI Supplement to the State plan:
5.a. The designated State unit assures that it will include in the VR services portion of the Unified or Combined State Plan all information required by section 606 of the Rehabilitation Act.
5.b. The designated State agency assures that it will submit reports in such form and in accordance with such procedures as the Commissioner may require and collects the information required by section 101(a)(10) of the Rehabilitation Act separately for individuals receiving supported employment services under title I and individuals receiving supported employment services under title VI of the Rehabilitation Act.
6. Financial Administration of the Supported Employment Program (Title VI):
6.a. The designated State agency assures that it will expend no more than 2.5 percent of the State's allotment under title VI for administrative costs of carrying out this program; and, the designated State agency or agencies will provide, directly or indirectly through public or private entities, non-Federal contributions in an amount that is not less than 10 percent of the costs of carrying out supported employment services provided to youth with the most significant disabilities with the funds reserved for such purpose under section 603(d) of the Rehabilitation Act, in accordance with section 606(b)(7)(H) and (I) of the Rehabilitation Act.
6.b. The designated State agency assures that it will use funds made available under title VI of the Rehabilitation Act only to provide supported employment services to individuals with the most significant disabilities, including extended services to youth with the most significant disabilities, who are eligible to receive such services; and, that such funds are used only to supplement and not supplant the funds provided under Title I of the Rehabilitation Act, when providing supported employment services specified in the individualized plan for employment, in accordance with section 606(b)(7)(A) and (D), of the Rehabilitation Act.
7. Provision of Supported Employment Services:
7.a. The designated State agency assures that it will provide supported employment services as defined in section 7(39) of the Rehabilitation Act.
7.b. The designated State agency assures that the comprehensive assessment of individuals with significant disabilities conducted under section 102(b)(1) of the Rehabilitation Act and funded under title I of the Rehabilitation Act includes consideration of supported employment

The State Plan must include

as an appropriate employment outcome, in accordance with the requirements of section 606(b)(7)(B) of the Rehabilitation Act an individualized plan for employment that meets the requirements of section 102(b) of the Rehabilitation Act, which is developed and updated with title I funds, in accordance with sections 102(b)(3)(F) and 606(b)(7)(C) and (E) of the Rehabilitation Act.

Do you attest that these assurances will be met?

Yes

#### VOCATIONAL REHABILITATION (COMBINED OR GENERAL) CERTIFICATIONS

States must provide written and signed certifications that:

1. THE (ENTER THE NAME OF DESIGNATED STATE AGENCY OR DESIGNATED STATE UNIT, AS APPROPRIATE,) IS AUTHORIZED TO SUBMIT THE VR SERVICES PORTION OF THE UNIFIED OR COMBINED STATE PLAN UNDER TITLE I OF THE REHABILITATION ACT OF 1973 (REHABILITATION ACT), AS AMENDED BY TITLE IV OF WIOA[1], AND ITS STATE PLAN SUPPLEMENT UNDER TITLE VI OF THE REHABILITATION ACT;

[1] Public Law 113-128.

ENTER THE NAME OF DESIGNATED STATE AGENCY OR DESIGNATED STATE UNIT, AS APPROPRIATE

Education and Labor Cabinet

2. IN THE EVENT THE DESIGNATED STATE AGENCY IS NOT PRIMARILY CONCERNED WITH VOCATIONAL AND OTHER REHABILITATION OF INDIVIDUALS WITH DISABILITIES, THE DESIGNATED STATE AGENCY MUST INCLUDE A DESIGNATED STATE UNIT FOR THE VR PROGRAM (SECTION 101(A)(2)(B)(II) OF THE REHABILITATION ACT). AS A CONDITION FOR THE RECEIPT OF FEDERAL FUNDS UNDER TITLE I OF THE REHABILITATION ACT FOR THE PROVISION OF VR SERVICES, THE (DESIGNATED STATE AGENCY OR THE DESIGNATED STATE UNIT WHEN THE DESIGNATED STATE AGENCY HAS A DESIGNATED STATE UNIT)[2] AGREES TO OPERATE AND IS RESPONSIBLE FOR THE ADMINISTRATION OF THE STATE VR SERVICES PROGRAM IN ACCORDANCE WITH THE VR SERVICES PORTION OF THE UNIFIED OR COMBINED STATE PLAN[3], THE REHABILITATION ACT, 34 CFR 361.13(B) AND (C), AND ALL APPLICABLE REGULATIONS[4], POLICIES, AND PROCEDURES ESTABLISHED BY THE SECRETARY OF EDUCATION. FUNDS MADE AVAILABLE TO STATES UNDER SECTION 111(A) OF THE REHABILITATION ACT ARE USED SOLELY FOR THE PROVISION OF VR SERVICES AND THE ADMINISTRATION OF THE VR SERVICES PORTION OF THE UNIFIED OR COMBINED STATE PLAN;

[2] All references in this plan to "designated State agency" or to "the State agency" relate to the agency identified in this paragraph.

[3] No funds under title I of the Rehabilitation Act may be awarded without an approved VR services portion of the Unified or Combined State Plan in accordance with section 101(a) of the Rehabilitation Act.

[4] Applicable regulations, in part, include the Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 76, 77, 79, 81, and 82; 2 CFR part 200 as adopted by 2 CFR part 3474; and the State VR Services program regulations at 34 C.F.R. part 361.

ENTER THE NAME OF DESIGNATED STATE AGENCY

Kentucky Office of Vocational Rehabilitation

3. AS A CONDITION FOR THE RECEIPT OF FEDERAL FUNDS UNDER TITLE VI OF THE REHABILITATION ACT FOR SUPPORTED EMPLOYMENT SERVICES, THE DESIGNATED STATE AGENCY, OR THE DESIGNATED STATE UNIT WHEN THE DESIGNATED STATE AGENCY HAS A DESIGNATED STATE UNIT, AGREES TO OPERATE AND IS RESPONSIBLE FOR THE ADMINISTRATION OF THE STATE SUPPORTED EMPLOYMENT SERVICES PROGRAM IN ACCORDANCE WITH THE SUPPLEMENT TO THE VR SERVICES PORTION OF THE UNIFIED OR COMBINED STATE PLAN<sup>[5]</sup>, THE REHABILITATION ACT, AND ALL APPLICABLE REGULATIONS<sup>[6]</sup>, POLICIES, AND PROCEDURES ESTABLISHED BY THE SECRETARY OF EDUCATION. FUNDS MADE AVAILABLE UNDER TITLE VI ARE USED SOLELY FOR THE PROVISION OF SUPPORTED EMPLOYMENT SERVICES AND THE ADMINISTRATION OF THE SUPPLEMENT TO THE VR SERVICES PORTION OF THE UNIFIED OR COMBINED STATE PLAN;

<sup>[5]</sup> No funds under title VI of the Rehabilitation Act may be awarded without an approved supported employment supplement to the VR services portion of the Unified or Combined State Plan in accordance with section 606(a) of the Rehabilitation Act.

<sup>[6]</sup> Applicable regulations, in part, include the citations in footnote 4, as well as Supported Employment program regulations at 34 C.F.R. part 363.

4. THE DESIGNATED STATE UNIT OR, IF NOT APPLICABLE, THE DESIGNATED STATE AGENCY HAS THE AUTHORITY UNDER STATE LAW TO PERFORM THE FUNCTIONS OF THE STATE REGARDING THE VR SERVICES PORTION OF THE UNIFIED OR COMBINED STATE PLAN AND ITS SUPPLEMENT AND IS RESPONSIBLE FOR THE ADMINISTRATION OF THE VR PROGRAM IN ACCORDANCE WITH 34 CFR 361.13(B) AND (C);

5. THE STATE LEGALLY MAY CARRY OUT EACH PROVISION OF THE VR SERVICES PORTION OF THE UNIFIED OR COMBINED STATE PLAN AND ITS SUPPLEMENT.

6. ALL PROVISIONS OF THE VR SERVICES PORTION OF THE UNIFIED OR COMBINED STATE PLAN AND ITS SUPPLEMENT ARE CONSISTENT WITH STATE LAW.

7. THE (ENTER THE NAME OF AUTHORIZED REPRESENTATIVE BELOW) HAS THE AUTHORITY UNDER STATE LAW TO RECEIVE, HOLD, AND DISBURSE FEDERAL FUNDS MADE AVAILABLE UNDER THE VR SERVICES PORTION OF THE UNIFIED OR COMBINED STATE PLAN AND ITS SUPPLEMENT;

ENTER THE NAME OF AUTHORIZED REPRESENTATIVE BELOW

Cora McNabb

8. THE (ENTER THE TITLE OF AUTHORIZED REPRESENTATIVE BELOW) HAS THE AUTHORITY TO SUBMIT THE VR SERVICES PORTION OF THE UNIFIED OR COMBINED STATE PLAN AND THE SUPPLEMENT FOR SUPPORTED EMPLOYMENT SERVICES;

ENTER THE TITLE OF AUTHORIZED REPRESENTATIVE BELOW

Executive Director

9. THE AGENCY THAT SUBMITS THE VR SERVICES PORTION OF THE UNIFIED OR COMBINED STATE PLAN AND ITS SUPPLEMENT HAS ADOPTED OR OTHERWISE FORMALLY APPROVED THE PLAN AND ITS SUPPLEMENT.

## FOOTNOTES

[1] Public Law 113-128.

[2] All references in this plan to "designated State agency" or to "the State agency" relate to the agency identified in this paragraph.

[3] No funds under title I of the Rehabilitation Act may be awarded without an approved VR services portion of the Unified or Combined State Plan in accordance with section 101(a) of the Rehabilitation Act.

[4] Applicable regulations, in part, include the Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 76, 77, 79, 81, and 82; 2 CFR part 200 as adopted by 2 CFR part 3474; and the State VR Services program regulations at 34 C.F.R. part 361.

[5] No funds under title VI of the Rehabilitation Act may be awarded without an approved supported employment supplement to the VR services portion of the Unified or Combined State Plan in accordance with section 606(a) of the Rehabilitation Act.

[6] Applicable regulations, in part, include the citations in footnote 4, as well as Supported Employment program regulations at 34 C.F.R. part 363.

### CERTIFICATION SIGNATURE

**To review and complete the Certification section of the VR portion of the State plan, please select the "Edit" button.**

Note, please do not edit the table header or formatting. Only edit the table contents.

If you accidentally edit the table headers and structure, open this link to the blank table. You can copy and paste the table into the narrative field, and start over if needed.

Signatory information	Enter Signatory information in this column
<b>Name of Signatory</b>	Cora McNabb
<b>Title of Signatory</b>	Executive Director
<b>Date Signed</b>	03/01/2024

### VOCATIONAL REHABILITATION PROGRAM PERFORMANCE INDICATORS

Each State VR program must submit expected levels of performance in its Unified or Combined State Plan and in the two-year modification of that plan. Expected levels of performance for the first two years of a state plan must be submitted in the initial submission of the Unified or Combined State Plan and in the initial submission of the two-year modification of that Plan, for years three and four, as described in 34 CFR § 361.170(a). Expected levels of performance must be stated to the nearest tenth of a percent (XX.X %) or to the nearest whole dollar for median earnings. State VR programs are reminded that the expected levels of performance must be published for public comment prior to plan submission in accordance with state law, regulation, and policy.

After the Unified or Combined State Plan submission, each State VR program must reach agreement with RSA on the negotiated levels of performance for the indicators for each of the first two years of the Unified or Combined State Plan (or for the third and fourth years of the Unified or Combined State Plan during the required two-year modification process) in accordance with WIOA section 116(b)(3)(A)(iv).

RSA will use its statistical adjustment model to derive pre-program year estimated levels of performance for each indicator. Each State VR program and RSA will consider the negotiation factors outlined in WIOA section 116(b)(3)(A)(v) during the negotiation process. Once negotiated levels of performance are agreed upon, each State VR program must incorporate the negotiated levels of performance into the Unified or Combined State Plan and the two-year modification of that plan prior to the plan’s approval (section 116(b)(3)(A)(iv) of WIOA).

**Effectiveness in Serving Employers**

In the final rule implementing WIOA, the Departments indicated that they would initially implement this indicator in the form of a pilot to test the feasibility and rigor of three proposed approaches. During Program Year (PY) 2022, the Departments initiated the rulemaking process to establish a standard definition of Effectiveness in Serving Employers. States will continue to report two of three proposed approaches until the Departments issue the final rule and implement the indicator.

Performance Indicators	PY 2024 Expected Level	PY 2024 Negotiated Level	PY 2025 Expected Level	PY 2025 Negotiated Level
Employment (Second Quarter After Exit)	61.0%		63.0%	
Employment (Fourth Quarter After Exit)	49.0%		51.0%	
Median Earnings (Second Quarter After Exit)	\$7,923.00		\$8,081.00	
Credential Attainment Rate	29.0%		31.0%	
Measurable Skill Gains	32.0%		34.0%	
Effectiveness in Serving Employers	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>

<sup>1</sup>

*The Departments have not issued the final rule defining Effectiveness in Serving Employers. As a result, states will not submit expected levels of performance for this indicator and the Departments will not establish negotiated levels of performance for PYs 2024 and 2025.*

GEPA 427 FORM INSTRUCTIONS FOR APPLICATION PACKAGE - VOCATIONAL REHABILITATION

**EQUITY FOR STUDENTS, EDUCATORS, AND OTHER PROGRAM BENEFICIARIES**

OMB Control Number 1894-0005 Expiration 02/28/2026

**Section 427 of the General Education Provisions Act (GEPA)** (20 U.S.C. 1228a) applies to a State applicant submitting a state plan for a formula grant from the US Department of Education. The State applicant is responsible for completing the GEPA Section 427 form that

provides a description of the steps the State proposes to take to ensure all program beneficiaries have equitable access to, and participation in, its Federally funded, State-level project or activity.

### **GEPA Section 427 Form Instructions for State Applicants**

#### **State applicants must respond to the following four questions:**

1. Describe how your entity's existing mission, policies, or commitments ensure equitable access to, and equitable participation in, the proposed project or activity.
2. Based on your proposed project or activity, what barriers may impede equitable access and participation of students, educators, or other beneficiaries?
3. Based on the barriers identified, what steps will you take to address such barriers to equitable access and participation in the proposed project or activity?
4. What is your timeline, including targeted milestones, for addressing these identified barriers?

- Applicants identify any barriers that may impede equitable access and participation in the proposed project or activity, including, but not limited to, barriers based on economic disadvantage, gender, race, ethnicity, color, national origin, disability, age, language, migrant status, rural status, homeless status or housing insecurity, pregnancy, parenting, or caregiving status, and sexual orientation.
- Applicants use the associated text box to respond to each question. However, applicants might have already included some or all this required information in the narrative sections of their applications or their State Plans. In responding to this requirement, for each question, applicants may provide a cross-reference to the section(s) in their State Plans that includes the information responsive to that question on this form or may restate that information on this form.
- Applicants are not required to have mission statements or policies that align with equity to apply.
- Applicants that have already undertaken steps to address barriers must still provide an explanation and/or description of the steps already taken in each text box, as appropriate, to satisfy the GEPA Section 427 requirement.
- Applicants that believe no barriers exist must still provide an explanation and/or description to each question to validate that perception, as appropriate, to satisfy the GEPA Section 427 requirement.

Please refer to GEPA 427 - Form Instructions for Application Package

1. DESCRIBE HOW YOUR ENTITY'S EXISTING MISSION, POLICIES, OR COMMITMENTS ENSURE EQUITABLE ACCESS TO, AND EQUITABLE PARTICIPATION IN, THE PROPOSED PROJECT OR ACTIVITY.

***Section 427 of the General Education Provisions Act (GEPA) (20 U.S.C. 1228a) applies to a State applicant submitting a state plan for a formula grant from the US Department of Education. The State applicant is responsible for completing the GEPA Section 427 form that provides a description of the steps the State proposes to take to ensure all program beneficiaries have equitable access to, and participation in, its Federally funded, State-level project or activity.***

**State applicants must respond to four questions.**

**The first of four questions is:**

*Describe how your entity's existing mission, policies, or commitments ensure equitable access to, and equitable participation in, the proposed project or activity.*

Office of Vocational Rehabilitation (OVR) is committed to ensuring equitable access to and equitable participation in all vocational rehabilitation services, programs and activities provided by the agency and discussed in this proposed 4-year plan. The belief in the agency's core values, mission and vision statements are reflected in practices, policies, and strategic plans, for guidance and consistency within the agency and in service delivery. To further our commitment, the Diversity, Equity and Inclusion (DEI) Committee was established to more specifically, and strategically, address equitable participation in and access to programs and services as well as within the agency. The current DEI Committee's three-year strategic plan addresses important steps the agency is making towards assuring that access and participation for all Kentuckians is a priority.

**The Agency's Principles**

OVR Core Values:

OVR recognizes and respects the talents and contributions of all individuals as a vital part of a productive society; therefore, OVR values:

- That persons with disabilities deserve an opportunity;
- The rights, merit, and dignity of all persons with disabilities;
- Independence for Kentuckians with disabilities;
- Diversity, inclusion, and belonging;
- Competitive, integrated employment;
- Career advancement and economic security; and
- Collaborative efforts and partnerships.

OVR Vision Statement:

All Kentuckians with disabilities have an opportunity to be an essential part of Kentucky's workforce and their communities.

OVR Mission Statement:

To empower Kentuckians with disabilities to maximize independence and economic security through competitive, integrated employment.

**The Agency's Diversity, Equity and Inclusion (DEI) Committee's Priorities**

Core Values:

The Office of Vocational Rehabilitation's Diversity, Equity and Inclusion Committee recognizes and respects the talents and contributions of all individuals as a vital part of a productive society. Therefore, the committee values:



- Diversity in all forms
- Inclusive partnerships
- Equitable treatment of all stakeholders
- Education and training
- Accessibility in all forms
- Cultural competency

Vision Statement:

The KY OVR will be the nation's exemplary VR agency and a model employer by leveraging diversity and fostering inclusion and belongingness to deliver optimal vocational rehabilitation services.

Mission Statement:

To create a culturally diverse and inclusive environment at all levels, including, but not limited to, OVR Staff, individuals we serve and community partners.

*For more information, please see: Section B: CSNA; Section C: Goals, Priorities and Strategies; Section D: Evaluations and Reports of Progress; Section I: Comprehensive System of Personnel Development.*

2. BASED ON YOUR PROPOSED PROJECT OR ACTIVITY, WHAT BARRIERS MAY IMPEDE  
EQUITABLE ACCESS AND PARTICIPATION OF STUDENTS, EDUCATORS, OR OTHER  
BENEFICIARIES?

***Section 427 of the General Education Provisions Act (GEPA) (20 U.S.C. 1228a) applies to a State applicant submitting a state plan for a formula grant from the US Department of Education. The State applicant is responsible for completing the GEPA Section 427 form that provides a description of the steps the State proposes to take to ensure all program beneficiaries have equitable access to, and participation in, its Federally funded, State-level project or activity.***

GEPA 427 - Form Instructions for Application Package

***State applicants must respond to four questions.***

***The second of four questions is:***

*Based on your proposed project or activity, what barriers may impede equitable access and participation of students, educators, or other beneficiaries?*

OVR has identified barriers that may impede equitable access to consumers through multiple sources such as forums, internal and external surveys, and needs assessments. The following barriers that continue to affect consumers to equitable access and participation are: 1) the lack of program awareness; 2) transportation issues; and 3) physical barriers.

Program Awareness

Through input and comments from the Statewide Council for Vocational Rehabilitation (SCVR), public forums and internal surveying, OVR recognizes that many Kentuckians are unaware of the agency, its programs and services. This may impede progress towards equitable access to and equitable participation in the services provided to the public. The resources available for any person living with a disability who wants to work and who qualifies for services can be a

crucial step for self-sufficiency, independence and inclusion into the working world and can be life changing. This is identified as a barrier to equitable access and participation since not knowing about the programs and services does not allow all Kentuckians with disabilities the opportunity to be served. Ensuring that OVR services are known to the public are related to outreach efforts and visibility across minority, underserved or unserved and rural populations as discussed in various sections of this state plan, but more specifically in Section B: Comprehensive Statewide Needs Assessment.

### Transportation

During the state plan forums, there were multiple comments regarding continued transportation barriers. There are existing concerns of consumers in using for hire driving services such as Uber and Lyft due to safety concerns and lack of ability for many of the individually contracted drivers to provide the necessary accessibility features to meet the needs of the consumer as related to their specific disability. Consumers lack transportation options which present barriers to services and employment options, including those in rural areas.

### Physical Structures

Physical barriers exist within some state buildings.

*For more information, please see discussion in Section B: Comprehensive Statewide Needs Assessment, particularly subsection 1(b) and Section C.*

3. BASED ON THE BARRIERS IDENTIFIED, WHAT STEPS WILL YOU TAKE TO ADDRESS SUCH BARRIERS TO EQUITABLE ACCESS AND PARTICIPATION IN THE PROPOSED PROJECT OR ACTIVITY?

***Section 427 of the General Education Provisions Act (GEPA) (20 U.S.C. 1228a) applies to a State applicant submitting a state plan for a formula grant from the US Department of Education. The State applicant is responsible for completing the GEPA Section 427 form that provides a description of the steps the State proposes to take to ensure all program beneficiaries have equitable access to, and participation in, its Federally funded, State-level project or activity.***

*GEPA 427 - Form Instructions for Application Package*

***State applicants must respond to four questions.***

***The third of four questions is:***

*Based on the barriers identified, what steps will you take to address such barriers to equitable access and participation in the proposed project or activity?*

Based on the identified barriers to equitable access and participation, the steps OVR will or has taken are listed below:

### Outreach:

Outreach has become a greater focus to ensuring available services and resources are known. OVR continues to be a resource that many Kentuckians are unaware, and we are taking initiatives to address educating communities about these services.

OVR's Strategic Plan incorporates an outreach plan and process to improve public awareness that includes hiring a dedicated staff member for the outreach of the agency. The work for the dedicated staff would include presenting and representing culturally diverse settings that inform the public. As the first step towards this priority, the agency conducted a statewide

outreach needs assessment in 2023 to determine staff needs to adequately represent the agency. The agency was able to understand the requirements needed to implement the outreach plan, which include the collaborative efforts within the cabinet and the number of dedicated staff needed for outreach. Dedicated staff could serve as a direct representative, and point of initial contact, of minority and unserved or underserved communities. Currently, the agency prepares documents and information in both English and Spanish with the ability to address other languages through the Language Line Access Point contracted by the state for such services to assist in breaking language barriers.

The Diversity, Equity and Inclusion (DEI) Committee's Strategic Plan is making priority efforts in hiring and retaining diverse personnel who are representative of the populations served. The agency has taken action to assist this initiative by implementing its strategy outlined in Section C 2(b). The plan also addresses the need for outreach to minority and underserved populations across the state to help eliminate equitable access issues regarding services. The committee has developed objectives to ensure equitable service provision to all Kentuckians that include raising awareness and reviewing consumer diversity as well as policy and procedures that impact equitable service provision.

Underserved communities include the Deaf and Hard of Hearing, and the agency ensures access and participation by providing needed services. Currently, American Sign Language Interpreters are available for trainings, meetings, forums, etc. as needed and when other signing needs are required beyond the scope of what internally available ASL interpreters can provide. The agency works with the Commission on Deaf and Hard of Hearing Services as well as other resource providers to secure the appropriate interpreter for the situation.

In addition, the Department of Workforce Development has initiated a departmental wide Diversity, Equity, Inclusion and Accessibility (DEIA) training series through Next Level Now (NLN) Collaborative. The trainings will explore identifying strategies for a more inclusive and accessible workforce development system among other considerations, and agency wide participation is expected.

*For more discussion, see Sections B, C 2(b), D, I 2(b) and 2(c), Section J, Section K, and Section L.*

#### Transportation:

While OVR does not provide direct transportation to consumers, a process for reimbursement of expenses for certain services are in place. In urban areas public transportation is more available than in rural areas. In these cases, virtual options are provided to prevent transportation barriers from interfering with services needed. In addition to those services the agency can provide to assist with resources for transportation, OVR has a seated member on the Coordinated Transportation Advisory Committee (CTAC) that allows a voice for input into the currently available resources, deficits that exist in the current structure and future needs of those in need of public transit services.

During the State Plan Forums, suggestions from the public were made to involve the consumers family support system. It is not uncommon for consumers to rely on support structures for participation in services and for work which may include transportation. It was believed that if an authorized family or support contact was included and aware of appointments and other related meetings, this would help with transportation issues for some individuals. The agency considers the comments and input from the public.

The use of virtual services has greatly increased the ability to provide services. The agency utilizes Teams and Zoom as resources to interact with consumers and offer consumer choice as

to whether services are preferred online or in-person. This has expanded the ability of individuals to receive services from our agency when transportation is a barrier for them.

Physical barriers:

Career Centers are required to obtain ADA certifications regarding their physical structures and address any barriers with correction as part of their certification process. Agency assistive technology staff provide expertise as needed regarding recommendations for accommodations necessary to allow consumers access into the physical structures where services are housed.

When business activities, meetings and trainings are planned the accessibility of any facility identified for use is reviewed by qualified staff to ensure equal access is available to all attendees.

The use of virtual services has greatly increased the ability to provide services without the structural barriers that exist in physical buildings. The agency utilizes Teams and Zoom as resources to interact with consumers and offer consumer choice as to whether services are preferred online or in-person. This has expanded the ability of individuals to receive services from our agency when transportation is a barrier for them.

*For more information, please see: Section C: Goals, Priorities and Strategies; Section D: Evaluations and Reports of Progress, particularly priorities “Staff Resource,” “Facility Operations” and “Public Awareness” discussions; Section E: Supported Employment Services, Distribution of Title IV Funds..., particularly E (4); Section I: Comprehensive System of Personnel Development, particularly 2(b); Section L: Interagency Cooperation with other Agencies.*

4. WHAT IS YOUR TIMELINE, INCLUDING TARGETED MILESTONES, FOR ADDRESSING THESE IDENTIFIED BARRIERS?

***Section 427 of the General Education Provisions Act (GEPA) (20 U.S.C. 1228a) applies to a State applicant submitting a state plan for a formula grant from the US Department of Education. The State applicant is responsible for completing the GEPA Section 427 form that provides a description of the steps the State proposes to take to ensure all program beneficiaries have equitable access to, and participation in, its Federally funded, State-level project or activity.***

*GEPA 427 - Form Instructions for Application Package*

***State applicants must respond to four questions.***

***The final of four questions is:***

*What is your timeline, including targeted milestones, for addressing these identified barriers?*

The steps taken to address the identified barriers in question 3 are incorporated into OVR's and the Diversity, Equity and Inclusion (DEI) committee's strategic plans to address as a priority. Throughout this state plan, equitable access and participation is discussed as an agency concern for both internal and external consumers. The agency makes efforts to identify community and population needs of the state by providing reports in addition to the required CSNA, such as the Kentucky's Older Population and Vision Loss to learn even more about the states underserved and unserved populations.

Due to the broad affects some barriers have on consumers and the limitations OVR has on eliminating some barriers, such as public transportation availability and physical barriers that exist in other state buildings, most will be ongoing discussions to find ways services can still be provided. However, OVR has worked to bring consumers options, accommodations and

adjustments for removing barriers that are often out of the agency's control as discussed in the previous question.

Targeted milestones are based on the timelines of the strategic plans, which are reviewed, measured and/or adjusted, yearly. For example, the following timelines are:

OVR Strategic Plan: Started on October 1, 2023, and will expire on September 30, 2027. The agency's new strategic plan carries over priorities from the last with revisions, adjustments, additions and the removal of objectives as having been met. The current plan will be rewritten in 2027, but revisions may occur prior to 2027 as goals are either met or in progress. For more information regarding goals, priorities and strategies, particularly for Public Awareness, and the progress made by the agency, see Sections B, C and D.

DEI Strategic Plan: Started in 2022 and will expire in 2025. Currently, three objectives have been partially met, and two have been fully met. The newly formed committee and its strategic plan is still in progress and working towards its mission and vision. An updated plan will be in place for 2025. For more information, please see Section B and C 2(b).

OVR learns and discusses barriers of consumers regularly, from obtaining input and gaining insight through survey information. The partnership with the Statewide Council for Vocational Rehabilitation (SCVR) allows issues of concern to be shared more often with the agency whether formally or informally. OVR is committed to working to remove barriers to equitable access and participation in the agency and in its programs and services.

## GEPA 427 FORM INSTRUCTIONS FOR APPLICATION PACKAGE - SUPPORTED EMPLOYMENT EQUITY FOR STUDENTS, EDUCATORS, AND OTHER PROGRAM BENEFICIARIES

OMB Control Number 1894-0005 Expiration 02/28/2026

**Section 427 of the General Education Provisions Act (GEPA)** (20 U.S.C. 1228a) applies to a State applicant submitting a state plan for a formula grant from the US Department of Education. The State applicant is responsible for completing the GEPA Section 427 form that provides a description of the steps the State proposes to take to ensure all program beneficiaries have equitable access to, and participation in, its Federally funded, State-level project or activity.

### **GEPA Section 427 Form Instructions for State Applicants**

#### **State applicants must respond to the following four questions:**

1. Describe how your entity's existing mission, policies, or commitments ensure equitable access to, and equitable participation in, the proposed project or activity.
2. Based on your proposed project or activity, what barriers may impede equitable access and participation of students, educators, or other beneficiaries?
3. Based on the barriers identified, what steps will you take to address such barriers to equitable access and participation in the proposed project or activity?
4. What is your timeline, including targeted milestones, for addressing these identified barriers?

- Applicants identify any barriers that may impede equitable access and participation in the proposed project or activity, including, but not limited to, barriers based on economic disadvantage, gender, race, ethnicity, color, national origin, disability, age, language, migrant

status, rural status, homeless status or housing insecurity, pregnancy, parenting, or caregiving status, and sexual orientation.

- Applicants use the associated text box to respond to each question. However, applicants might have already included some or all this required information in the narrative sections of their applications or their State Plans. In responding to this requirement, for each question, applicants may provide a cross-reference to the section(s) in their State Plans that includes the information responsive to that question on this form or may restate that information on this form.
- Applicants are not required to have mission statements or policies that align with equity to apply.
- Applicants that have already undertaken steps to address barriers must still provide an explanation and/or description of the steps already taken in each text box, as appropriate, to satisfy the GEPA Section 427 requirement.
- Applicants that believe no barriers exist must still provide an explanation and/or description to each question to validate that perception, as appropriate, to satisfy the GEPA Section 427 requirement.

Please refer to GEPA 427 - Form Instructions for Application Package

1. DESCRIBE HOW YOUR ENTITY'S EXISTING MISSION, POLICIES, OR COMMITMENTS ENSURE EQUITABLE ACCESS TO, AND EQUITABLE PARTICIPATION IN, THE PROPOSED PROJECT OR ACTIVITY.

***Section 427 of the General Education Provisions Act (GEPA) (20 U.S.C. 1228a) applies to a State applicant submitting a state plan for a formula grant from the US Department of Education. The State applicant is responsible for completing the GEPA Section 427 form that provides a description of the steps the State proposes to take to ensure all program beneficiaries have equitable access to, and participation in, its Federally funded, State-level project or activity.***

*GEPA 427 - Form Instructions for Application Package*

***State applicants must respond to four questions.***

***The first of four questions is:***

*Describe how your entity's existing mission, policies, or commitments ensure equitable access to, and equitable participation in, the proposed project or activity.*

Office of Vocational Rehabilitation (OVR) is committed to ensuring equitable access to and equitable participation in all vocational rehabilitation services, programs and activities provided by the agency and discussed in this proposed 4-year plan. The belief in the agency's core values, mission and vision statements are reflected in practices, policies, and strategic plans, for guidance and consistency within the agency and in service delivery. To further our commitment, the Diversity, Equity and Inclusion (DEI) Committee was established to more specifically, and strategically, address equitable participation in and access to programs and services as well as within the agency. The current DEI Committee's three-year strategic plan addresses important steps the agency is making towards assuring that access and participation for all Kentuckians is a priority.

**The Agency's Principles:**

*OVR Core Values*

OVR recognizes and respects the talents and contributions of all individuals as a vital part of a productive society; therefore, OVR values:

- That persons with disabilities deserve an opportunity;
- The rights, merit, and dignity of all persons with disabilities;
- Independence for Kentuckians with disabilities;
- Diversity, inclusion, and belonging;
- Competitive, integrated employment;
- Career advancement and economic security; and
- Collaborative efforts and partnerships.

#### OVR Vision Statement

All Kentuckians with disabilities have an opportunity to be an essential part of Kentucky's workforce and their communities.

#### OVR Mission Statement

To empower Kentuckians with disabilities to maximize independence and economic security through competitive, integrated employment.

#### **The Agency's Diversity, Equity and Inclusion (DEI) Committee's Priorities:**

##### Core Values

The Office of Vocational Rehabilitation's Diversity, Equity and Inclusion Committee recognizes and respects the talents and contributions of all individuals as a vital part of a productive society. Therefore, the committee values:

- Diversity in all forms
- Inclusive partnerships
- Equitable treatment of all stakeholders
- Education and training
- Accessibility in all forms
- Cultural competency

##### Vision Statement

The KY OVR will be the nation's exemplary VR agency and a model employer by leveraging diversity and fostering inclusion and belongingness to deliver optimal vocational rehabilitation services.

##### Mission Statement:

To create a culturally diverse and inclusive environment at all levels, including, but not limited to, OVR Staff, individuals we serve and community partners.

*For more information, please see: Section B: CSNA; Section C: Goals, Priorities and Strategies; Section D: Evaluations and Reports of Progress; Section I: Comprehensive System of Personnel Development.*

**2. BASED ON YOUR PROPOSED PROJECT OR ACTIVITY, WHAT BARRIERS MAY IMPEDE EQUITABLE ACCESS AND PARTICIPATION OF STUDENTS, EDUCATORS, OR OTHER BENEFICIARIES?**

***Section 427 of the General Education Provisions Act (GEPA) (20 U.S.C. 1228a) applies to a State applicant submitting a state plan for a formula grant from the US Department of Education. The State applicant is responsible for completing the GEPA Section 427 form that provides a description of the steps the State proposes to take to ensure all program beneficiaries have equitable access to, and participation in, its Federally funded, State-level project or activity.***

GEPA 427 - Form Instructions for Application Package

***State applicants must respond to four questions.***

***The second of four questions is:***

*Based on your proposed project or activity, what barriers may impede equitable access and participation of students, educators, or other beneficiaries?*

OVR has identified barriers that may impede equitable access to consumers through multiple sources such as forums, internal and external surveys, and needs assessments.

The following barriers that continue to affect consumers to equitable access and participation are: 1) the lack of program awareness; 2) transportation issues; 3) physical barriers; and 4) limited provider capacity.

*Program Awareness*

Through input and comments from the Statewide Council for Vocational Rehabilitation (SCVR), public forums and internal surveying, OVR recognizes that many Kentuckians are unaware of the agency, its programs and services. This may impede progress towards equitable access to and equitable participation in the services provided to the public. The resources available for any person living with a disability who wants to work and who qualifies for services can be a crucial step for self-sufficiency, independence and inclusion into the working world and can be life changing. This is identified as a barrier to equitable access and participation since not knowing about the programs and services does not allow all Kentuckians with disabilities the opportunity to be served. Ensuring that OVR services are known to the public are related to outreach efforts and visibility across minority, underserved or unserved and rural populations as discussed in various sections of this state plan, but more specifically in Section B: Comprehensive Statewide Needs Assessment.

*Transportation*

During the state plan forums, there were multiple comments regarding continued transportation barriers. There are existing concerns of consumers in using for hire driving services such as Uber and Lyft due to safety concerns and lack of ability for many of the individually contracted drivers to provide the necessary accessibility features to meet the needs of the consumer as related to their specific disability. Consumers lack transportation options which present barriers to services and employment options, including those in rural areas.

*Physical Structures*



Physical barriers exist within some state buildings.

Limited Provider Capacity

Through input from public forums and internal and external surveying, OVR recognizes that many Kentuckians may not have access to viable supported employment services. There are many providers that have implemented waiting lists, which may delay access to services. In some cases, this is due to having only one provider in a given area. In others, it may be due to limited staff among respective providers.

*For more information, please see discussion in Section B: Comprehensive Statewide Needs Assessment.; Section E: Supported Employment Services and the Distribution of Title VI Funds.*

**3. BASED ON THE BARRIERS IDENTIFIED, WHAT STEPS WILL YOU TAKE TO ADDRESS SUCH BARRIERS TO EQUITABLE ACCESS AND PARTICIPATION IN THE PROPOSED PROJECT OR ACTIVITY?**

***Section 427 of the General Education Provisions Act (GEPA) (20 U.S.C. 1228a) applies to a State applicant submitting a state plan for a formula grant from the US Department of Education. The State applicant is responsible for completing the GEPA Section 427 form that provides a description of the steps the State proposes to take to ensure all program beneficiaries have equitable access to, and participation in, its Federally funded, State-level project or activity.***

*GEPA 427 - Form Instructions for Application Package*

***State applicants must respond to four questions.***

***The third of four questions is:***

*Based on the barriers identified, what steps will you take to address such barriers to equitable access and participation in the proposed project or activity?*

Outreach has become a greater focus to ensuring available services and resources are known. OVR continues to be a resource that many Kentuckians are unaware, and we are taking initiatives to address educating communities about these services.

OVR's Strategic Plan incorporates an outreach plan and process to improve public awareness that includes hiring a dedicated staff member for the outreach of the agency. The work for the dedicated staff would include presenting and representing culturally diverse settings that inform the public. As the first step towards this priority, the agency conducted a statewide outreach needs assessment in 2023 to determine staff needs to adequately represent the agency. The agency was able to understand the requirements needed to implement the outreach plan, which include the collaborative efforts within the cabinet and the number of dedicated staff needed for outreach. Dedicated staff could serve as a direct representative, and point of initial contact, of minority and unserved or underserved communities. Currently, the agency prepares documents and information in both English and Spanish with the ability to address other languages through the Language Line Access Point contracted by the state for such services to assist in breaking language barriers.

OVR has increased its focus on building provider capacity for the provision of supported employment services. The development and implementation of establishment project grants for the purpose of expanding Individual Placement and Support and Customized Employment will continue. This will result in request for proposal opportunities for existing CRPs to expand

their scope of service and/or geographic area for existing services, or for prospective CRPs to develop programs in underserved areas. The agency has been able to explore perspectives of CRPs to better understand sustainability issues impacting them. OVR has begun the process to explore supported employment rates and systems, to better determine the unintended impact on CRPs.

Transportation:

While OVR does not provide direct transportation to consumers, a process for reimbursement of expenses for certain services are in place. In urban areas public transportation is more available than in rural areas. In these cases, virtual options are provided to prevent transportation barriers from interfering with services needed. In addition to those services the agency can provide to assist with resources for transportation, OVR has a seated member on the Coordinated Transportation Advisory Committee (CTAC) that allows a voice for input into the currently available resources, deficits that exist in the current structure and future needs of those in need of public transit services.

During the State Plan Forums, suggestions from the public were made to involve the consumers family support system. It is not uncommon for consumers to rely on support structures for participation in services and for work which may include transportation. It was believed that if a provided and authorized family or support contact was included and aware of appointments and other related meetings, this would help with transportation issues for some individuals. The agency considers the comments and input from the public.

The use of virtual services has greatly increased the ability to provide services. The agency utilizes Teams and Zoom as resources to interact with consumers and offer consumer choice as to whether services are preferred online or in-person. This has expanded the ability of individuals to receive services from our agency when transportation is a barrier for them.

For more information, please see: Section C: Goals, Priorities and Strategies; Section D: Evaluations and Reports of Progress, particularly priorities "Staff Resource," "Facility Operations" and "Public Awareness" discussions; Section E: Supported Employment Services, Distribution of Title IV Funds...

#### 4. WHAT IS YOUR TIMELINE, INCLUDING TARGETED MILESTONES, FOR ADDRESSING THESE IDENTIFIED BARRIERS?

***Section 427 of the General Education Provisions Act (GEPA) (20 U.S.C. 1228a) applies to a State applicant submitting a state plan for a formula grant from the US Department of Education. The State applicant is responsible for completing the GEPA Section 427 form that provides a description of the steps the State proposes to take to ensure all program beneficiaries have equitable access to, and participation in, its Federally funded, State-level project or activity.***

*GEPA 427 - Form Instructions for Application Package*

***State applicants must respond to four questions.***

***The final of four questions is:***

*What is your timeline, including targeted milestones, for addressing these identified barriers?*

The steps taken to address the identified barriers in question 3 are incorporated into OVR's strategic plan to address as a priority. Throughout this state plan, provider capacity is discussed as an agency concern for both internal and external consumers. The agency makes efforts to

identify community and population needs of the state by conducting surveys to learn even more about the states under-served and unserved populations.

Due to the broad affects some barriers have on consumers and the limitations OVR has on eliminating some barriers, such as public transportation availability, physical barriers, and limited provider capacity that exist, most will be ongoing discussions to find ways services can still be provided. However, OVR has worked to bring consumers options, make accommodations and adjustments for removing barriers that are often out of the agency's control as discussed in the previous question.

Targeted milestones are based on the timelines of the strategic plans, which are reviewed, measured and/or adjusted, yearly. For example, the following timelines are:

OVR Strategic Plan: Started on October 1, 2023, and will expire on September 30, 2027. The agency's new strategic plan carries over priorities from the last with revisions, adjustments, additions and the removal of objectives as having been met. The current plan will be rewritten in 2027, but revisions may occur prior to 2027 as goals are either met or in progress. For more information regarding goals, priorities and strategies, particularly provider capacity, and the progress made by the agency, *see Sections D and E.*

OVR learns and discusses barriers of consumers regularly, from obtaining input and gaining insight through survey information. The partnership with the Statewide Council for Vocational Rehabilitation (SCVR) allows issues of concern to be shared more often with the agency whether formally or informally. OVR is committed to working to remove barriers to equitable access and participation in the agency and in its programs and services.

## VII. PROGRAM-SPECIFIC REQUIREMENTS FOR COMBINED STATE PLAN PARTNER PROGRAMS

States choosing to submit a Combined State Plan must provide information concerning the six core programs—the Adult program, Dislocated Worker program, Youth program, Wagner-Peyser Act program, Adult Education and Family Literacy Act program, and the Vocational Rehabilitation program— and also submit relevant information for any of the eleven partner programs it elects to include in its Combined State Plan. When a State includes a Combined State Plan partner program in its Combined State Plan, it need not submit a separate plan or application for that particular program. <sup>24</sup> If included, Combined State Plan partner programs are subject to the “common planning elements” in Sections II-IV of this document, where specified, as well as the program-specific requirements for that program.

[24] States that elect to include employment and training activities carried out under the Community Services Block Grant (CSBG) Act (42 U.S.C. 9901 et seq.) under a Combined State Plan would submit all other required elements of a complete CSBG State Plan directly to the Federal agency that administers the program. Similarly, States that elect to include employment and training activities carried by the Department of Housing and Urban Development would submit all other required elements of a complete State Plan for those programs directly to the Federal agency that administers the program.

### TRADE ADJUSTMENT ASSISTANCE (TAA)

There are no program-specific state planning requirements for TAA. If the state includes TAA in a Combined State Plan, the state must incorporate TAA in its responses to the common planning elements in sections II, III, IV, and V of the WIOA State Plan requirements instrument.

Has the state incorporated TAA into the sections indicated above?

Yes

## JOBS FOR VETERANS' STATE GRANTS

(OMB Control Number: 1293-0017)

### **Components of the Jobs for Veterans State Grants State Plan**

Jobs for Veterans State Grants (JVSG) recipients must provide a four-year state plan as a condition for the receipt of annual funding in accordance with 38 U.S.C. § 4102A(c). This plan must include responses to each of the components below.

#### **A. DESCRIBE HOW THE STATE INTENDS TO PROVIDE EMPLOYMENT, TRAINING, AND JOB PLACEMENT SERVICES TO VETERANS AND ELIGIBLE PERSONS UNDER THE JVSG PROGRAM (I.E., VIRTUALLY AND IN-PERSON).**

The Commonwealth of Kentucky, hereinafter referred to as the "state," provides the following information for the Jobs for Veterans State Grant (JVSG).

JVSG is a mandatory, formula-based staffing grant to support Disabled Veterans' Outreach Program (DVOP) specialists and Local Veterans' Employment Representatives (LVER) staff. JVSG is funded annually in accordance with a formula defined in statute and regulation and operates on a fiscal year (not program year) basis. However, performance metrics are collected and reported quarterly (using four "rolling quarters") on a program year basis (as with the ETA-9173 Series).

Kentucky intends to provide services to veterans and other eligible persons by JVSG staff members according to the needs of the veteran, any significant barrier to employment (SBE) they may possess, and the roles and responsibilities of JVSG personnel. DVOP specialists and LVER staff are essential parts of and fully integrated into the Kentucky Career Center Network (KCC).

All job seekers complete an initial assessment which is used to identify potential veterans and other eligible persons. When a veteran/other eligible person is identified, job center staff ask additional questions to determine if they have an eligible SBE.

Staff utilize a one-page, quick-look Veteran Information Form which contains a concise list of SBE criteria, along with the definitions of others who are eligible, homelessness, and Kentucky low-income limits. If a determination is made that the veteran/other eligible person is eligible and in need of individualized career services, they are referred to a DVOP specialist for further assessment.

The primary function of the DVOP specialists is to provide individualized career services to veterans and other eligible persons with SBEs. Services may be delivered in-person or virtually depending on the needs of the veteran/other eligible person and the availability of the services. A comprehensive assessment is the prerequisite to placing the veteran/other eligible person in case management. Once the comprehensive assessment has been completed, the DVOP shall, with the cooperation of the veteran/other eligible person, develop and implement an individual employment assistance plan (IEAP). DVOP specialists shall always, and as a minimum, complete these two individualized career services. Follow-up will be conducted once the veteran or eligible person is placed into employment.

Once a veteran/other eligible person is determined by KCC staff to be "job ready," the veteran/other eligible person's resume will be referred to a LVER, or a business services representative from the Office of Employment and Apprenticeship (OEAS) team, or other appropriate KCC staff for employment placement services. Employment placement services may include job development contacts, direct referral to an employer, referral to attend an employer job fair, direct referral to the employer's website, or any other means of connecting the veteran/other eligible person with an employer.

These services are now an integral and strategic part of the KCC providing seamless services to career seekers within the state.

The duties of DVOP specialists and LVER staff throughout the state are consistent with the roles and responsibilities outlined in 38 U.S.C. § 4103A, 4104, and current guidance provided by the United States Department of Labor (USDOL) Veterans' Employment and Training Services (VETS).

**B. LIST THE POPULATIONS TO BE SERVED BY DISABLED VETERANS' OUTREACH PROGRAM (DVOP) AND CONSOLIDATED POSITION STAFF, INCLUDING THE ELIGIBILITY CRITERIA FOR REFERRAL FOR DVOP SERVICES.**

The populations to be served by Disabled Veterans' Outreach Program (DVOP) and consolidated position staff is provided below:

- A special disabled or disabled veteran, as those terms are defined in 38 U.S.C § 4211(1) and (3); special disabled and disabled veterans are those: who are entitled to compensation (or who, but for the receipt of military retired pay, would be entitled to compensation) under laws administered by the Secretary of Veterans Affairs; or, were discharged or released from active duty because of a service-connected disability;
- A homeless person, as defined in Sections 103(a) and (b) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11302(a) and (b)), as amended;
- A recently-separated service member, as defined in 38 U.S.C § 4211(6), who has been unemployed for 27 or more weeks in the previous 12 months;
- An offender, as defined by WIOA Section 3 (38), who is currently incarcerated or who has been released from incarceration;
- A veteran lacking a high school diploma or equivalent certificate; or
- A low-income individual (as defined by WIOA Section 3 (36)).
- Veterans aged 18-24 possess limited civilian work history which can make transitioning to the civilian labor force difficult. Based on this fact, veterans between the ages of 18 and 24 may benefit from individualized career services provided by a DVOP specialist.
- Pursuant to 38 U.S.C. 4211, the term "Veteran of the Vietnam Era" is an eligible veteran any part of whose active military, naval, or air service was during the Vietnam era. The Bureau of Labor Statistics and Department of Veterans Affairs (VA) data indicate that there are still a sizeable number of Vietnam-era Veterans in the workforce, and many face difficulty in finding and maintaining employment.
- In annual appropriation bills since the Consolidated Appropriations Act of 2014, Congress authorized NSG grants to support services as described in VPL 07-14 to:

- Transitioning members of the Armed Forces who have been identified as in need of intensive services (now referred to as Individualized Career Services);
- Members of the Armed Forces who are wounded, ill, or injured and receiving treatment in military treatment facilities (MTF) or warrior transition units (WTU); and
- The spouses or other family caregivers<sup>3</sup> of such wounded, ill, or injured members.

In addition to the above clarifications to the definition of SBE, the following guidance is provided to improve the identification and support of disabled veterans. In accordance with prior guidance, the determination of disability under the SBE definitions must be made solely on the basis of self-identification. Note that any individual who separated from active duty because of a service-connected disability qualifies as a disabled veteran regardless of the number of days of active duty served, as does any veteran with a disability rating provided by the Department of Veterans Affairs (VA) (or a military Service issued disability determination) as described in 38 U.S.C. § 4211(1). An individual who attests to having a disability claim pending with the VA should be considered to have an approved claim for the purposes of determining SBE.

**C. DESCRIBE THE ROLES AND RESPONSIBILITIES ASSIGNED TO DISABLED VETERANS' OUTREACH PROGRAM (DVOP) SPECIALISTS, LOCAL VETERANS' EMPLOYMENT REPRESENTATIVE (LVER) STAFF, AND CONSOLIDATED DVOP/LVER POSITIONS BY THE STATE. THESE MUST BE CONSISTENT WITH 38 U.S.C. 4103A AND 4104.**

The primary function of the state's DVOP specialist team is to provide individualized career services for veteran/other eligible persons identified to have an eligible SBE. DVOPs receive case assignments or referrals from job centers.

DVOPs will:

Facilitate individualized career services to veterans/other eligible persons with significant barriers to employment. These services may include any combination of the following:

- Perform case management duties, to include client follow-up and case closure as needed;
- Offer appropriate assistance and educate other job center staff of veteran services;
- Provide reports, as needed, to appropriate managers and the State Veterans Program Coordinator (SVPC);
- Provide and facilitate a full range of training needs, to include gathering and interpreting labor market information (LMI) to assist veteran/other eligible person in making informed choices; and
- Conduct relationship building, outreach, and recruitment activities with other service providers in the local area to enroll SBE and priority category veterans/other eligible persons in a local KCC.

DVOP specialists target supportive services to eligible veterans/other eligible persons within the agency or community resources as needed. To ensure appropriate and successful referrals, DVOPs are part of integrated teams that consist of various training and employment programs designed to help career seekers obtain and retain suitable employment. Depending on veterans'/other eligible persons' needs, as determined throughout the case management

process, DVOPs may refer the veteran/other eligible person to supportive services, which may include:

- Vocational Rehabilitation and Employment (VR&E) Programs
- Homeless Veterans Reintegration Project (HVRP) grantees
- Department of Veterans Affairs' Medical Centers (VAMC)
- Kentucky Department of Veterans Affairs (KDVA)
- Workforce Innovation and Opportunity Act (WIOA) Partners
- State Vocational Rehabilitation Agencies (Voc. Rehab)
- Community/Civic Service Organizations (CSO), Faith Base Organizations (FBO) and Veteran Service Organizations (VSO)
- Military Installations
- Local Homeless Shelters
- Community Stand Downs
- Veterans Court (if applicable in the area)

DVOP specialists (when applicable) conduct outreach activities (both scheduled and ad hoc). DVOPs target outreach activities toward programs, places, and organizations where there is a high likelihood of meeting veterans/other eligible persons with an SBE. The DVOP specialist will coordinate outreach activities with their Regional Manager (RM) to ensure maximum efficiency of their outreach efforts.

Local Veterans' Employment Representative (LVER):

In Veterans' Program Letter 03-14, including Changes 1 & 2, the following are the mandated functions for the Local Veterans' Employment Representative Staff:

- As an integral part of the Kentucky Career Center (KCC) Business Services Team (BST), LVER staff work with employers to promote veterans as job seekers who have highly marketable skills and experience.
- LVER staff advocate for veterans to gain employment and training opportunities with business, industry, and community-based organizations to accomplish this, LVER staff participates in a variety of outreach activities including, but not limited to:
- Plan and participate in job fairs.
- Coordinate with unions, apprenticeship programs, and business organizations to promote employment, and training opportunities for veterans.
- Promote credentialing and training opportunities for veterans with training providers and licensing agencies.
- LVER staff establishes, facilitates, and/or maintains regular contact with employers to include federal contractors. They will coordinate with employer relations representatives as part of the BST to include veterans in their marketing efforts.

- LVER staff provides and facilitates a full range of employment, training, and placement services to meet the needs of priority veterans in targeted categories identified and approved in the State Plan. These services may include, but are not limited to:
- Conducting job search assistance workshops in conjunction with employer
- Providing job development opportunities

Although the LVER is an integrated member of the Business Services Team, the LVER differs from other members of the BST as the LVER advocates for veterans for employment and training opportunities with business, industries, union, and apprenticeship programs. The LVER may ask employers specifically to seek veterans for positions in their companies. Optimally, the employer would target specific positions for veterans with certain skills (based on the veterans' military training/military occupational specialty). Under no circumstances will the LVER provide related services to noneligible customers.

The LVER staff can inform the community of Veteran Services. LVER staff may be encouraged to attend community meetings such as area Unions, Hiring Events, and local Chamber of Commerce to promote all the AJC services, both as a networking tool and for the opportunity to speak about veterans' programs. These activities will be approved by the Regional Manager (RM) and coordinated with the regional Business Services Team.

#### Consolidated Staff Duties

Consolidated (CONS) staff focus on the rural areas of the state and provide a service to both employers and to veterans/other eligible persons. This allows one position to fill both roles to ensure veteran services are being provided in all areas of the state. Once a veteran's employment and training needs have been identified, the KCC staff ensures that appropriate services are provided.

#### General Duties:

LVERs are also responsible for facilitating employment, training, and placement services to veterans in accordance with the employment service delivery systems utilized in the KCC.

**D. DEMONSTRATE THE MANNER IN WHICH DVOP, LVER AND CONSOLIDATED DVOP/LVER STAFF ARE INTEGRATED INTO THE STATE'S EMPLOYMENT SERVICE DELIVERY SYSTEMS OR AMERICAN JOB CENTER (AJC). THIS DEMONSTRATION SHOULD SHOW ACTIVE ENGAGEMENT BETWEEN JVSG AND OTHER AJC STAFF, SUCH AS THROUGH PARTICIPATION IN STAFF MEETINGS AND CROSS-TRAINING OPPORTUNITIES.**

LVER/DVOPS/Consolidated personnel all attend AJC staff meetings to provide updates on veteran services, to answer questions from staff and to discuss needed services. CONS staff are also available to provide training to other center staff. CONS staff conduct employer outreach and plan job fairs and other activities to promote the employment of veteran customers.

Strategies to address individual needs include literacy and basic skills programs, resources for occupational skills training, job accommodations, assistive technologies, disability awareness training and other activities that may address barriers and support achievement of positive employment outcomes.

The DVOP specialist is integrated into the state's employment service delivery system and is required to know programs that are available to assist veterans with SBE's in improving their skills so they can take the next step in their career path. When providing case management to veterans with SBE's, the DVOP collaborates with other program staff and processes such as



Vocational Rehabilitation, Wagner-Peyser, WIOA program staff and other partners to provide needed services, such as informational, training and workshops sessions conducted at the KCC. The DVOP will provide services and case management in conjunction with the Wagner-Peyser case manager.

The LVER is an integrated member of the regional Business Services Team (BST) and advocates for all veterans served by the Kentucky Career Center (KCC) staff members and partners (Vocational Rehabilitation, Wagner-Peyser, WIOA program staff, etc.) with business, industry, and other community-based organizations by participating in appropriate activities such as:

- Planning and participating in job fairs and career fairs
- Conducting employer outreach
- In conjunction with employers, conducting job searches and workshops, and establishing job search groups.
- Coordinating with unions, apprenticeship programs, and business or business organizations to promote and secure employment and training programs for veteran.
- Informing federal contractors of the process to recruit qualified veterans.
- Coordinating and participating with other business outreach efforts
- LVERs are also responsible for facilitating employment, training, and placement services to veterans in accordance with the employment service delivery systems utilized in the KCC.

#### Mentorship Program:

The State Program Coordinator and the State Program Assistant Coordinator are responsible for the mentorship program. All new CDO JVSG staff will be assigned a mentor. The mentor will be well trained and versed in their respective roll and preferably come from the office closest to the new staff person's office. Only a LVER will mentor a

LVER and a DVOP will mentor a DVOP. A LVER and a DVOP will both mentor a Consolidated staff member. In the event a DVOP or LVER staff member is not able to mentor a new staff member, the State Program Coordinator or State Program Assistance Coordinator will provide training and the mentorship. The State Program Coordinator or State Program Assistance Coordinator will contact the office managers involved and coordinate a time for the mentor to meet the new LVER/DVOP. The mentor will be reimbursed for the mileage if a privately owned vehicle is used.

The mentor will assist the new JVSG staff member in the following areas:

- Understanding Public Law 107-288
- Understanding of the Kentucky JVSG Standard Operating Procedures Manual
- The duties of the position as defined in Veterans Program Letter (VPL) 03-14, including Changes 1 & 2
- Agencies available that can provide support for veterans (State and Federal)
- Basic KEE Suite training for DVOPS will be conducted, particularly for case management purposes.
- Basic KIBES training for LVERs will be conducted.

- Any other veteran issues determined by the office manager and the mentor.
- Any other training deemed necessary by the mentor.

The goal of the mentorship program is to give the new JVSG staff member guidance on their roles and responsibilities and an understanding of the resources available to aid them in serving veterans. Additionally, the program seeks to establish a support network for the new JVSG staff member allowing quick response to questions.

The State Program Coordinator or the State Program Assistant Coordinator will contact with the new JVSG staff member to ensure they have the appropriate reference material necessary to become successful in their position.

The LVER is required to have an outreach plan approved by the Regional Manager. The LVER is the advocate for veterans' employment and training opportunities with business, industry, community-based organizations, as well as the Kentucky Career Center (KCC) partners. The LVER will participate in job and career fairs, and coordinate with unions, apprenticeship programs, and business organizations to promote employment and training programs for veterans. Additionally, the LVER will promote credentialing and licensing opportunities with appropriate agencies.

The LVER is required to facilitate and or maintain regular contact with employers within their area of responsibility. They should communicate to employers the benefits of hiring veterans and promote the KCC office to become the first point of contact for employers looking for new hires. The manager should have a business plan that includes direct participation by the LVER. The manager will be required, quarterly, to report the number of employer visits and phone contacts conducted by the office staff. After a visit or phone conversation, the employer contact must be recorded in the appropriate reporting system. The LVER staff will be reimbursed if a privately owned vehicle is used.

The DVOP is required to have an outreach plan approved by the Regional Manager. The DVOP is to conduct outreach activities at a variety of organizations and sites where veterans with barriers to employment can be found. These sites include but are not limited to: Vocational Rehabilitation and Employment programs, Homeless Veterans Reintegration Project grantees, and the Department of Veterans Affairs' Medical Centers and Veteran Centers, State Vocational Rehabilitation Agencies, Workforce Innovation & Opportunity Act (WIOA) partners, military installations, homeless shelters, civic and service organizations, and community veteran Stand-Downs. The DVOP should become well known to the staff running these organizations. Additionally, the manager will report, quarterly, the number of outreach visits conducted by the JVSG staff. The DVOP will record their outreach information in the appropriate reporting system. The DVOP staff will be reimbursed if a privately owned vehicle is used.

As an integral part of the States Labor Exchange System, the LVER works with other service providers to promote the advantages of hiring Veterans to employers and employer groups. Additionally, the LVER should coordinate with the employer relations representatives as part of the KCC system to include veterans in their marketing efforts.

It is recommended that the LVER be included in the meetings with KCC partners. The LVER should provide information on the Veterans' program, changes to policies, procedures, and the law as it pertains to the Veterans' program.

E. DESCRIBE THE STATE'S PERFORMANCE INCENTIVE AWARD PROGRAM TO ENCOURAGE INDIVIDUALS AND/OR EMPLOYMENT SERVICE OFFICES TO IMPROVE AND/OR ACHIEVE EXCELLENCE IN THE PROVISION OF SERVICES TO VETERANS, INCLUDING:

1. THE NOMINATION AND SELECTION PROCESS FOR ALL PERFORMANCE INCENTIVE AWARDS TO INDIVIDUALS AND/OR OFFICES;

The JVSG Program utilizes the monetary incentive awards program authorized under VPL 03-22 to recognize state employees and offices that provide exceptional service to veterans and other eligible persons. Per guidance, 1% of the JVSG funding may be used for Veterans Performance Incentive Awards.

The objective of the program is to encourage all career development office staff members to be more attuned to the needs of the veteran population served in the Kentucky Career Centers, as well as continually ensure improvements are made to the overall delivery system of services provided to veterans. Recognition of outstanding service to veterans is necessary to highlight the best practices and individual achievements of state employees. By having a formalized incentive program, the JVSG is able to publicly acknowledge those who have provided veterans with exceptional service.

The number of awards will be based in part on the number of nominations. The selection committee will use the nominations to determine the number of awards and amount of the awards. Awardees are not restricted to JVSG staff, as other state employees and Comprehensive Kentucky Career Center offices who provide employment, training, and placement services to veterans are eligible recipients. Only one Comprehensive Kentucky Career Center per Local Workforce Development Area can be selected for an award.

Personnel Cabinet will disperse the funds IAW KRS 61.510 (13). Awards will be strictly monetary to the recipient. Non-monetary awards will not be considered as part of the Veterans Performance Incentive Award.

Awards will occur annually on the following timeline:

- May 30: Submission deadline.
- July 15: Announcement of recipients.
- August 10: All allocated funds via purchase request submitted to DOL.
- September 30: Obligated (encumbered) via procurement.
- December 31: Funds expended.

Any unspent incentive award funding will be deobligated during the grant close out of the fiscal year and returned to Treasury.

Selection Committee

The selection committee for these awards will be comprised of, at the minimum, the Executive Director of the Career Development Office, the Veteran Program Coordinator,

U.S. Department of Labor Veterans' Employment and Training State Director. The committee may add all others deemed appropriate to the selection process. The selection committee members will be responsible for: (a) recording the minutes of each committee meeting; (b) retaining documentation for one (1) year on all persons or offices that have been nominated; (c) ensuring persons on the selection committee who have made nominations do not vote on those

nominations; and, (d) pre-approving an additional person to act as a “tie-breaking” vote in the event one is needed.

### Submissions

Submissions for an individual may include documentation that displays outstanding service to a veteran or veterans, in turn producing positive outcomes. Awards to offices should be reserved for instances where most, if not all, office staff contribute to providing or improving employment and training services to veterans. Each individual office may submit one (1) office application. Activities must have taken place during the current program year, which runs July 1<sup>st</sup> to June 30<sup>th</sup>. *Submissions must clearly indicate they are for Incentive Award consideration.* For example, VETS Success Story submission will not be assumed they are also Incentive Award submissions unless clearly marked as such.

Examples include, but are not limited to:

- An exemplary success story showcasing substantial assistance with overcoming SBE(s) leading to successful job placement or development.
- Developing and sharing a best practice that has greatly benefited veterans.
- Creating and implementing a new program or initiative that promotes employment or training opportunities for Veterans.
- Additional achievements that provide a positive impact that enables a veteran or veterans to achieve meaningful employment.

The commonwealth does not anticipate any challenges to carrying out a performance incentive award program as mandated.

## 2. THE APPROXIMATE NUMBER AND VALUE OF CASH AWARDS USING THE ONE PERCENT INCENTIVE AWARD ALLOCATION;

### Individual Awards

Incentive award funds will be used, based on availability of funds for individual awardees. If an individual is unable to accept the Incentive Award, the individual will forfeit the award, and the runner up individual recipient will receive the award.

A JVSG staff member will receive:

- A monetary award, with a maximum of \$2000 to the individual.
- A non-JVSG staff member will receive:
- A monetary award with a maximum of \$2000 to the individual.

### Office Award

An individual office is eligible to receive:

A maximum of \$1,500 to be used as they see fit, within the guidelines of VPL 03-22, to better enable the office to serve veterans.

The commonwealth does not anticipate any challenges to carrying out a performance incentive award program as mandated.

### 3. THE GENERAL NATURE AND APPROXIMATE VALUE OF NON-CASH PERFORMANCE INCENTIVE AWARDS TO BE CHARGED TO THE BASE ALLOCATION; AND

Submissions for an individual may include documentation that displays outstanding service to a veteran or veterans, in turn producing positive outcomes. Awards to offices should be reserved for instances where most, if not all, office staff contribute to providing or improving employment and training services to veterans. Each individual office may submit one (1) office application. Activities must have taken place during the current program year, which runs July 1<sup>st</sup> to June 30<sup>th</sup>. *Submissions must clearly indicate they are for Incentive Award consideration.* For example, VETS Success Story submission

will not be assumed they are also Incentive Award submissions unless clearly marked as such.

Examples include, but are not limited to:

- An exemplary success story showcasing substantial assistance with overcoming SBE(s) leading to successful job placement or development.
- Developing and sharing a best practice that has greatly benefited veterans.
- Creating and implementing a new program or initiative that promotes employment or training opportunities for Veterans.
- Additional achievements that provide a positive impact that enables a veteran or veterans to achieve meaningful employment.

#### Individual Awards

Incentive award funds will be used, based on availability of funds for individual awardees. If an individual is unable to accept the Incentive Award, the individual will forfeit the award, and the runner up individual recipient will receive the award.

#### Office Award

An individual office is eligible to receive:

The commonwealth does not anticipate any challenges to carrying out a performance incentive award program as mandated.

### 4. ANY CHALLENGES THE STATE MAY ANTICIPATE TO CARRYING OUT A PERFORMANCE INCENTIVE AWARD PROGRAM AS MANDATED BY 38 U.S.C. § 4102A(C). THIS SHOULD INCLUDE ANY STATE LAWS OR POLICIES THAT PROHIBIT SUCH AWARDS, IF APPLICABLE. DESCRIBE THE STATE'S EFFORTS IN OVERCOMING THOSE CHALLENGES.

The commonwealth does not anticipate any challenges to carrying out a performance incentive award program as mandated.

### F. LIST THE PERFORMANCE TARGETS FOR DIRECT SERVICES TO VETERANS PROVIDED BY JVSG STAFF, AS MEASURED BY PARTICIPANTS':

- employment rate in the second quarter after exit from the program;
- employment rate in the fourth quarter after exit; and
- median earnings in the second quarter after exit.

Per VPL 01-22, states must identify and set performance targets for specific indicators for direct services to veterans provided by JVSG staff in their State Plans. The established JVSG targets will cover veterans served by JVSG staff only. The 2024-2027 state performance targets for services to veterans are the following:

Employment Rate – 2nd Quarter After Exit: 65.0%

Employment Rate – 4th Quarter After Exit: 67.0%

Median Earnings – 2nd Quarter After Exit: \$5,900

## UNEMPLOYMENT INSURANCE (UI)

(OMB Control Number: 1205-0132)

The Unemployment Insurance (UI) program requires a State Quality Service Plan (SQSP) on a 2-year planning cycle that is a condition of receipt of administrative funding to administer the program. The SQSP is the State's UI performance management and planning process that allows for an exchange of information between Federal and State partners to enhance the UI program's ability to reflect their joint commitment to performance excellence and client-centered services. A formal two-year SQSP is submitted biennially. On the off years, States may be required to modify the SQSP with additional corrective action plans and narrative if they are failing any new performance measures, and they are required to provide updated budget documents, certifications, and assurances. ETA Handbook No. 336, 18th Edition provides detailed guidance for the preparation and submittal of the SQSP and supplemental guidance is provided in an annual UIPL, issued as UIPL 15-19 for the FY 2020 SQSP. The Social Security Act (SSA) sections 302 and 303 authorize the Secretary of Labor to provide funds to administer the UI program and govern the expenditure of those funds. States that choose the option to include UI in a WIOA Combined State Plan will be required to submit their SQSP through the Combined State Plan process. The SQSP must be prepared in accordance to the instructions in ET Handbook 336, 18th Edition and there are no changes to the established SQSP cycle if a State chose to submit their SQSP through the Combined State Plan process.

### A. CONTENTS OF A COMPLETE UI SQSP PACKAGE

A complete UI SQSP package includes the following documents, as described in Chapter 1, ETA Handbook 336, 18th Edition:

#### 1. TRANSMITTAL LETTER

A cover letter to the appropriate Regional Office (RO) transmitting all the required SQSP documents.



EDUCATION and LABOR CABINET  
OFFICE OF UNEMPLOYMENT INSURANCE

Executive Director's Office  
500 Mero St 4<sup>th</sup> Floor  
Frankfort, KY 40621  
(502) 564-2900

Mr. Charles Webb  
UI Program Specialist  
U.S. Department of Labor

September 15, 2023

Dear Mr. Webb,

Enclosed is the Kentucky Office of Unemployment Insurance State Quality Service Plan for Federal Fiscal Year 2024. All required pages from Kentucky are included in this plan.

The help and support of the Atlanta Regional Office is greatly appreciated. If any additional information is needed or if you have any questions regarding this plan, please contact Tara Welch, Administrative Branch Manager at (502) 792-3192.

Sincerely,

/s/ Buddy Hoskinson

Buddy Hoskinson  
Executive Director  
Office of Unemployment Insurance

## 2. BUDGET WORKSHEETS/FORMS

Budget worksheets/forms and plan for program administration based on projected allocations received from the Federal partner. These forms include Worksheet UI-1 and SF 424, SF 424A and SF 424B. The SF 424A is only required if the State vary the quarterly distribution of base claims activity staff years.

Application for Federal Assistance SF-424		
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
* 3. Date Received: 09/16/2023	4. Applicant Identifier: ETA-UIPL-13-23-Base	
5a. Federal Entity Identifier: <input type="text"/>	5b. Federal Award Identifier: ETA-UIPL-13-23-Base	
<b>State Use Only:</b>		
6. Date Received by State: 09/12/2023	7. State Application Identifier: <input type="text"/>	
<b>8. APPLICANT INFORMATION:</b>		
* a. Legal Name: Department of Workforce Development		
* b. Employer/Taxpayer Identification Number (EIN/TIN): 61-0600439	* c. UEI: P88LB4RGEJMS	
<b>d. Address:</b>		
* Street1: 500 Mero Street	Street2: 4th Floor	
* City: Frankfort	County/Parish: Franklin	
* State: KY: Kentucky	Province: <input type="text"/>	
* Country: USA: UNITED STATES	* Zip / Postal Code: 40601.1251	
<b>e. Organizational Unit:</b>		
Department Name: OFFICE OF THE SECRETARY	Division Name: DIV OF FISCAL MANAGEMENT	
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>		
Prefix: Mr.	* First Name: JAMES	
Middle Name: H	* Last Name: LAMBERT	
Suffix: <input type="text"/>	Title: FEDERAL FUND ACCOUNTANT MANAGER	
Organizational Affiliation: <input type="text"/>		
* Telephone Number: 502-564-2263	* Fax Number: <input type="text"/>	
* Email: james.lambert@ky.gov		



Application for Federal Assistance SF-424	
<p><b>* 9. Type of Applicant 1: Select Applicant Type:</b></p> <input type="text" value="A: State Government"/> <p>Type of Applicant 2: Select Applicant Type:</p> <input type="text"/> <p>Type of Applicant 3: Select Applicant Type:</p> <input type="text"/> <p>* Other (specify):</p> <input type="text"/>	
<p><b>* 10. Name of Federal Agency:</b></p> <input type="text" value="Employment and Training Administration"/>	
<p><b>11. Catalog of Federal Domestic Assistance Number:</b></p> <input type="text" value="17.225"/> <p>CFDA Title:</p> <input type="text" value="Unemployment Insurance"/>	
<p><b>* 12. Funding Opportunity Number:</b></p> <input type="text" value="ETA-UIPL-13-23-BASE"/> <p>* Title:</p> <input type="text" value="Fiscal Year (FY) 2024 State Workforce Agency Unemployment Insurance (UI) Resource Planning Targets and Guidelines"/>	
<p><b>13. Competition Identification Number:</b></p> <input type="text" value="ETA-UIPL-13-23-BASE"/> <p>Title:</p> <input type="text" value="Fiscal Year (FY) 2024 State Workforce Agency Unemployment Insurance (UI) Resource Planning Targets and Guidelines"/>	
<p><b>14. Areas Affected by Project (Cities, Counties, States, etc.):</b></p> <input type="text"/> <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <span>Add Attachment</span> <span>Delete Attachment</span> <span>View Attachment</span> </div>	
<p><b>* 15. Descriptive Title of Applicant's Project:</b></p> <input type="text" value="ETA-UIPL-13-23-Base"/>	
<p>Attach supporting documents as specified in agency instructions.</p> <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <span>Add Attachments</span> <span>Delete Attachments</span> <span>View Attachments</span> </div>	

Application for Federal Assistance SF-424	
<b>16. Congressional Districts Of:</b>	
* a. Applicant: <input type="text" value="006"/>	* b. Program/Project: <input type="text" value="NY-ALL"/>
Attach an additional list of Program/Project Congressional Districts if needed.	
<input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<b>17. Proposed Project:</b>	
* a. Start Date: <input type="text" value="10/01/2023"/>	* b. End Date: <input type="text" value="09/30/2028"/>
<b>18. Estimated Funding (\$):</b>	
* a. Federal	<input type="text" value="29,969,925.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="29,969,925.00"/>
<b>* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?</b>	
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input type="text"/>	
<input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review.	
<input checked="" type="checkbox"/> c. Program is not covered by E.O. 12372.	
<b>* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)</b>	
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If "Yes", provide explanation and attach	
<input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<b>21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)</b>	
<input checked="" type="checkbox"/> ** I AGREE	
<small>** 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.</small>	
<b>Authorized Representative:</b>	
Prefix: <input type="text" value="Ms."/>	* First Name: <input type="text" value="BETH"/>
Middle Name: <input type="text" value="A"/>	
* Last Name: <input type="text" value="BRINLY"/>	
Suffix: <input type="text"/>	
* Title: <input type="text" value="DEPUTY SECRETARY"/>	
* Telephone Number: <input type="text" value="502-564-1817"/>	Fax Number: <input type="text"/>
* Email: <input type="text" value="beth.brinly@ky.gov"/>	
* Signature of Authorized Representative: <input type="text" value="John S Taylor"/>	* Date Signed: <input type="text" value="09/15/2023"/>

Tracking Number: GRANT13975462

Funding Opportunity Number: ETA-UIPL-13-23-BASE Received Date: Sep 15, 2023 02:12:28 PM EDT

### 3. THE STATE PLAN NARRATIVE

State Plan Narrative is a vital element of the SQSP that provides a vehicle for sharing with the Federal partner State-specific efforts that affect the administration of the UI Program. The State Plan Narrative allows the State to describe in a single narrative: a) State performance in

comparison to the Government Performance Review Act goals; b) actions planned to correct deficiencies regarding UI programs, UI program reviews and reporting requirements; and c) results of customer satisfaction surveys (optional).

### 1. Overview

Provide updates for 1-4, if there are changes since the last formal annual SQSP submission:

1. Response to National priorities in UIPL guidance
2. State priorities and the strategic direction the state has adopted to ensure continuous improvement.
3. Includes, at state discretion, a discussion of external factors that may have performance implications.
4. Coordination with other plans, including WIOA.

No updates for 1-4 from last annual submission

Provide an update for the information below:

5. Tiger Team Grant Funds and Consultative Assessments - Update on the status of the engagement to include progress made on projects, as well as any challenges or barriers to implementation.

### **Tiger Team Project 1 (Dynamic Fact Finding)**

- Status Update:
  - We are currently in Phase III – implementation of training fact finding during the continued claims process. The Siebel upgrade completion occurred in June 2023 and all activities linked to Dynamic Fact Finding should be completed by December 31, 2023.
  - During the months of April, May and June 2023, weekly meetings were held with IT staff, project manager and various subject matter experts within the targeted departments to discuss ticketed items for upgrading. Timelines and workflows were discussed and mapped out for intended quality control updates within the current system. Those involved in the project focused on defining rules around Fact-Finding for training during continued claims and the business requirements received signoff in May 2023.
- Challenges and barriers to implementation:
  - Fact-finding requirements reviewed became time consuming. The work search logic implemented in January 2023 is working well but did require some modifications during the reporting period. The Siebel upgrade was delayed by a few weeks. Metrics to be evaluated include a comparison of the required manual adjudication work for work search and training before and after implementation.
  - As discussed in a recent meeting with ETA Grant Review (August 7 – 11, 2023), Initial Claims Fact Finding will be transitioned to the UIPL 11-23 Tiger Teams Grant Request.

### **Tiger Team Project 2 (Implement and Expand Use of IDH)**

- Status Update:
  - We received PUPS application approval on June 2, 2023 and are in the final steps of implementation and testing. This project is very near completion.
- Challenges and barriers to implementation:
  - Currently, there are no project challenges. Much work has been completed on various aspects of the project and once the PUPS application has been approved and implemented, this project will be at completion. Project management timelines have been set and met or exceed timeframes.

### **Tiger Team Project 3 (Establishing Equity and Accessibility Metrics)**

- Status Update:
  - The Siebel upgrade was completed in June 2023 which greatly affects progress of this project. Metrics to be evaluated include first payment promptness, re-employment rate, improper payment rate, benefits accuracy measures, appeals timeliness, and case aging measures. Post project, looking to build dashboards internally and externally to see how claims are moving. The goal is to pair with KY Stats team to share information. We hope this data will show any equity issues across the claimant UI lifecycle by tracking “reopens” and geographic location.
- Challenges and barriers to implementation:
  - Survey results from our career centers and call centers will continue to be tabulated and evaluated. A focus of these surveys will be transparency and addressing any gaps in service. Dashboard data, which would reside on the KY UI homepage and be accessible to both claimants, the public and legislatures to see progress will be a continuing focus of this project. Delays in Siebel upgrade also occurred.

## **2. Federal emphasis (GPRA goals)**

### **1. State performance compared to the GPRA goals.**

Percent of Intrastate Payments Made Timely (Make Timely Benefit Payments) increased from 38.3% to 49.5%

Target: 87% of intrastate first payments for full weeks of UC will be made within 14/21 days from the week ending date of the first compensable week.

Detection of Recoverable Overpayments (Detect Benefit Overpayments) increased from 391.01% to 586.85%

Target: Overpayments established at a rate that is at least 57.5% of the estimated detectable, recoverable overpayments.

Percent of Employer Tax Liability Determinations Made Timely (Establish Tax Accounts Promptly) decreased from 89% to 84.8%

Target: 90% of status determinations for new employers will be made within 90 days of the end of the first quarter in which liability occurred.

## 2. Actions planned to achieve GPRA goals and targets.

To improve the Percentage of Intrastate Payments Made timely, Kentucky continues to expand staff training in our adjudication and benefit branches. The training will have adjudicators and other staff specialize in either separation or non-separation issues to have a more focused approach. Kentucky will also be utilizing the advantage of USDOL's Tiger Teams to create an automated approach to the backlog that currently exists.

To improve the Percentage of Employer Tax Liability Determinations Made Timely, Kentucky will be required to hire additional staff to assist with determinations for both new and successor employers. A recent turn over in staff and stalled hiring of staff due to budgeting has decreased our timeliness.

### **C. Program Review Deficiencies, if required**

Causes for failures to conduct required reviews/activities, e.g., Benefit Payment Control, Internal Security, Benefit Accuracy Measure, and Tax Performance System and plans to conduct the reviews as required.

### **D. Program Deficiencies, if required**

Plans to correct deficiencies identified through required program reviews, e.g., deficiencies identified during an internal security review.

Incorrect recording of Issue Detection Date

Benefit Timeliness and Quality quarterly reviews has allowed adjudicator leaders to find inaccuracies in recording of detection dates. Adjudication staff have been in weekly 4-hour trainings that have allowed a more in depth understanding of the adjudication process for both experienced and inexperienced staff.

### **E. Reporting Deficiencies, if required**

Actions planned to correct reporting deficiencies. Reporting deficiencies are defined as missing reports, reports submitted late more than 50 percent of the time (7 of 12 months for monthly reports; 3 of 4 quarters for quarterly reports), and annual reports submitted late 3 consecutive years.

Kentucky currently has 2 ETA reports that are late and 2 others requiring amended returns.

- ETA 204

Year 2021 amendment has been saved to the SUN system and Kentucky is waiting for confirmation from the National Office to confirm processing. Once confirmed, Section C amendments will be submitted after the confirmation is received.

Year 2022 submission is holding for both the above pending 2021 amendments and amendments to the ETA 2112 reports from August 2020-June 2021. Kentucky intends to have FY2021 ETA 2112 reports amended by 9/30/2023 and will shortly thereafter submit the ETA 204.

Year 2023 submission is holding for both the above pending items and amendments to the ETA 2112 reports from July 2021-June 2022. Kentucky intends to have FY 2022 ETA 2112 reports amended by 10/31/2023 and will shortly thereafter submit the ETA 204.

- ETA 586

Reporting period 6/30/2023 has not been submitted due to missing IB6 timeliness data. Our BPC unit has advised that on 8/11/2023 the bills were sent and once those were reconciled the data can be provided. Our intention is to have this submitted by 9/30/2023.

- ETA 227 FPUC

All reports that were previously submitted by Kentucky did not break down the appropriate overpayment data by parent claim as required. Our agency is currently verifying the data received for each quarter prior to submitting amendments. Our intention is to have these all amended by 9/30/2023.

- ETA 902P
  - All reports that were previously submitted by Kentucky did not include Section D: Overpayment Activity Related to Identity Theft. Kentucky has been working by month to submit amended returns with accurate data in Section D. As of 9/12/2023 amendments have been submitted up to December 31, 2021, and our agency intends to have all amendments submitted by 9/30/2023.

As Kentucky works through each missing and amended return that is required, management is ensuring that instruction updates and staff training occur simultaneously. Our improved processes are allowing reporting staff to submit majority of required reports timely and accurately while working on these missing and amended returns.

#### **F. Customer Service Surveys (optional)**

#### **G. Other (e.g., approach to maintaining solvency, requests for technical assistance)**

#### **H. Assurances:**

1. Assurance of Equal Opportunity (EO).
2. Assurance of Administrative Requirements and Allowable Cost Standards.
3. Assurance of Management Systems, Reporting, and Recordkeeping.
4. Assurance of Program Quality.
5. Assurance on Use of Unobligated Funds.
6. Assurance of Prohibition of Lobbying Costs (29 CFR Part 93).
7. Drug-Free Workplace (29 CFR Part 98).
- 8.

Provide the most recent dates for the following:

- Information Technology (IT) Contingency Plan Implemented: 10/31/201
- IT Contingency Plan Reviewed/Updated[1]: 8/20/2022\_\_
- IT Contingency Plan Tested[2]: 6/15/2022

9. Assurance of Conformity and Compliance.

Provide the most recent dates for the following:

- Risk Assessment Conducted: 6/14/2018
- System Security Plan Reviewed/Updated[3]: 8/2/2023

11. Assurance of Confidentiality

- Conducted Annual DUA Training for DUA Staff X Yes  No

Provide the date of the training: 4/15/2022

- Developed and/or Maintained a Standard Operating

Procedures for use during a major disaster declaration X Yes  No

Public reporting burden for this collection of information is estimated to average 4 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Unemployment Insurance, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210

[1] At a minimum, an IT Contingency Plan must be reviewed and/or updated annually.

[2] At a minimum, an IT Contingency Plan must be tested annually.

[3] At a minimum, a System Security Plan must be reviewed and/or updated annually.

4. CORRECTIVE ACTION PLANS (CAPS)

CAPs are expected as a part of the SQSP when State’s annual performance does not meet the established criteria for core measures, Secretary’s Standards, UI program, assurances, and other program deficiencies identified in the annual SQSP guidance provided by the Department. The CAP must list both specific milestones for key corrective actions or improvement activities, and the completion date for each milestone.

Kentucky					
MEASURES/PROGRAMS TO BE ADDRESSED FOR BIENNIAL SQSP FISCAL YEAR (FY) 2023					
Measures/Programs to be Addressed (Each Measure Below is Hyperlinked to the GAP Worksheet)	Acceptable Level of Performance (ALP)	Corrective Action Plan		Narrative Required	SQSP 2023 Performance Year Data
		N	E		
B E N E F I T S A P P A L S	First Payment Promptness	≥ 87%		X	42.73%
	First Payment Promptness (IntraState 14/21 Days)	≥ 87%		X	44.52%
	First Payment Promptness (InterState 14/21 Days)	≥ 70%		X	30.05%
	First Payment Promptness (IntraState 35 Days)	≥ 93%		X	56.12%
	First Payment Promptness (InterState 35 Days)	≥ 78%		X	36.07%
	Nonmonetary Determination Timeliness	≥ 80%		X	19.53%
	Nonmonetary Determination Quality - Separations	≥ 75%		X	66.13%
	Nonmonetary Determination Quality - Nonseps	≥ 75%		X	66.82%
	Lower Authority Appeals (30 Days)	≥ 60%		X	12.25%
	Lower Authority Appeals (45 Days)	≥ 80%		X	14.36%
	Average Age of Pending Lower Authority Appeals	≤ 30 days		X	124.2
	Average Age of Pending Higher Authority Appeals	≤ 40 days			22.5
	Lower Authority Appeals Quality	≥ 80%			98.67%
	New Employer Status Determinations Timelapse	≥ 70%			90.30%
	T A X	Tax Quality (Part A)	No more than 3 tax functions failing TPS in a year		
Tax Quality (Part B)		The same tax function cannot fail for 3 consecutive years			Pass
TPS Sample Reviews		Pass			Pass
Effective Audit Measure		Pass 4 factors/score ≥ 7		X	Fail: Factor 1: 0.4 Factor 2: 1.3 Factor 3: 0.4 Factor 4: 0.6 Blended Score: 2.7
I M P R O P E R P A Y M E N T S	Improper Payments Measure	< 10%			9.01%
	Detection of Overpayments - 3 Year Measure	≥ 50% & ≤ 95%			94.33%
	Overpayment Recovery Measure	≥ 68%		X	23.46%
	Data Validation - Benefits (All Submitted & Passing)	All Benefit Pops Submitted & Passing		X	Failed: 2, 6, 7, 8 Not Submitted: 1, 3, 3a, 4, 5, 9, 10, 11, 12, 13, 14, 15 Not Submitted: Mod 4 BTQ 1-3
	Data Validation - Tax (All Submitted & Passing)	All Tax Pops Submitted & Passing		X	Not Submitted: 1, 2, 3, 4, 5 Not Submitted: Mod 4 TPS 1-4 Not Submitted: Mod 5
B A M	NDNH BAM Compliance	Pass			Pass
	BAM Operations Compliant	Pass All M&P		X	Fail: 60-day Paid Timeliness: 8.08% 90-day Paid Timeliness: 17.31%
	Incorrect Recording of Issue Detection Date	95%		X	Fail
Incorrect Recording of Determination Date	95%			Pass	
UI Reporting Requirements	Pass		X	Fail	
P E R C E N T	Percent of Intrastate Payments Made Timely	87%			44.52%
	Detection of Recoverable Overpayments	57.5%			116.66%
	Percent of Employer Tax Liability Determinations Made Timely	90%			89.48%

[Integrity Action Plan \(IAP\) Top Three Root Causes - Payment Integrity Information Act \(PIIA\) Year Data](#)

Integrity Action Plan (IAP) Top Three Root Causes - Payment Integrity Information Act (PIIA) Year Data					
Benefit Year Earnings					
Separation Issues					
Able-Available					
Monitoring Findings/Audit Resolution					
	KY Single Audit 24-20-542-03-390 (Final Determination issued April 2, 2021)				
	KY Single Audit 24-21-539-03-225 (Final Determination issued				



## Kentucky

### MEASURES/PROGRAMS TO BE ADDRESSED FOR ALTERNATE SQSP FISCAL YEAR (FY) 2024

	Measures/Programs to be Addressed (Each Measure Below is Hyperlinked to the CAP Worksheet)	Acceptable Level of Performance (ALP)	Corrective Action Plan		Narrative Required	SQSP 2024 Performance Year Data
			N	E		
B E N E F I T S	First Payment Promptness	≥ 87%		X		46.90%
	First Payment Promptness (IntraState 14/21 Days)	≥ 87%		X		47.87%
	First Payment Promptness (InterState 14/21 Days)	≥ 70%		X		44.66%
	First Payment Promptness (IntraState 35 Days)	≥ 93%		X		63.66%
	First Payment Promptness (InterState 35 Days)	≥ 78%		X		56.41%
	Nonmonetary Determination Timeliness	≥ 80%		X		23.89%
	Nonmonetary Determination Quality - Separations	≥ 75%		X		49.35%
	Nonmonetary Determination Quality - Nonseps	≥ 75%		X		66.75%
	Lower Authority Appeals (30 Days)	≥ 60%		X		12.71%
	Lower Authority Appeals (45 Days)	≥ 80%		X		13.77%
A P P E A L S	Average Age of Pending Lower Authority Appeals	≤ 30 days		X		186.8
	Average Age of Pending Higher Authority Appeals	≤ 40 days				25.3
	Lower Authority Appeals Quality	≥ 80%				97.47%
T A X	New Employer Status Determinations Timelapse	≥ 70%				86.60%
	Tax Quality (Part A)	No more than 3 tax functions failing TPS in a year				Pass
	Tax Quality (Part B)	The same tax function cannot fail for 3 consecutive years				Pass
	TPS Sample Reviews	Pass				Pass
	Effective Audit Measure	Pass 4 factors/score ≥ 7				Pass
	Improper Payments Measure	< 10%		X		10.80%
	Detection of Overpayments - 3 Year Measure	≥ 50% & ≤ 95%		X		195.67%
I N T E G R I T Y	Overpayment Recovery Measure	≥ 68%		X		14.88%
	Data Validation - Benefits (All Submitted & Passing)	All Benefit Pops Submitted & Passing		X		Fail: Benefits 1, 3, 4, 6, 10, 12-15; BTQ 2
	Data Validation - Tax (All Submitted & Passing)	All Tax Pops Submitted & Passing		X		Fail: Tax 3-5; TPS 1-4
	NDNH BAM Compliance	Pass				Pass

B A M	BAM Operations Compliant	Pass All M&P			<p style="text-align: center;">Fail:</p> <p style="text-align: center;">Did not meet Case Completion: Paid = 89.56%</p> <p style="text-align: center;">Fail:</p> <p style="text-align: center;">Paid: 60 day timeliness= 17.99% Paid 90 day timeliness= 40.04%</p> <p style="text-align: center;">Denied (Separation) ; 60 day timeliness = 15.38% 90 day timeliness = 45.51%</p> <p style="text-align: center;">Denial (Non-Sep). 60 day timeliness = 48.88% 90 day timeliness =66.67%</p> <p style="text-align: center;">Paid Comparison Report = -28.67%</p> <p style="text-align: center;">Denied Comparison Report: Denial Monetary Comparison Report = -20.61%</p>
	Incorrect Recording of Issue Detection Date	95%		X	Fail
	Incorrect Recording of Determination Date	95%			98.43%
	UI Reporting Requirements	Pass		X	Fail
	Percent of Intrastate Payments Made Timely	87%			47.87%
	Detection of Recoverable Overpayments	57.5%			1129.76%
	Percent of Employer Tax Liability Determinations Made Timely	90%			85.77%
	Integrity Action Plan (IAP) Top Three Root Causes - Payment Integrity Information Act (PIIA) Year Data				
	Work Search				
	Benefit Year Earnings				
Separation Issues					
Monitoring Findings/Audit Resolution					

First Payment Promptness												
Federal Fiscal Year: 2023-2024 SOCP Corrective Action Plan & Progress Report					Back to Biennial Overview 2023				Back to Alternate Overview 2024			
State: Kentucky					Federal Fiscal Year 2023				Federal Fiscal Year 2024			
Performance Measures	ALP	Our scores 6/30/2021 - 6/30/2022	Our scores 6/30/2022 - 6/30/2023	Year's Target/Achieved	12/31/2022 Quarter 1	3/31/2023 Quarter 2	6/30/2023 Quarter 3	9/30/2023 Quarter 4	12/31/2023 Quarter 1	3/31/2024 Quarter 2	6/30/2024 Quarter 3	9/30/2024 Quarter 4
First Payment Promptness: % of all first payments within 14/21 days after the compensable week	≥ 87%	42.73%	46.30%	Target Actual	50.0% 46.2%	60.0% 61.3%	70.0% 49.1%	80.0%	87.0%	87.0%	87.0%	87.0%
First Payment Promptness: 14/21 days Interstate Lf full weeks	≥ 87%	44.52%	47.87%	Target Actual	50.0% 44.5%	60.0% 47.3%	70.0% 49.5%	80.0%	87.0%	87.0%	87.0%	87.0%
First Payment Promptness: 14/21 days Interstate Lf full weeks	≥ 70%	30.05%	44.86%	Target Actual	40.0% 44.0%	50.0% 44.7%	60.0% 45.0%	70.0%	70.0%	70.0%	70.0%	70.0%
First Payment Promptness: 35 days Interstate Lf full weeks	≥ 93%	56.12%	63.66%	Target Actual	60.0% 59.3%	70.0% 63.7%	80.0% 65.2%	90.0%	93.0%	93.0%	93.0%	93.0%
First Payment Promptness: 35 days Interstate Lf full weeks	≥ 78%	36.07%	56.41%	Target Actual	40.0% 54.7%	50.0% 56.4%	60.0% 58.2%	70.0%	78.0%	78.0%	78.0%	78.0%
<b>Regional Office Comments in cell below:</b>												
<b>Corrective Action Plan Summary</b>												
The Summary must provide:												
Alternate Year Plan Updates												
A. The Reason for the deficiency.												
During the core measure period of 4/1/2021 to 3/31/2022, Kentucky First Payment Promptness was at 42.7% which falls below the Acceptable Level of Performance (ALP) of 87%. During the majority of this review period, Kentucky's Alternate Year Plan Updates: During the core measure period of 4/1/2021 to 3/31/2022, Kentucky First Payment Promptness was at 42.7% which falls below the Acceptable Level of Performance (ALP) of 87%. During the majority of this												
B. Provide a description of your "Plan-Do-Check-Act" corrective action plan which will be undertaken to achieve the acceptable level of performance. Examples of major actions and activities; aka, Milestones, include IT requirements, business process analysis, training, implementing process improvement, measuring effectiveness, etc. Please include a description of these actions/activities in each stage of your "Plan-Do-Check-Act" corrective action plan.												
Kentucky continues to increase staffing in order to combat the backlog that still exists from COVID 19. Additionally, more hands on training is provided to each adjudicator to improve accuracy. Our Benefit Timeliness and Quality review												
Alternate Year Plan Updates: Since May we have conducted 15 training sessions covering all things adjudication from A-2 and plan to continue this until we have covered everything. We also have used BTQ scores to regularly hold 1:												
C. If a plan is in place the previous year, an explanation of why the actions contained in that plan were not successful in improving performance; and, an explanation of why the actions now specified will be more successful.												
The plan from FY2022 did result in strides being made, but the strides were tackling the backlog. Unfortunately, the size of the backlog and increased activity to reduce it has led to a lower percentage of timely first payments. As												
Alternate Year Plan Updates: Our previous plan included adding staff to combat the State's backlog and increase efficiency. We were able to acquire more team members, but we also became committed to properly training them while												
D. A brief description of plans for monitoring and assessing accomplishment of planned actions and for controlling quality after achieving performance goals.												
Kentucky continues to monitor and assess the efforts to improve First Payment Promptness. The monitoring is performed on a weekly, monthly, and quarterly basis through internal reports in order to determine the efficacy of steps being												
Alternate Year Plan Updates: Kentucky will continue to train our team members to the best of our ability, create processes that increase quality and efficiency, and use our BTQ scores as training examples to remedy any fault trends.												
NOTE: Enter an "X" in the box to the right if the desired improvement will not be accomplished by the end of the two consecutive fiscal years for which this plan is in effect. Summarize, below, the major actions remaining to												
be taken in subsequent fiscal years and include a projected completion date as to when the performance goal will be achieved.												
[Enter Remaining Major Actions Here]												
<b>Milestones</b>												
1. Hire additional adjudication and claims staff, including former employees with significant institutional knowledge, to ensure timely review of claims with reparation and nonreparation issues that affect the timeliness of first payments.											<b>Completion Date</b>	
FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):											12/31/2023	
Held in claim training sessions. Performed one on one trainings to provide staff with the tools they need to review and solve claim issues in a timely manner.												
FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):												
Due to our continuous trainings and learning sessions staff are well equipped with the tools they need to succeed in resolving claimant issues. Staff can work more independently.												
FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):												
Staff continue to work independently and diligently to complete claims in order to get payments issued timely.												
FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):												
FY 2024 Quarter 1 Status Report (Quarter Ending 12/31/2023):												
FY 2024 Quarter 2 Status Report (Quarter Ending 3/31/2024):												
FY 2024 Quarter 3 Status Report (Quarter Ending 6/30/2024):												
FY 2024 Quarter 4 Status Report (Quarter Ending 9/30/2024):												
FY 2024 Quarter 1 Status Report (Quarter Ending 12/31/2023):												
FY 2024 Quarter 2 Status Report (Quarter Ending 3/31/2024):												
FY 2024 Quarter 3 Status Report (Quarter Ending 6/30/2024):												
FY 2024 Quarter 4 Status Report (Quarter Ending 9/30/2024):												
3. Establish pop-up office services in multiple locations throughout the state in order to directly assist individuals and resolve their claims issues the same day they are seen.											<b>Completion Date</b>	
FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):											6/30/2023	
We are logged into our phone system every day to assist claimants with their claim specific questions and resolve any claim issues.												
FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):												
Our phone lines are fully staffed for incoming calls from claimants. These staff are trained to be able to identify and resolve claim issues.												
FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):												
COMPLETED. Continue to be available by phone for our claimants. We try to resolve any issues during the call if possible. If we can't resolve the issue immediately we try to provide them with as much information as possible and their												
FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):												
FY 2024 Quarter 1 Status Report (Quarter Ending 12/31/2023):												
FY 2024 Quarter 2 Status Report (Quarter Ending 3/31/2024):												
FY 2024 Quarter 3 Status Report (Quarter Ending 6/30/2024):												
FY 2024 Quarter 4 Status Report (Quarter Ending 9/30/2024):												
4. Detail staff from other agencies to assist with claims, phone calls, and responding to emails to resolve less complex issues and reduce the burden on more experienced staff.											<b>Completion Date</b>	
FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):											6/30/2023	
Reclassified seasoned staff as team leads to filter questions and resolve complex claim issues.												
FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):												
Work with staff one on one with more in depth claim specific issues. If any staff member requests additional trainings on a specific process or workflow, we will set aside time for that individual.												
FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):												
COMPLETED. We respond to emails daily and work issues in timely manner. We continue to assist claimants by phone every day.												
FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):												
FY 2024 Quarter 1 Status Report (Quarter Ending 12/31/2023):												

Milestones		Completion Date
5. Continue to review use of existing technology as well as available resource to assist in improving agency efficiency in communicating and obtaining critical information for claims.		3/31/2024
<b>FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):</b> Have bi-weekly meetings to discuss current progress, recent changes and offer ideas to improve processes then pass along important information to staff.		
<b>FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):</b> Continue to communicate daily and have bi-weekly meetings for staff to ask questions or offer suggestions on improving our process.		
<b>FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):</b> Continue to have bi-weekly meetings to discuss progress on improvements to our systems and processes. We have a system that monitors the progress and any system request. (tickets)		
<b>FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):</b>		
<b>FY 2024 Quarter 1 Status Report (Quarter Ending 12/31/2023):</b>		

Nonmonetary Determination Timeliness												
Federal Fiscal Year: 2023-2024 SQSP Corrective Action Plan & Progress Report					Back to Biennial Overview 2023				Back to Alternate Overview 2024			
State: Kentucky					Federal Fiscal Year 2023				Federal Fiscal Year 2024			
Performance Measures	ALP	CAP Based on 04/01/2021 - 03/31/2022 Performance	CAP Based on 04/01/2022 - 03/31/2023 Performance	State's Target/Assessed Performance	12/31/2022	3/31/2023	6/30/2023	9/30/2023	12/31/2023	3/31/2024	6/30/2024	9/30/2024
					Quarter 1	Quarter 2	Quarter 3	Quarter 4	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Nonmonetary Determination Timeliness	≥ 80%	78.53%	73.63%	Target	20.0%	30.0%	40.0%	50.0%	60.0%	70.0%	80.0%	80.0%
				Actual	20.6%	35.6%	27.8%					

Regional Office Comments in cell below:

**Corrective Action Plan Summary**

The Summary must provide:

**Alternate Year Plan Updates**

**A. The Reason for the deficiency.**  
 During the core measure period of 4/1/2021 to 3/31/2022, Kentucky Non-Monetary Timeliness was 78.53% which falls below the Acceptable Level of Performance (ALP) of 80%. During the majority of this review period, Kentucky's Alternate Year Plan Updates: During this period the State of Kentucky focused on executing the clean up of the backlog of issues in all years predating 2023. This included some 2020, 2021, and 2022. While we did fall short of

**B. Provide a description of your "Plan-Do-Check-Act" corrective action plan which will be undertaken to achieve the acceptable level of performance. Example of major actions and activities, aka, Milestones, include IT requirements, business process analysis, training, implementing process improvements, measuring effectiveness, etc. Please include a description of these actions/activities in each stage of your "Plan-Do-Check-Act" corrective action plan.**  
 Kentucky continues to increase staffing in order to combat the backlog that still exists from COVID 19. Management is assessing workflow and backlog in order to adapt a new plan of action, including more direct adjudication for

**Alternate Year Plan Updates:** Since May we have conducted 75 training sessions covering all things adjudication from A-Z and plan to continue this until we have covered everything. We also have used BTQ scores to regularly hold

**C. If a plan was in place the previous year, an explanation of why the actions contained in that plan were not successful in improving performance, and, an explanation of why the actions now specified will be more successful.**  
 The plan from FY2022 did result in strides being made, but the strides were tackling the backlog. Unfortunately, the size of the backlog and increased activity to reduce it has led to a lower percentage of timely nonmonetary

**Alternate Year Plan Updates:** Our previous plan included adding staff to combat the State's backlog and increase efficiency. We were able to acquire more team members, but we also became committed to properly training them.

**D. A brief description of plans for monitoring and assessing accomplishment of planned actions and for controlling quality after achieving performance goals.**  
 Kentucky continues to monitor and assess the efforts to improve Nonmonetary Determination Timeliness. The monitoring is performed on a weekly, monthly, and quarterly basis through internal reports in order to determine the

**Alternate Year Plan Updates:** Kentucky will continue to train our team members to the best of our ability, create processes that increase quality and efficiency, and use our BTQ scores as training examples to remedy any fault trends.

**NOTE:** Enter an "X" in the box to the right if the desired improvements will not be accomplished by the end of the two consecutive fiscal years for which this plan is in effect. Summarize, below, the major actions remaining to be taken in subsequent fiscal years and include a projected completion date as to when the performance goal will be achieved.

**( Enter Remaining Major Actions Here )**

Milestones		Completion Date
1. Improve determination quality by using the BTQ review and additional cases to monitor adjudicator performance and provide continuous feedback.		9/30/2024
<b>FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):</b> The Quality Control Branch that process BTQ reviews is developing a BTQ training for adjudication staff and a plan to review additional cases. This timeline will be pushed out for implementation to 2nd quarter 2023.		
<b>FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):</b> Adjudication has used BTQ scoring to address reoccurring issues in personal train training.		
<b>FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):</b> Adjudication has continued using BTQ scoring to address reoccurring issues in personal train training and with Team Leads and Consultants.		
<b>FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):</b>		
<b>FY 2024 Quarter 1 Status Report (Quarter Ending 12/31/2023):</b>		

Milestones		Completion Date
2. Leverage technology to improve the quality of investigations by capturing material facts and pertinent claim information. This includes continuing to add documents to Liquid Office.		9/30/2023
<b>FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):</b> During 4th quarter 2022 while Quality Control was reviewing BTQ from 3rd quarter 2022, staff provided adjudication with the claims that had been marked down for quality or dares (direction and issue) in order to receive feedback on.		
<b>FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):</b> Adjudication has used various queuing methods to identify key adjustment and prepare for accurate reporting.		
<b>FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):</b> Adjudication has continued to use various queuing methods to identify key adjustment and prepare for accurate reporting. Also contributing to several system upgrades via discussion, testing, and feedback.		
<b>FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):</b>		
3. Improve adjudicator efficiency through intensive training techniques including static interactive training modules and testing.		9/30/2024
<b>FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):</b> The training guide is still in development and BTQ staff are utilizing the feedback from milestone 2 in order to refine the information provided.		
<b>FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):</b> Adjudication has keyed in on BTQ findings to do both group and 1-on-1 trainings leading to new facilitators having knowledge path complete with interactive training, testing, and reviewing.		
<b>FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):</b> Adjudication has continued to key in on BTQ findings to do both group and 1-on-1 trainings leading to new facilitators having knowledge path complete with interactive training, testing, and reviewing. We have also adjusted.		
<b>FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):</b>		
<b>FY 2024 Quarter 1 Status Report (Quarter Ending 12/31/2023):</b>		
4. Leverage technology by building determination and adjudication quality measures into system modernization efforts.		12/31/2023
<b>FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):</b> We have been actively engaged in talks to develop a new auto assign feature that will modernize efforts of quality, tracking, and efficient distribution of claims and decisions.		
<b>FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):</b> Adjudication has worked in conjunction with our IT group to identify and mass auto adjudicate issues. The week of 2/18/2023 resulted in 33,000 decisions.		
<b>FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):</b> Through quarterly assemblies and scheduled sessions Adjudication has worked with the IT group to improve quality determinations auto generated and those planned in the future.		
<b>FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):</b>		
<b>FY 2024 Quarter 1 Status Report (Quarter Ending 12/31/2023):</b>		
5. Review existing and newly available technology solutions that can be used to modernize the claims process and improve efficiency.		12/31/2023
<b>FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):</b> Initiated trainings to give facilitators the power to do more within the Kives system when writing PUA decisions.		
<b>FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):</b> Adjudication has engaged in dynamic fact finding builds to improve the future's auto-adjudication process. We have provided mapping details and added expert opinion posturing the new tech for future success.		
<b>FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):</b> Adjudication has continued to engage in dynamic fact finding builds to improve the future's auto-adjudication process. We have provided mapping details and added expert opinion posturing the new tech for future success from.		
<b>FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):</b>		

Nonmonetary Determination Quality												
Federal Fiscal Year: 2023-2024 SQSP Corrective Action Plan & Progress Report					Back to Biennial Overview 2023				Back to Alternate Overview 2024			
State: Kentucky					Federal Fiscal Year 2023				Federal Fiscal Year 2024			
Performance Measures	ALP	CAP Based on 04/01/2023-03/31/2022 Performance	CAP Based on 04/01/2022-03/31/2023 Performance	State's Target/Actual Performance	12/31/2022	3/31/2023	6/30/2023	9/30/2023	12/31/2023	3/31/2024	6/30/2024	9/30/2024
					Quarter 1	Quarter 2	Quarter 3	Quarter 4	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Nonmonetary Determination Quality - Separations	≥ 75%	66.13%	49.36%	Target	70.0%	75.0%	75.0%	75.0%	75.0%	75.0%	75.0%	75.0%
				Actual	46.9%	30.0%	46.0%					
Nonmonetary Determination Quality - Non Separations	≥ 75%	66.82%	66.75%	Target	70.0%	75.0%	75.0%	75.0%	75.0%	75.0%	75.0%	75.0%
				Actual	60.0%	54.6%	68.3%					

Regional Office Comments in cell below:

**Corrective Action Plan Summary**

The Summary must provide:

Alternate Year Plan Update:  
 A. The Reason for the deficiency:  
 The reason for the deficiency during the review period can be attributed to a increased staffing with a need for additional training and an emphasis on decreasing the COVID 19 backlog.  
 Alternate Year Plan Update: The reason for the deficiency during the review period can be attributed to the continuous need for staff training on appropriate Quality guidelines set forth in ETA Handbook 301.  
 B. Provide a description of your "Plan-Do-Check-Act" corrective action plan which will be undertaken to achieve the acceptable level of performance. Examples of major actions and activities; aka, Milestones, include IT requirements, business process analysis, training, implementing process improvements, measuring effectiveness, etc. Please include a description of these actions/activities in each stage of your "Plan-Do-Check-Act" corrective action plan.  
 In FY 2022's plan, Kentucky's adjudication team initiated a plan to work with the LI Quality Control branch to review additional determinations for each Adjudicator in addition to those determinations already reviewed for the quarterly BTQ.  
 Alternate Year Plan Update: FY 2023's plan included a review of additional determinations for each Adjudicator. However, our plan turned into a additional "random" selection of determinations on a weekly basis between the BTQ.  
 C. If a plan was in place the previous year, an explanation of why the actions contained in that plan were not successful in improving performance, and, an explanation of why the actions now specified will be more successful.  
 The previous plan was not successful in improving performance due to continuing staffing issues. The use of Quality Control staff for BTQ reviews were severely limited due to their own staffing shortages. Our intended approach and  
 Alternate Year Plan Update: The previous plan was not successful in improving performance due to continuing staffing issues. The use of Quality Control staff for BTQ reviews were severely limited due to their own staffing shortages.  
 D. A brief description of plans for monitoring and assessing accomplishment of planned actions and for controlling quality after achieving performance goals.  
 Kentucky continues to monitor and assess the efforts to improve Nonmonetary Determination Quality. The monitoring is performed on a weekly, monthly, and quarterly basis through internal reports in order to determine the efficacy of  
 Alternate Year Plan Update: Kentucky continues to monitor and assess the efforts to improve Nonmonetary Determination Quality. The monitoring is performed on a weekly, monthly, and quarterly basis through internal reports in order  
**NOTE:** Enter an "X" in the box to the right if the desired improvements will not be accomplished by the end of the two consecutive fiscal years for which this plan is in effect. Summarize, below, the major actions remaining to be taken in subsequent fiscal years and include a projected completion date as to when the performance goal will be achieved.  
 (Enter Remaining Major Actions Here )

Milestones		Completion Date
1. Initiate additional BTQ reviews on a weekly basis		9/30/2024
<b>FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):</b> This process was delayed in 4th quarter 2022 due to implementation of House Bill 4. February 2023 meeting for BTQ training and additional audits will take place to create a process.		
<b>FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):</b> We performed an additional 29 BTQ reviews during the 1st quarter 2023. These additional reviews did prompt a conversations with our Adjudication Branch that resulted in training specific to rebuttal requirements. We will continue these		
<b>FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):</b> Due to other work projects that had more pressing due dates, BTQ was not performed on any additional determinations this quarter. Our BTQ staff have set aside specific time in the 3rd Quarter to ensure this additional process to be done so		
<b>FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):</b>		

Milestones		Completion Date
2. Provide adjudication staff with common quality issues from both required quarterly reviews and additional reviews.		3/31/2024
<p><b>FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):</b> This process was delayed in 4th quarter 2022 due to implementation of House Bill 4. February 2023 meeting for BTQ training and additional audits will take place to create a process.</p> <p><b>FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):</b> A quarterly meeting was held with BTQ staff that discussed the need for a simplified training for BTQ purposes and a project is under way to create a PowerPoint for adjudication staff.</p> <p><b>FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):</b> A quarterly meeting was held with BTQ staff that discussed the need for a simplified training for BTQ purposes and a project is under way to create a PowerPoint for adjudication staff.</p> <p><b>FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):</b> Adjudication management were provided with the details of the scores related to BTQ but our BTQ team is still working on percentage data to give a "bigger" picture of problem areas. This update is still being worked on with ongoing.</p>		
3. Implement a new BTQ training guide for existing and new adjudication staff		6/30/2024
<p><b>FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):</b> This process was delayed in 4th quarter 2022 due to implementation of House Bill 4. February 2023 meeting for BTQ training and additional audits will take place to create a process.</p> <p><b>FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):</b> A quarterly meeting was held with BTQ staff that discussed the need for a simplified training for BTQ purposes and a project is under way to create a PowerPoint for adjudication staff.</p> <p><b>FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):</b> A quarterly meeting was held with BTQ staff that discussed the need for a simplified training for BTQ purposes and a project is under way to create a PowerPoint for adjudication staff.</p> <p><b>FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):</b></p>		

Lower Authority Appeals Promptness													
Federal Fiscal Year: 2023-2024 SQSP Corrective Action Plan & Progress Report					Back to Biennial Overview 2023				Back to Alternate Overview 2024				
State: Kentucky					Federal Fiscal Year 2023				Federal Fiscal Year 2024				
Performance Measures	ALP	CAP Based on 04/01/2021 - 03/31/2023 Performance	CAP Based on 04/01/2022 - 03/31/2023 Performance	State's Target/Actual Performance vs	12/31/2022	3/31/2023	6/30/2023	9/30/2023	12/31/2023	3/31/2024	6/30/2024	9/30/2024	
					2 Quarter	3 Quarter	3 Quarter	3 Quarter	4 Quarter	4 Quarter	4 Quarter	4 Quarter	
Average Age of Pending Lower Authority Appeals	≤ 30 days	124.20	195.80	Target Actual	150.0 164.7	150.0 195.8	150.0 189.8	150.0	150.0	130.0	80.0	30.0	25.0
Lower Authority Appeals Time Lapse - 30 days	≥ 60%	12.25%	12.77%	Target Actual	20.0% 22.50%	10.0% 8.3%	10.0% 9.9%	20.0%	20.0%	30.0%	40.0%	50.0%	60.0%
Lower Authority Appeals Time Lapse - 45 days	≥ 80%	16.35%	13.77%	Target Actual	20.0% 14.8%	10.0% 8.5%	10.0% 12.8%	30.0%	30.0%	45.0%	60.0%	75.0%	80.0%

**Regional Office Comments in cell below:**

**Corrective Action Plan Summary**

The Summary must provide:

**Alternate Year Plan Update:**  
**A. The Reason for the Deficiency:**  
 Increased nonmonetary determinations that are written by adjudication tracking the COVID 19 backlog has increased the number of lower authority appeals that Kentucky is receiving. This increase has adversely affected our appeals Alternate Year Plan Update: Due to a continued high number of work search determinations being issued through an auto adjudications process and the continued FPUC overpayment cases being appealed, our appeal volume B. Provide a description of your "Plan-Do-Check-Act" corrective action plan which will be undertaken to achieve the acceptable level of performance. Example of major actions and activities, aka, Milestones, include IT requirements, business process analysis, training, implementing process improvements, measuring effectiveness, etc. Please include a description of these actions/activities in each stage of your "Plan-Do-Check-Act" corrective action plan.  
 Kentucky is in the process of training recent hires and continuing education for previous hires in order to conduct hearings and issue decisions in a timely manner. Releasees who have already been through training, are currently Alternate Year Plan Update: Given the high number of appeals to work search determinations, we are reducing the hearing time for these type cases to thirty minutes. Generally, when we receive an appeal to a work search case, C. If a plan was in place the previous year, an explanation of why the actions contained in that plan were not successful in improving performance, and, an explanation of why the actions now specified will be more successful.  
 Lower authority appeals were recently added to the FY2022 SQSP and have only had 1 year to improve processes.  
 Alternate Year Plan Update: Reducing the time to conduct work search cases to thirty minutes will allow the Lower Authority the ability to conduct more hearings per week. As such, this will assist to reduce the Lower Authorities D. A brief description of plans for monitoring and assessing accomplishment of planned actions and for controlling quality after achieving performance goals.  
 Kentucky continues to monitor and assess the efforts to improve Lower Authority Appeals. The monitoring is performed on a weekly, monthly, and quarterly basis through internal reports in order to determine the efficacy of steps - Alternate Year Plan Update: Kentucky continues to monitor and assess the efforts to improve Lower Authority Appeals. The monitoring is performed on a daily, weekly, monthly, and quarterly basis through internal reports in order

**NOTE:** Enter an "X" in the box to the right if the desired improvements will not be accomplished by the end of the two consecutive fiscal years for which this plan is in effect. Summarize, below, the major actions remaining to be taken in subsequent fiscal years and include a projected completion date as to when the performance goal will be achieved.

**(Enter Remaining Major Actions Here)**

Milestones		Completion Date
1. Increase in appeals staff, including hearing officers, should decrease our total on hand appeals to below 5,000.		9/30/2023
<p><b>FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):</b> The Appeals Branch received a significant increase in filed appeals during 2022, which caused our backlog to increase larger than expected. During 2022 our backlog increased to over 10,000 cases on hand. However, during the</p> <p><b>FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):</b> As of March 24, 2023, the Appeals Branch backlog of total appeals was 7,907. Therefore, we were able to successfully reach one of our milestones under the SQSP.</p> <p><b>FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):</b> As of June 30, 2023, our total appeals on hand were 8,297. The increased number of work search and FPUC overpayment determinations have caused our number of cases on hand to increase again. We are taking measures to</p> <p><b>FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):</b></p>		

Milestones		Completion Date
2. As new staff are trained and assigned additional hearings, total appeals on hand should fall below 4,000		12/31/2023
<p><b>FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):</b> The Appeals Branch received a significant increase in appeals being during 2022, which caused our backlog to increase larger than expected. During 2022 our backlog increased to over 10,000 cases on hand. However, during</p> <p><b>FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):</b> As it stands currently, the Appeals Branch is still on course to meet this Milestone of less than 7,000 total appeals by 6/30/23.</p> <p><b>FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):</b> As we continue to increase the workload for the newly hired referees, we anticipate the number of decisions released to continue to outweigh the number of new appeals being received. We are beginning to see traction with the</p> <p><b>FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):</b></p>		
3. The assignment of more complex hearing cases to trained hearing officers.		9/30/2023
<p><b>FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):</b> A large number of the cases that we received during 2022 were unreported earnings, misrepresentation and overpayment cases. These by nature are more complex cases that our senior referees hold. However, due to the sheer</p> <p><b>FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):</b> The Appeals Branch was able to promote four Referee Fs to Referee F's. These newly promoted Referee F's are already trained to hold the more complex cases and are already making a dent in the backlog of more complex cases</p> <p><b>FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):</b> The four newly promoted referee F's have continued to make strides in reducing our backlog of the more difficult cases on hand. These cases are now able to be scheduled without additional wait times due to having the additional</p> <p><b>FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):</b></p>		
4. With the newly hired referees conducting a full dockar and with the increased work search cases being assigned each week, should decrease our total on hand appeals to below 7,000.		3/31/2024
<p><b>FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):</b></p>		

Improper Payments Measure												
Federal Fiscal Year: 2023-2024 SQSP Corrective Action Plan & Progress Report					Back to Biennial Overview 2023				Back to Alternate Overview 2024			
State: Kentucky					Federal Fiscal Year 2023				Federal Fiscal Year 2024			
Performance Measures	ALP	CAP Based on PBA Year 2021 BAM Scores 202021 202126	CAP Based on PBA Year 2022 BAM Scores 202121 202226	State's Target/Actual Performance	12/31/2022 Quarter 1	3/31/2023 Quarter 2	6/30/2023 Quarter 3	9/30/2023 Quarter 4	12/31/2023 Quarter 1	3/31/2024 Quarter 2	6/30/2024 Quarter 3	9/30/2024 Quarter 4
Improper Payments Measure	< 10%	8.0%	10.80%	Target	-	-	-	10.63%	10.46%	10.25%	10.12%	9.98%
Regional Office Comments in cell below:					Actual	-	-	-	-	-	-	-
Corrective Action Plan Summary												
The Summary must provide:												
Alternate Year Plan Updates:												
A. The Reason for the deficiency.												
Alternate Year Plan Updates: Prior to the pandemic, KY UI was already experiencing staff shortages, which left Adjudication and Integrity Branches critically understaffed. The onslaught of claims during the pandemic created												
B. Provide a description of your "Plan-Do-Check-Act" corrective action plan which will be undertaken to achieve the acceptable level of performance. Examples of major actions and activities, aka, Milestones, include IT requirements, business process analysis, training, implementing process improvements, measuring effectiveness, etc. Please include a description of these actions/activities in each stage of your "Plan-Do-Check-Act" corrective action plan.												
Alternate Year Plan Updates: Updating Manuals is taking place now. We are currently working on identifying strengths, weaknesses, challenges and opportunities within the Integrity Branch. The SWOT analysis for Integrity should be												
C. If a plan was in place the previous year, an explanation of why the actions contained in that plan were not successful in improving performance; and, an explanation of why the actions now specified will be more successful.												
Alternate Year Plan Updates: N/A												
D. A brief description of plans for monitoring and assessing accomplishment of planned actions and for controlling quality after achieving performance goals.												
Alternate Year Plan Updates: Tracking thru BAM. Report from Adjudication as to timeliness of their ROLs and addressing their backlog. Integrity wrapping up FPUC over payments not written by the Adjudication Branch from 2020												
<b>NOTE:</b> Enter an "X" in the box to the right if the desired improvements will not be accomplished by the end of the two consecutive fiscal years for which this plan is in effect. Summarize, below, the major actions remaining to be taken in subsequent fiscal years and include a projected completion date as to when the performance goal will be achieved.												
[ Enter Remaining Major Actions Here ]												
Milestones												
1. Complete Integrity Branch SWOT analysis by end of 4th quarter of 2023										Completion Date		
										12/31/2023		
FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):												
N/A												
FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):												
N/A												
FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):												
N/A												
FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):												
N/A												
FY 2024 Quarter 1 Status Report (Quarter Ending 12/31/2023):												
N/A												
FY 2024 Quarter 2 Status Report (Quarter Ending 3/31/2024):												
N/A												

Detection of Overpayments												
Federal Fiscal Year: 2023-2024 SQSP Corrective Action Plan & Progress Report					Back to Biennial Overview 2023				Back to Alternate Overview 2024			
State: Kentucky					Federal Fiscal Year 2023				Federal Fiscal Year 2024			
Performance Measures	ALP	CAP Based on 04/03/2021 - 03/31/2022 Performance	CAP Based on 04/03/2022 - 03/31/2023 Performance	State's Target/Actual Performance	12/31/2022 Quarter 1	3/31/2023 Quarter 2	6/30/2023 Quarter 3	9/30/2023 Quarter 4	12/31/2023 Quarter 1	3/31/2024 Quarter 2	6/30/2024 Quarter 3	9/30/2024 Quarter 4
Detection of Overpayments - Core Measure - 250% & 333% of Detectable/Recoverable Dps are Established for	≥ 50% & ≤ 95%	94.33%	195.67%	Target	*	*	*	175.53%	155.29%	135.25%	115.11%	94.97%
Regional Office Comments in cell below:					Actual	*	*	*	*	*	*	*
Corrective Action Plan Summary												
The Summary must provide:												
Alternate Year Plan Updates: The reason for the deficiency was the backlog of claims issues created by the pandemic. The Adjudication Branch worked diligently to address the backlog of claims issues for the												
A. The Reason for the deficiency.												
Alternate Year Plan Updates: Integrity staff and IT will continue to work with On Point to ensure FPUC overpayments continue to be processed. The metrics for each quarter will be available via On Point.												
B. Provide a description of your "Plan-Do-Check-Act" corrective action plan which will be undertaken to achieve the acceptable level of performance. Examples of major actions and activities, aka, Milestones, include IT requirements, business process analysis, training, implementing process improvements, measuring effectiveness, etc. Please include a description of these actions/activities in each stage of your "Plan-Do-Check-Act" corrective action plan.												
Alternate Year Plan Updates: N/A												
C. If a plan was in place the previous year, an explanation of why the actions contained in that plan were not successful in improving performance; and, an explanation of why the actions now specified will be more												
Alternate Year Plan Updates: D. The vast majority of the lagging FPUC overpayments have now been written. Monthly or weekly metrics are available via On Point. The last batch of which are being processed now.												
D. A brief description of plans for monitoring and assessing accomplishment of planned actions and for controlling quality after achieving performance goals.												
Alternate Year Plan Updates												
<b>NOTE:</b> Enter an "X" in the box to the right if the desired improvements will not be accomplished by the end of the two consecutive fiscal years for which this plan is in effect. Summarize, below, the major actions remaining to be taken in subsequent fiscal years and include a projected completion date as to when the performance goal will be achieved.												
[ Enter Remaining Major Actions Here ]												
Milestones												
1. Wrap up final large batch of FPUC overpayments by 4th quarter 2023										Completion Date		
										12/31/2023		
FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):												
N/A												
FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):												
N/A												
FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):												
N/A												
FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):												
N/A												

Overpayments Recovery												
Federal Fiscal Year: 2023-2024 SQSP Corrective Action Plan & Progress Report					Back to Biennial Overview 2023				Back to Alternate Overview 2024			
State: Kentucky					Federal Fiscal Year 2023				Federal Fiscal Year 2024			
Performance Measures	ALP	CAP Based on PBA Year 2021	CAP Based on PBA Year 2022	State's Target/Actual Performance	12/31/2022	3/31/2023	6/30/2023	9/30/2023	12/31/2023	3/31/2024	6/30/2024	9/30/2024
		07/01/2020 - 06/30/2021 Performance	07/01/2021 - 06/30/2022 Performance		1 Quarter	2 Quarter	3 Quarter	4 Quarter	1 Quarter	2 Quarter	3 Quarter	4 Quarter
UI Overpayment Recovery Measure	> 60%	23.46%	N/A	Target	30.00%	40.00%	50.00%	60.00%	68.00%	68.00%	68.00%	68.00%
				Actual	13.56%	21.13%	26.03%					
<b>Regional Office Comments in cell below:</b>												
<b>Corrective Action Plan Summary</b>												
The Summary must provide:												
Alternate Year Plan Updates												
A. The Reason for the deficiency:												
Kentucky has focused on prosecutions rather than wage garnishments which has not produced the desired effects of recoupment of delinquent payments. Staff shortages are still affecting our workload.												
Alternate Year Plan Updates: TOP was shut down during the pandemic and it took longer than expected to get approval to begin with TOP once again. Therefore, TOP was reinstated after most claimants had filed their taxes in 2022.												
B. Provide a description of your "Plan-Do-Check-Act" corrective action plan which will be undertaken to achieve the acceptable level of performance. Examples of major actions and activities, aka, Milestones, include IT requirements, business process analysis, training, implementing process improvements, measuring effectiveness, etc. Please include a description of these action/activities in each stage of your "Plan-Do-Check-Act" corrective action plan.												
The Kentucky Integrity Branch is looking to hire additional staff. Kentucky will begin increasing our TOP cycles to capture all eligible debts since the prior monthly mailing. Kentucky will begin to use social media campaigns to encourage												
Alternate Year Plan Updates: The Kentucky Integrity Branch is looking to hire additional staff. Kentucky will begin increasing our TOP cycles to capture all eligible debts since the prior monthly mailing. Kentucky is using social media												
C. If a plan was in place the previous year, an explanation of why the actions contained in that plan were not successful in improving performance, and, an explanation of why the actions now specified will be more successful.												
The lack of performance improvement was due to lack of staff and an increasing number of fraudulent claims. Kentucky's increase in staffing, assistance from tax auditors across the state, local office alerts, and the pursuit of a wage												
Alternate Year Plan Updates: Due to lack of qualified applicants, internal training and branch manuals have been reviewed and updated for training existing staff. New cross training initiatives are taking place.												
D. A brief description of plans for monitoring and assessing accomplishment of planned actions and for controlling quality after achieving performance goals.												
Kentucky continues to monitor and assess the efforts to improve UI Overpayment Recovery Measure. The monitoring is performed on a weekly, monthly, and quarterly basis through internal reports in order to determine the efficacy of steps												
Alternate Year Plan Updates: Due to lack of applicants, Integrity staff are being cross trained to perform multiple duties. Integrity is undertaking SWOT to identify strengths and weaknesses. Staff will continue to monitor and assess the												
<b>NOTE:</b> Enter an "X" in the box to the right if the desired improvements will not be accomplished by the end of the two consecutive fiscal years for which this plan is in effect. Summarize, below, the major actions remaining to be taken in subsequent fiscal years and include a projected completion date as to when the performance goal will be achieved.												
<b>(Enter Remaining Major Actions Here)</b>												
<b>Milestones</b>												
1. Hiring additional staff to investigate fraud tips and leads, adjudicate crossmatch audits, and new hire audits.											<b>Completion Date</b>	
											3/31/2024	
FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):												
Staff were hired and trained in the 1st and 2nd quarters of 2021. Training continues for the entire staff no less than once per month. Jerome Lord with NASWA IDH came for a two day IDH training with Program Investigators in October 2022.												
FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):												
IDH was fully implemented in October 2022. KY began submitting SAR files in February 2023. A staff person participated in IDH Roundtable in March 2023.												
FY 2023 Quarter 3 Status Report (Quarter Ending 6/30/2023):												
KY Integrity lost 4 key seasoned staff persons within a 6-month period in the 2nd and 3rd quarters. We are working to fill 3 of the positions. In the meantime, the rest of the staff has been cross trained. Staff have picked up additional duties.												
FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):												
FY 2024 Quarter 1 Status Report (Quarter Ending 12/31/2023):												

Benefits Data Validation												
Federal Fiscal Year: 2023-2024 SQSP Corrective Action Plan & Progress Report					Back to Biennial Overview 2023				Back to Alternate Overview 2024			
State: Kentucky					Federal Fiscal Year 2023				Federal Fiscal Year 2024			
Performance Measures	ALP	CAP Based on Validation Year 2022	CAP Based on Validation Year 2023	State's Target/Actual Performance	12/31/2022	3/31/2023	6/30/2023	9/30/2023	12/31/2023	3/31/2024	6/30/2024	9/30/2024
		4/1/2021-3/31/2022 Performance	4/1/2022-3/31/2023 Performance		1 Quarter	2 Quarter	3 Quarter	4 Quarter	1 Quarter	2 Quarter	3 Quarter	4 Quarter
Data Validation Benefits - All Submitted and Passing	Submitted & Passing	Population 1	Population 1	Target	FAL	FAL	PASS	PASS	PASS	PASS	PASS	PASS
		Actual					FAL					
		Population 3	Population 3	Target	FAL	FAL	PASS	PASS	PASS	PASS	PASS	PASS
		Actual					FAL					
		Population 3a	Population 3a	Target	FAL	FAL	PASS	PASS	PASS	PASS	PASS	PASS
		Actual					PASS					
		Population 4	Population 4	Target	FAL	FAL	PASS	PASS	PASS	PASS	PASS	PASS
		Actual					FAL					
		Population 6	Population 6	Target	FAL	FAL	PASS	PASS	PASS	PASS	PASS	PASS
		Actual					FAL					
		Population 10	Population 10	Target	FAL	FAL	PASS	PASS	PASS	PASS	PASS	PASS
		Actual					FAL					
		Population 12	Population 12	Target	FAL	FAL	PASS	PASS	PASS	PASS	PASS	PASS
		Actual					FAL					
		Population 13	Population 13	Target	FAL	FAL	PASS	PASS	PASS	PASS	PASS	PASS
Actual					FAL							
Population 14	Population 14	Target	FAL	FAL	PASS	PASS	PASS	PASS	PASS	PASS		
Actual					FAL							
Population 15	Population 15	Target	FAL	FAL	PASS	PASS	PASS	PASS	PASS	PASS		
Actual					FAL							
Mod 4 Nonreps	Mod 4 Nonreps	Target	FAL	FAL	PASS	PASS	PASS	PASS	PASS	PASS		
Actual					FAL							
<b>Regional Office Comments in cell below:</b>												
<b>Corrective Action Plan Summary</b>												
The Summary must provide:												
Alternate Year Plan Updates												
A. The Reason for the deficiency:												
Kentucky is unable to submit required Data Validation files due to lack of experience, training, and staffing.												
Alternate Year Plan Updates: Kentucky made great gains in Data validation in FY2023. The failed populations are a result of DV/IT staff progressively learning where all reporting data is sourced from. Inexperience played into some of												
B. Provide a description of your "Plan-Do-Check-Act" corrective action plan which will be undertaken to achieve the acceptable level of performance. Examples of major actions and activities, aka, Milestones, include IT requirements, business process analysis, training, implementing process improvements, measuring effectiveness, etc. Please include a description of these action/activities in each stage of your "Plan-Do-Check-Act" corrective action plan.												
Quality Control has recently started processing data validation module in August 2022 and are making good progress in assessing deficiencies and/or inaccurate data. Staff is working with OOL and KY IT staff to continue this												
Alternate Year Plan Updates: Data Validation staff and IT staff are coming together weekly to discuss outstanding issues and learning from each other progressing each individual population along further. Studying existing reporting												
C. If a plan was in place the previous year, an explanation of why the actions contained in that plan were not successful in improving performance, and, an explanation of why the actions now specified will be more successful.												
We did not meet the previous year plan due to lack of staffing. Our office is working with the state's personnel board to update our employment requirements to potentially allow previously non-qualified candidates to qualify, which will												
Alternate Year Plan Updates: Staffing and time devoted to DV is a large issue still, later budget revisions may help. Prior years had little to no DV knowledgeable staff. Starting from scratch the current DV staff made incredible												
D. A brief description of plans for monitoring and assessing accomplishment of planned actions and for controlling quality after achieving performance goals.												
A timeline for populations will be created and tracked in the Quality Control Branch. Monthly meetings with Data Validation team to discuss Data Validation will address issues as they arise. Progress reports will be kept for each population												
Alternate Year Plan Updates: Populations will be tackled as affidavits reports come due. Establishing what populations need most attention early on in FY2024 will allow multiple quarters for adjustments, amendments, and deletions												
<b>NOTE:</b> Enter an "X" in the box to the right if the desired improvements will not be accomplished by the end of the two consecutive fiscal years for which this plan is in effect. Summarize, below, the major actions remaining to be taken in subsequent fiscal years and include a projected completion date as to when the performance goal will be achieved.												
<b>(Enter Remaining Major Actions Here)</b>												



Corrective Action Plan Summary	
The Summary must provide:	
Alternate Year Plan Updates:	
A. The Reason for the deficiency:	
Kentucky was unable to submit required Data Validation files due to lack of experience, training, and staffing.	
Alternate Year Plan Updates: Kentucky made great gains in Data validation in FY2023. The failed populations are a result of DV & IT staff progressively learning where all reporting data is sourced from. Inexperience played into some of it.	
B. Provide a description of your "Plan-Do-Check-Act" corrective action plan which will be undertaken to achieve the acceptable level of performance. Examples of major actions and activities, aka, Milestones, include IT requirements, business process analysis, training, implementing process improvements, measuring effectiveness, etc. Please include a description of these actions/activities in each stage of your "Plan-Do-Check-Act" corrective action plan.	
Quality Control has recently started processing data validation modules in August 2022 and are making good progress in assessing deficiencies and/or inaccurate data. Staff is working with DOL and KY IT staff to continue this process.	
Alternate Year Plan Updates: Data Validation staff and IT staff are coming together weekly to discuss outstanding issues and learning from each other processing each individual population along further. Studying existing reporting.	
C. If a plan was in place the previous year, an explanation of why the actions contained in that plan were not successful in improving performance, and, an explanation of why the actions now specified will be more successful.	
We did not meet the previous years plan due to lack of staffing. Our office is working with the state's personnel board to update our employment requirements to potentially allow previously non-qualified candidates to qualify, which will help.	
Alternate Year Plan Updates: Staffing and time devoted to DV is a large issue still, later budget revisions may help. Prior years had little to no DV knowledgeable staff. Starting from scratch the current DV staff made incredible gains.	
D. Brief description of plans for monitoring and assessing accomplishment of planned actions and for controlling quality after achieving performance goals.	
A timeline for populations will be created and tracked in the Quality Control Branch. Monthly meetings with Data Validation team to discuss Data Validation will address issues as they arise. Progress reports will be kept for each population.	
Alternate Year Plan Updates: Populations will be tackled as affiliated data reports come due. Establishing what populations need most attention early on in FY2024 will allow multiple quarters for adjustments, amendments, and definitions.	
<b>NOTE:</b> Enter an "X" in the box to the right if the desired improvements will not be accomplished by the end of the two consecutive fiscal years for which this plan is in effect. Summarize, below, the major actions remaining to be taken in subsequent fiscal years and include a projected completion date as to when the performance goal will be achieved.	
<b>(Enter Remaining Major Actions Here)</b>	
Milestones	
1. Hiring additional staff for the Quality Control Branch, allowing more time for DV training and focus.	Completion Date 9/30/2023
FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022): Hiring freeze will not allow new staff. Pending TA visit from national and regional office.	
FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023): Hiring freeze still in effect. Existing employee in different job title pulled to assist with DV. On limited basis.	
FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023): No new staff, hiring freeze still in effect. Hoped for new positions after budget fiscal year passing.	
FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):	
FY 2024 Quarter 1 Status Report (Quarter Ending 12/31/2023):	

Tax Data Validation													
Federal Fiscal Year: 2023-2024 SQSP Corrective Action Plan & Progress Report						Back to Biennial Overview 2023			Back to Alternate Overview 2024				
State: Kentucky						Federal Fiscal Year 2023			Federal Fiscal Year 2024				
Performance Measures	ALP	CAP Based on Validation Year 2022 - 4/1/2022 - 3/31/2023	CAP Based on Validation Year 2023 - 4/1/2022 - 3/31/2023	2023 Target/Actual Performance	12/31/2022 Quarter 1	3/31/2023 Quarter 2	6/30/2023 Quarter 3	9/30/2023 Quarter 4	12/31/2023 Quarter 1	3/31/2024 Quarter 2	6/30/2024 Quarter 3	9/30/2024 Quarter 4	
				Not Submitted	Failed	Actual	FAL	FAL	PASS	PASS	PASS	PASS	PASS
Data Validation Tax - All Submitted and Passing	Submitted & Passing	Population 3	Population 3	Target	FAL	FAL	PASS	PASS	PASS	PASS	PASS	PASS	
		Not Submitted	Failed	Actual	-	-	-	-	-	-	-	-	
		Population 4	Population 4	Target	FAL	FAL	PASS	PASS	PASS	PASS	PASS	PASS	
		Not Submitted	Failed	Actual	-	-	-	-	-	-	-	-	
		Population 5	Population 5	Target	FAL	FAL	PASS	PASS	PASS	PASS	PASS	PASS	
		Not Submitted	Failed	Actual	-	-	-	-	-	-	-	-	
		Mod 4 Status New	Mod 4 Status New	Target	FAL	FAL	PASS	PASS	PASS	PASS	PASS	PASS	PASS
		Not Submitted	Failed	Actual	-	-	-	-	-	-	-	-	
		Mod 4 Successor	Mod 4 Successor	Target	FAL	FAL	PASS	PASS	PASS	PASS	PASS	PASS	PASS
		Not Submitted	Failed	Actual	-	-	-	-	-	-	-	-	
Mod 4 Inactive/Terminate	Mod 4 Inactive/Terminate	Target	FAL	FAL	PASS	PASS	PASS	PASS	PASS	PASS	PASS		
Not Submitted	Failed	Actual	-	-	-	-	-	-	-	-			
Mod 4 Field Audit	Mod 4 Field Audit	Target	FAL	FAL	PASS	PASS	PASS	PASS	PASS	PASS	PASS		
Not Submitted	Failed	Actual	-	-	-	-	-	-	-	-			

Regional Office Comments in cell below:

Corrective Action Plan Summary	
The Summary must provide:	
Alternate Year Plan Updates:	
A. The Reason for the deficiency:	
Kentucky was unable to submit required Data Validation files due to lack of experience, training, and staffing.	
Alternate Year Plan Updates: Kentucky made great gains in Data validation in FY2023. The failed populations are a result of DV & IT staff progressively learning where all reporting data is sourced from. Inexperience played into some of it.	
B. Provide a description of your "Plan-Do-Check-Act" corrective action plan which will be undertaken to achieve the acceptable level of performance. Examples of major actions and activities, aka, Milestones, include IT requirements, business process analysis, training, implementing process improvements, measuring effectiveness, etc. Please include a description of these actions/activities in each stage of your "Plan-Do-Check-Act" corrective action plan.	
Quality Control has recently started processing data validation modules in August 2022 and are making good progress in assessing deficiencies and/or inaccurate data. Staff is working with DOL and KY IT staff to continue this process.	
Alternate Year Plan Updates: Data Validation staff and IT staff are coming together weekly to discuss outstanding issues and learning from each other processing each individual population along further. Studying existing reporting.	
C. If a plan was in place the previous year, an explanation of why the actions contained in that plan were not successful in improving performance, and, an explanation of why the actions now specified will be more successful.	
We did not meet the previous years plan due to lack of staffing. Our office is working with the state's personnel board to update our employment requirements to potentially allow previously non-qualified candidates to qualify, which will help.	
Alternate Year Plan Updates: Staffing and time devoted to DV is a large issue still, later budget revisions may help. Prior years had little to no DV knowledgeable staff. Starting from scratch the current DV staff made incredible gains.	
D. Brief description of plans for monitoring and assessing accomplishment of planned actions and for controlling quality after achieving performance goals.	
A timeline for populations will be created and tracked in the Quality Control Branch. Monthly meetings with Data Validation team to discuss Data Validation will address issues as they arise. Progress reports will be kept for each population.	
Alternate Year Plan Updates: Populations will be tackled as affiliated data reports come due. Establishing what populations need most attention early on in FY2024 will allow multiple quarters for adjustments, amendments, and definitions.	
<b>NOTE:</b> Enter an "X" in the box to the right if the desired improvements will not be accomplished by the end of the two consecutive fiscal years for which this plan is in effect. Summarize, below, the major actions remaining to be taken in subsequent fiscal years and include a projected completion date as to when the performance goal will be achieved.	
<b>(Enter Remaining Major Actions Here)</b>	

Corrective Action Plan Summary	
The Summary must provide:	
Alternate Year Plan Update:	
A. The Reason for the deficiency:	
Kentucky was unable to submit required Data Validation files due to lack of experience, training, and staffing.	
Alternate Year Plan Update: Kentucky made great gains in Data validation in FY2023. The failed populations are a result of DV & IT staff progressively learning where all reporting data is sourced from. Inexperience played into some of	
B. Provide a description of your "Plan-Do-Check-Act" corrective action plan which will be undertaken to achieve the acceptable level of performance. Examples of major actions and activities, aka. Milestones, include IT requirements, business process analysis, training, implementing process improvements, measuring effectiveness, etc. Please include a description of these action/activities in each stage of your "Plan-Do-Check-Act" corrective action plan.	
Quality Control has recently started processing data validation modules in August 2023 and are making good progress in assessing deficiencies and/or inaccurate data. Staff is working with DOL and KY IT staff to continue this progression.	
Alternate Year Plan Update: Data Validation staff and IT staff are coming together weekly to discuss outstanding issues and learning from each other progressing each individual population along further. Studying existing reporting	
C. If a plan was in place the previous year, an explanation of why the actions contained in that plan were not successful in improving performance; and, an explanation of why the actions now specified will be more successful.	
We did not meet the previous year's plan due to lack of staffing. Our office is working with the state's personnel board to update our employment requirements to potentially allow previously non-qualified candidates to qualify, which will	
Alternate Year Plan Update: Staffing and time devoted to DV is a large issue still, later budget revisions may help. Prior years had little to no DV knowledgeable staff. Starting from scratch the current DV staff made incredible	
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A timeline for populations will be created and tracked in the Quality Control Branch. Monthly meetings with Data Validation team to discuss Data Validation will address issues as they arise. Progress reports will be kept for each population.	
Alternate Year Plan Update: Populations will be tackled as affidavits reports come due. Establishing what populations need most attention early on in FY2024 will allow multiple quarters for adjustments, amendments, and deletions.	
NOTE: Enter an "X" in the box to the right if the desired improvements will not be accomplished by the end of the two consecutive fiscal years for which this plan is in effect. Summarize, below, the major actions remaining to be taken in subsequent fiscal years and include a projected completion date as to when the performance goal will be achieved.	
[ Enter Remaining Major Actions Here ]	
Milestones	
1. Hiring additional staff for the Quality Control Branch, allowing more time for DV training and focus.	Completion Date: 3/30/2023
FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):	
Hiring freeze will not allow new staff. Pending TA visit from national and regional office.	
FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):	
Hiring freeze still in effect. Existing employee in different job title pulled to assist with DV. On limited basis.	
FY 2023 Quarter 3 Status Report (Quarter Ending 6/30/2023):	
No new staff. Hiring freeze still in effect. Hopes for new positions after budget fiscal year passing.	
FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):	
FY 2024 Quarter 1 Status Report (Quarter Ending 12/31/2023):	
FY 2024 Quarter 2 Status Report (Quarter Ending 3/31/2024):	

Benefit Accuracy Measurement (BAM)												
Federal Fiscal Year: 2023-2024 SQSP Corrective Action Plan & Progress Report					Back to Biennial Overview 2023				Back to Alternate Overview 2024			
State: Kentucky					Federal Fiscal Year 2023				Federal Fiscal Year 2024			
Performance Measures	ALP	2022		Target/Actual	12/31/2022	3/31/2023	6/30/2023	9/30/2023	12/31/2023	3/31/2024	6/30/2024	9/30/2024
		BAM Assessed	BAM Assessed		Quarter 1	3 Quarter	3 Quarter	3 Quarter	Quarter 1	4 Quarter	4 Quarter	4 Quarter
BAM Operations Compliant - 90-Day/Paid Timeliness	≥ 70%	8.08%	17.99%	Target	10%	20%	30%	40%	50%	60%	70%	70%
				Actual	14.23%	16.66%	29.53%					
BAM Operations Compliant - 90-Day/Paid Timeliness	≥ 95%	17.31%	40.04%	Target	25.00%	35.00%	45.00%	55.00%	65.00%	75.00%	85.00%	95.00%
				Actual	29.29%	36.00%	54.89%					
BAM Operations Compliant - 120-Day/Paid Timeliness	≥ 98%		89.56%	Target				91.26%	92.96%	94.66%	96.36%	98.06%
				Actual								
BAM Operations Compliant - 60-Day Separation Timeliness	≥ 60%		15.36%	Target				24.3%	33.24%	42.17%	51.10%	60.03%
				Actual								
BAM Operations Compliant - 90-Day Separation Timeliness	≥ 85%		45.57%	Target				53.4%	61.3%	69.2%	77.1%	85.0%
				Actual								
BAM Operations Compliant - 60-Day Nonseparation Timeliness	≥ 60%		48.88%	Target				51.1%	59.34%	67.57%	75.80%	84.03%
				Actual								
BAM Operations Compliant - 90-Day Nonseparation Timeliness	≥ 85%		68.67%	Target				70.34%	74.07%	77.80%	81.53%	85.26%
				Actual								
BAM Operations Compliant - Paid Comparison Reports	< -10.6 > 5%		-26.67%	Target				-24.30%	-21.3%	-17.4%	-13.7%	-9.9%
				Actual								
BAM Operations Compliant - Monetary Comparison Reports	± 15%		-20.6%	Target				-13.48%	-6.35%	0.78%	7.9%	15.04%
				Actual								

Corrective Action Plan Summary	
The Summary must provide:	
Alternate Year Plan Update:	
A. The Reason for the deficiency:	
Prior to the review period, Kentucky experienced significant staff turnover and losses. This is in addition to prior vacancies that had not been backfilled. Also, due to branch needs staff have been performing multiple roles and	
Alternate Year Plan Update: Staffing was an ongoing issue causing timeliness issues. Pressures from outside agencies workload overflow caused distraction from Bam focus.	
B. Provide a description of your "Plan-Do-Check-Act" corrective action plan which will be undertaken to achieve the acceptable level of performance. Examples of major actions and activities, aka. Milestones, include IT requirements, business process analysis, training, implementing process improvements, measuring effectiveness, etc. Please include a description of these action/activities in each stage of your "Plan-Do-Check-Act" corrective action plan.	
Management is working with Kentucky's personnel cabinet to update position requirements in order to provide a position opportunity to more qualified applicants. Weekly BAM team meetings remain in place to address questions.	
Alternate Year Plan Update: Staffing is likely to remain an ongoing issue. Strategies like reduced sampling and having investigators help with multiple case types will help keep investigations timely. Removal of external workloads	
C. If a plan was in place the previous year, an explanation of why the actions contained in that plan were not successful in improving performance; and, an explanation of why the actions now specified will be more successful.	
Staffing limitations and turnover resulted in the overall performance not improving to the desired levels. Additional staffing will allow for more direct focus on BAM job duties with less need for them to assist with other areas.	
Alternate Year Plan Update: The hiring freeze and budget limitations placed on the section has been a significant hindrance on overall performance. At the same time Ky UI have very significant law changes that required some	
D. A brief description of plans for monitoring and assessing accomplishment of planned actions and for controlling quality after achieving performance goals.	
Kentucky continues to monitor and assess the efforts to improve UI Overpayment Recovery Measure. The monitoring is performed on a weekly, monthly, and quarterly basis through internal reports in order to determine the efficacy	
Alternate Year Plan Update: Continual monitoring and reassessment of existing conditions, influences and upcoming events will keep goals obtainable and should lead to overall success. Working with the DV, BTQ and TPS	
NOTE: Enter an "X" in the box to the right if the desired improvements will not be accomplished by the end of the two consecutive fiscal years for which this plan is in effect. Summarize, below, the major actions remaining to be taken in subsequent fiscal years and include a projected completion date as to when the performance goal will be achieved.	
[ Enter Remaining Major Actions Here ]	

4. Create claimant contract forms for Denied BAM cases in existing Liquid Office (LQO) technology as well as explore the ability to link together multiple LQO documents. This contract method allows for immediate, electronic response by the claimant and prevents the claimant from failing to answer portions of the document by making all required data mandatory before submission.	<b>Completion Date</b> 9/30/2024
<p><b>FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):</b> Project was side lined due to H&amp;A upgrades and lack of Java programmer in IT.</p> <p><b>FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):</b> Rough Drafts completed. Initial H&amp;A update made to existing LQO forms to resume use of paid forms.</p> <p><b>FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):</b> Waiting on IT staff to progress project further.</p> <p><b>FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):</b></p> <p><b>FY 2024 Quarter 1 Status Report (Quarter Ending 12/31/2023):</b></p> <p><b>FY 2024 Quarter 2 Status Report (Quarter Ending 3/31/2024):</b></p> <p><b>FY 2024 Quarter 3 Status Report (Quarter Ending 6/30/2024):</b></p> <p><b>FY 2024 Quarter 4 Status Report (Quarter Ending 9/30/2024):</b></p>	
5. Review BAM procedural manual quarterly and update to continue ensuring consistent standards within the BAM unit.	<b>Completion Date</b> 9/30/2024
<p><b>FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):</b> Manual still needs to be updated with recent H&amp;A changes. final drafts have not yet been written.</p> <p><b>FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):</b> Under review. Awaiting agency wide procedural decisions to be finalized.</p> <p><b>FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):</b> Updating BAM procedures and manual on regular basis.</p> <p><b>FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):</b></p> <p><b>FY 2024 Quarter 1 Status Report (Quarter Ending 12/31/2023):</b></p> <p><b>FY 2024 Quarter 2 Status Report (Quarter Ending 3/31/2024):</b></p> <p><b>FY 2024 Quarter 3 Status Report (Quarter Ending 6/30/2024):</b></p> <p><b>FY 2024 Quarter 4 Status Report (Quarter Ending 9/30/2024):</b></p>	
6. Strategic reduction of cases sampled to allow more time to focus on previously assigned cases. Currently 500 cases are scheduled to be sampled. Releasing 20 cases over the course of 4 weeks will allow Kentucky to still meet the minimum 480 cases with an excess of 20.	<b>Completion Date</b> 9/30/2024
<p><b>FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):</b> Added milestone this reporting quarter.</p> <p><b>FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):</b> Case reduction plans and advice on how to implement received from ETA staff in MSP wrap up.</p> <p><b>FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):</b> Reduction practice has been highly effective to end PIA year 23 to allow ed focus on remainder of cases. Will continue practice going forward.</p> <p><b>FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):</b></p> <p><b>FY 2024 Quarter 1 Status Report (Quarter Ending 12/31/2023):</b></p> <p><b>FY 2024 Quarter 2 Status Report (Quarter Ending 3/31/2024):</b></p>	
7. Develop case completion automation. Currently 100% of the investigations are on paper. Setting them up, during the investigation and Storage. A process will be created where these will be developed and stored digitally. With access to print all info needed at any time. This will improve working efficiency along with ease of access for investigators helping with alternate careloads.	<b>Completion Date</b> 9/30/2024
<p><b>FY 2023 Quarter 1 Status Report (Quarter Ending 12/31/2022):</b> N/A</p> <p><b>FY 2023 Quarter 2 Status Report (Quarter Ending 3/31/2023):</b> N/A</p> <p><b>FY 2023 Quarter 3 status report (Quarter Ending 6/30/2023):</b> N/A</p> <p><b>FY 2023 Quarter 4 Status Report (Quarter Ending 9/30/2023):</b></p> <p><b>FY 2024 Quarter 1 Status Report (Quarter Ending 12/31/2023):</b></p> <p><b>FY 2024 Quarter 2 Status Report (Quarter Ending 3/31/2024):</b></p> <p><b>FY 2024 Quarter 3 Status Report (Quarter Ending 6/30/2024):</b></p> <p><b>FY 2024 Quarter 4 Status Report (Quarter Ending 9/30/2024):</b></p>	

## 5. UI PROGRAM INTEGRITY ACTION PLAN (UI IAP)

The UI IAP outlines the strategies the State will undertake during the planning period regarding the prevention reduction and recovery of UI improper payments.

### Accountable Agency Official(s).

List the person or persons accountable for ensuring integrity in the state's unemployment insurance (UI) program.

#### Name:

Beverly Hillenmeyer

#### Title:

Integrity Branch Manager, Kentucky Office of Unemployment Insurance

#### Email:

Beverly.Hillenmeyer@ky.gov

Phone:

502-782-3276

**\*Note:** Unemployment Insurance Program Letter (UIPL) No. 09-23, issued on June 30, 2023, makes reference to UIPL No. 22-21, Change 2, throughout the guidance. However, on July 13, 2023, the Employment and Training Administration (ETA) issued UIPL No. 10-23, which rescinded UIPL No. 22-21, Change 2. UIPL No. 11-23, also issued on July 13, 2023, changed the amount of the integrity grant funding originally issued under UIPL No. 22-21, Change 2, but maintained the guidance on required and recommended fraud prevention and detection and overpayment recovery activities.

**(Topic #1: National Priority) – Ensuring UI program integrity by assessing and evaluating fraud risks, implementing and maintaining sufficient controls to effectively mitigate the likelihood and impact of fraud, and reducing improper payments.**

- In evaluating fraud risks, states should consider both eligibility fraud risks and

**Topic #1: National Priority Response:**

- Kentucky UI has assessed and evaluated fraud risks. IT has implemented and is maintaining controls to effectively mitigate the likelihood and impact of fraud and reducing improper payments.
- **KY UI IT staff have installed ID.me on the front end of claim filing which has reduced the number of fraudulent claims in the system to less than 1%.**
- IT has also added software to check banking information, IP addresses, and multiple addresses, phone numbers and questionable email addresses.
- All initial UI claims are run thru both IDH and Pondera's Clear for fraud assessments. Based on assessments scores, staff review each claim which is deemed questionable by IDH and Clear.
- KY has recently been accepted to PUPs. IT staff are integrating the KY system to the PUP system. To be complete by the end of 2023.
- Communications are put out to all staff at least once per week, reminding them of specific possible fraud issues to be aware of.
- Staff are also updated on procedural changes and system updates. There is continuing education training for all staff on all things UI and fraud. Staff trainings are held in person as well as via TEAMS. It is the duty of one designated staff member to plan and implement trainings along with senior staff support.

**State plans to evaluate UI fraud risks and implement and maintain sufficient controls to effectively prevent fraud and reduce improper payments, including state actions to develop their own state-specific antifraud strategy.**

- Key elements of an antifraud strategy include:
- **Who** is responsible for fraud risk management activities?

- Establish roles and responsibilities of those involved in fraud risk management activities, such as the antifraud entity and external parties responsible for fraud controls, and communicate the role of the Office of Inspector General (OIG) to investigate potential fraud.
- **What** is the program doing to manage fraud risk?
  - Describe the program’s activities for preventing, detecting, and responding to fraud, as well as monitoring and evaluation.
- **When** is the program implementing fraud risk management activities?
  - Create timelines for implementing fraud risk management activities, as appropriate, including monitoring and evaluations.
- **Where** is the program focusing its fraud risk management activities?
  - Demonstrate links to the highest internal and external residual fraud risks outlined in the fraud risk profile.
- **Why** is fraud risk management important?
  - Communicate the antifraud strategy to employees and other stakeholders, and link antifraud efforts to other risk management activities, if any.

See A Framework for Managing Fraud Risks in Federal Programs at <https://www.gao.gov/assets/gao-15-593sp.pdf> for additional information.

**State plans to evaluate UI fraud risks response:**

The Integrity Branch Manager works in tandem with the KY Office of UI Executive Director and KY UI IT to as responsible entities for fraud risk in KY UI.

- The Office of UI added software to detect foreign IP addresses, matching addresses, phone numbers, etc.
- IT is utilizing Pondera fraud caster to access Appriss, BAV, suspicious addresses, email, and phone numbers as solutions to identifying fraud. Pondera access began in Spring 2022.
- KY UI also installed ID.me on the front end of claims filing as a way to deter fraud within the KY UI system. ID.me was moved to the front end of KY UI claims in 3<sup>rd</sup> quarter 2021, which reduced fraud claims to less than 1%.
- IDH was added in October 2022; however, file submissions were not added until February of 2023.
- The Integrity Branch has continued to run wage cross match audits and audits of New Hires during the pandemic. KY is current in running cross match audits with the most recent audit kicked off in early October 2023 for the 2<sup>nd</sup> quarter 2023 cross match audit.
- KY UI has recently been approved for PUP and are awaiting final approval and to work thru the IT staff to connect to PUP.

- KY UI is still focusing on fraudulent claims and is working on the workflow process for fictitious employer fraud. The KY Integrity Branch began working with the Tax Branch to mitigate the fictitious employer claims in March 2023.
- Fraud training is on-going for Integrity Staff; Jerome Lord came for a three-day visit in October 2022, to train the program Investigators on how to use IDH to get the best information possible to determine fraud on a claim.
- One of Integrity's WFD Operations Administrators attended the Fraud Roundtable meeting in Denver, CO in March 2023.

**State use of tools, services, strategies, process improvements, and/or procedural changes adopted by the state to combat fraud, verify identities, and enhance recovery efforts. States must identify which tools, solutions, and service provider(s) are used in the state's fraud management operations, including but not limited, to the following areas: data analysis, risk-based ID verification, fraud prevention and detection, and cybersecurity.**

- Include strategies, solutions, and/or activities using funds the Department has made available to states for combatting fraud and strengthening UI program integrity under UIPL Nos. 28-20; 28-20, Change 1; 28-20, Change 2; 28-20, Change 4; 22-21; 11-23; and 02-22.
- Provide details on overpayment recovery efforts including:
  - Actions with banks, financial institutions, and with Federal law enforcement's forfeiture and seizure efforts.
  - Information on how the state is using waivers of recovery of overpayments both for regular UI and temporary UC programs created by the CARES Act, including if the state is using approved blanket waivers as described in UIPL No. 20-21, Change 1.
  - How the state is using the Treasury Offset Program (TOP) for benefit overpayment recovery, how the state is ensuring covered debts are being submitted, and any barriers/challenges in working with TOP.

**State use of tools, services, strategies, process improvements, and/or procedural changes response:**

- KY use of tools, services, strategies, process improvements:
- ID.me which was implemented on the front end of claims in the 3rd quarter of 2021, has been a huge game changer for KY UI Integrity as far as reducing the number of fraudulent claims to less than 1%.
- Kentucky is working with multiple vendors (\*Thomson Reuters, \*Catalis, \*ID.me \* IDH) to build a seamless workflow for identifying, adjudicating and processing identity theft while providing good data and analytics for future improvements.
- KY has purchased RESOLVE from Catalis (ON Point) to be added by end of 1st quarter 2024.

\*KY continues to use TOP. The challenges this year due to issues TOP was having with state deposits which may not have actually been deposited on the same date states were told they would be. IT staff have written programs to ensure appropriate debts are being submitted.

\* In regard to waivers, 9205 waivers have been applied according to KY Senate Bill 7, amounting to \$19,004,172.78 as of this time. At this time, staff are working on implementing UIPL 20-21, change 1.

The final group of FPUC overpayments, written in an OnPoint program, will be complete in third week of October 2023. At that time, Integrity and IT staff will begin the process of issuing waivers for claims which are eligible for waivers but have not yet been waived.

KY Integrity has been working with banks, other financial institutions and law enforcement, including OIG, to retrieve benefit money paid to fraudulent actors.

**State use of UI Integrity Center resources, with a particular focus on state connection to the Integrity Data Hub (IDH) and use of its datasets to cross-match unemployment compensation (UC) claims and aid in the prevention and detection of fraud and improper payments (see Training and Employment Notice (TEN) No. 24-21);**

- Discuss the state's connection to the IDH, including frequency of IDH use.
- Does the state submit all initial and continued claims for IDH cross-matching? If not, what is preventing the state from sending all claims?
  - If the state is not connected to the IDH and/or is connected but not regularly submitting UI claims data through a webservice/real-time connection to IDH, provide details on the state's plan for how to increase usage and an anticipated timeline to:
    - Connect to the IDH.
    - Increase frequency of IDH use.
    - Fully leverage all available IDH capabilities. IDH capabilities include:
      - Suspicious Actor Repository (SAR)
      - Multi-State Cross-Match (MSCM)
      - Identity Verification (IDV)
      - Bank Account Verification (BAV)
      - Fraud Alerting
      - Foreign Internet Protocol (IP) Address Detection

- Suspicious Email Domains and Patterns
  - Update the IDH connection to a webservice/real-time connection.
  - Identify barriers to using any of the available IDH capabilities.
- If the state has not executed IDH Participation Agreement - Version 5.0 (see TEN No. 24-21), provide details on the anticipated timeline to update to IDH Participation Agreement – Version 5.0.
- Discuss the state’s use of the UI National Integrity Academy’s virtual trainings and/or eLearning lessons.
- Discuss the state’s use of UI Integrity Knowledge Exchange Library resources, including the Behavioral Insights Toolkit (see TEN No. 15-21).
- Discuss the state’s participation in State Consultative Services.

**Note:** The IDH Team has a one-page dashboard report for each state summarizing current IDH utilization and areas where IDH use might be expanded. Please reach out to IDHTeam@naswa.org to request a copy of your state’s IDH utilization dashboard report.

**State use of UI Integrity Center resources response:**

- KY is connected to IDH.
- Beginning mid-February 2023, KY UI began submitting initial claims files to IDH every week. IT staff are implementing submissions of reopened claims as well. Reopened claims will be submitted beginning 4<sup>th</sup> quarter 2023.
- Integrity staff analyze all claims whose scores are within parameters of most likely to be fraudulent. This applies to claims flagged as potentially fraudulent in both IDH and Pondera Clear. These are worked every day.
- KY participates in the Multi-state Cross – Match, IDV, (BAV via Pondera), Fraud alerting, Foreign Internet Protocol address detection and suspicious email domains.
- KY UI has already executed the IDH Participation Agreement.
- Integrity staff are assigned courses from the NASWA training academy when first coming to Integrity.
- Integrity staff recognize the importance and data available via the exchange library resources, and use it as necessary.

**State use of required and recommended integrity controls and overpayment recovery activities as outlined in UIPL No. 11-23, including any additional effective cross-matching and overpayment recovery activities and identified best practices.**

- Provide details regarding the state’s use of each cross-match/integrity control and overpayment recovery activity (required and recommended) as outlined in UIPL No. 11-23. Include details on the frequency of crossmatch/integrity controls use (e.g., conducted on all initial claims, all continued claims, only when suspicious activity is identified?) and frequency of overpayment recovery activities.
- Cross-matches/integrity controls and recovery activities include:



### **Cross-matches/Integrity Controls**

- ID Verification;
- National Directory of New Hires (NDNH);
- Quarterly Wage Records Cross-match;
- Systematic Alien Verification for Entitlement (SAVE);
- Referral of allegations reasonably believed to constitute UC fraud, waste, abuse, mismanagement, or misconduct to DOL-OIG;
- UI Integrity Center's IDH;
- Digital Authentication, such as Multifactor Authentication (MFA);
- Device Fingerprint/Reputation Management;
- Fraud Risk Scoring (*i.e.*, Case Management Prioritization);
- Comparisons and that detect shared characteristics;
- Social Security Administration (*i.e.*, Unemployment Insurance Query (UIQ), Prisoner Update Processing System (PUPS), Death Master File);
- Federal, state, and local incarceration ;
- Deceased Records cross-matches;
- Vital Statistics cross-
- State Directory of New Hires (SDNH);
- Department of Motor Vehicle cross-
- Interstate Benefits (IB) cross-match;
- State Identification Inquiry (SID) and IB8606 enhancements made to the Interstate Connection (ICON) network cross-match to prevent concurrent claim filing in multiple states;
- Use of a unique identifier to identify claimants instead of using the full
- Fictitious employer cross-
- Periodic IT security assessments and audits consistent with National Institute of Standards and Technology (NIST)-compliant information technology security guidelines;
- Adequate internal controls to protect the integrity and security of state assets;
- Implement a cross-functional integrity task force to develop and implement state-specific action plans to reduce UI improper payments.

### **Overpayment Recovery Activities**

- Benefit Offsets;
- TOP;

- Cross Program Offset Recovery Agreement (CPORA);
- Interstate Reciprocal Offset Recovery Arrangement (IPORA);
- Negotiating repayment plans;
- Accepting repayments through various methods (*e.g.*, online, via debit/credit card);
- State Income Tax Offset Program;
- Wage garnishments;
- Property liens and assessments;
- Offsets of lottery winnings, homestead exemptions, and other benefits;
- Active participation in probate and/or bankruptcy proceedings;
- Skip tracing;
- Work proactively and collaboratively with banks and financial institutions;
- Civil actions;
- Credit bureau referrals;
- State/federal prosecution;
- Penalties and interest on overpayments in compliance with state and federal law;
- Collection agency referrals;
- Implementing a voluntary fraud self-disclosure program;
- Other recovery methods as determined by state law or policy.
- Identify any additional integrity controls or recovery activities the state uses that are not listed in UIPL No. 11-23.
- Provide promising practices.
- Identify challenges with cross-matches or in overpayment recovery activities.
- If the state does not currently use one of the integrity controls or recovery activities listed in UIPL No. 11-23, provide the state's plan and anticipated timeline to request and obtain access to the cross-match/integrity control or to implement the overpayment recovery activity.

**Note:** If the state does not plan to obtain access to a cross-match/integrity control or implement a specific recovery activity, please explain.

**State use of required and recommended integrity controls and overpayment recovery activities response:**

KY UI utilizes all of the cross match/Integrity Controls listed below. ID Verification; National Directory of New Hires (NDNH); Quarterly Wage Records Cross-match. Systematic Alien Verification for Entitlement (SAVE). Referral of allegations reasonably believed to constitute UC fraud, waste, abuse, mismanagement, or misconduct to DOL-OIG. UI Integrity Center's IDH. Digital Authentication, such as Multifactor Authentication (MFA); Device Fingerprint/Reputation Management. Fraud Risk Scoring (i.e., Case Management Prioritization); Comparisons and crossmatches that detect shared characteristics; Social Security Administration crossmatches (i.e., Unemployment Insurance Query (UIQ), Prisoner Update Processing System (PUPS)\*Approved and now getting integrated with PUP, Death Master File); Federal, state, and local incarceration crossmatches. Deceased Records crossmatches. Vital Statistics crossmatches. State Directory of New Hires (SDNH); Department of Motor Vehicle crossmatch. Interstate Benefits (IB) crossmatch. State Identification Inquiry (SID) and IB8606 enhancements made to the Interstate Connection (ICON) network crossmatch to prevent concurrent claim filing in multiple states. Use of a unique identifier to identify claimants instead of using the full SSN. Fictitious employer crossmatches. Periodic IT security assessments and audits consistent with National Institute of Standards and Technology (NIST)-compliant information technology security guidelines. Adequate internal controls to protect the integrity and security of state assets; Implement a cross-functional integrity task force with participation from Integrity staff, IT staff, Tax and Adjudication staff to develop and implement state-specific action plans to reduce UI improper payments. Overpayment Recovery Activities Benefit Offsets; TOP; Cross Program Offset Recovery Agreement (CPORA); Interstate Reciprocal Offset Recovery Arrangement (IPORA); Negotiating payments through various methods (e.g., online, via debit/credit card). State Income Tax Offset Program. Wage garnishments: KY does not utilize garnishments at this time but have discussed testing a pilot program with 10 to 20 claimants. Property liens. Active participation in probate and/or bankruptcy proceedings. Work proactively and collaboratively with banks and financial institutions. State/federal prosecution. Penalties and interest on overpayments in compliance with state and federal law. Implementing a voluntary fraud self-disclosure program. When KY first added On Point's Recover, one of the highlights is that it permits staff to reach out to claimants with overpayments to work out a payment agreement, or perhaps ask pleasantly if the Office assist in working out a way for the person to begin making payments. Integrity never had the additional staff to do this. With the latest grant, Integrity is looking to hire staff to reach out to claimants. To start with, those with small overpayments, under \$100, under \$500 and so on, working the way up to claimants who owe in the thousands. On Point staff are getting numbers together to enable staff to plan the workflow and duties. To begin 4th quarter 2023.

**State use and employer participation in State Information Data Exchange System (SIDES) (see TEN No. 12-16).**

- Provide details on the state's current usage of SIDES.
- If the state does not currently use all available SIDES exchanges, provide the state's plan for how to connect to all SIDES exchanges and an anticipated timeline to implement each SIDES exchange. Sides Exchanges include:
  - Separation Information
  - Monetary & Potential Charges
  - Additional Fact-Finding

- Determinations & Decisions
- Earnings Verification
- Benefit Charges
- Identify any barriers to SIDES exchange participation, either in state promotion or in employer adoption.

**State use and employer participation in State Information Data Exchange System response:**

KY UI does use SIDES for separation information. KY has reached out to our vendor, Catalis, which runs KY Cross match Audits, SDNH cross matches and NDNH cross matches to ask to be integrated with SIDES Earnings verification and additional fact-finding information. Should be no later than 1<sup>st</sup> quarter 2024, at which time the new Resolve software will be added/implemented.

**State strategies designed to facilitate claimants' compliance with state work search requirements while also supporting their reemployment such as adoption of the work search requirements in the Model Work Search Legislation (see TEN No. 17-19).**

- Outline the state's work search requirement and explain state challenges with work search improper payments.
- Discuss the state's plan to improve work search compliance by reducing work search errors and strengthening reemployment.

**State strategies designed to facilitate claimants' compliance with state work search requirements response:**

- Each claimant engages in 5 verifiable work search activities per week.
- 3 work searches shall consist of formally submitting an application or interviewing for employment.
- If a claimant fails to comply, they are disqualified from receiving benefits for the week.
- The KY OUI IT staff have updated programing within the SEIBEL system for continued claims to prevent payment of benefits if a claimant has not complied with work search requirements.
- If a claimant does not meet the guidelines required for a weekly work search, a stop is now placed on the claim and an issue created for Adjudication staff to investigate.
- Additional staff have been trained so as to handle work search issues within a timely manner.

**(Topic #2) – State plans and actions to address the state's top three improper payment root causes in Payment Integrity Information Act (PIIA) 2022.**

- Identify the state's top three improper payment root causes.
- Explain the state's challenges in reducing improper payments in the top three root cause categories.
- Discuss the state's plan to reduce improper payments in each root cause category.

**Topic #2 – State plans and actions to address the state's top three improper payment root causes in Payment Integrity Information Act (PIIA) 2022 response:**

- KY UI Top three improper payment root causes: Work Search (see above discussion on this topic), Unreported earnings, & Claimant's not qualified to draw benefits.
- Prior to the pandemic, KY Adjudication staff were seeing workloads increase. With the advent of the pandemic, the workloads became overwhelming. This in turn caused more **overpayments with claimants not qualified to draw benefits.**
- During the Pandemic, untrained staff removed stops and paid claimants in error.
- The Adjudication branch is now current in their assigned work; Therefore, claimants who have an eligibility issue on their claims, will have their issues adjudicated prior to the stops being removed and payments released.

**Efforts to reduce work search overpayments were mentioned previously.**

As far as

**unreported earnings**

- the workload from the Pandemic created staff shortages in Integrity as seasoned staff were pulled to work in other areas. As a result, KY staff fell a bit behind in running cross match audits and working tips and leads.
- KY UI Integrity staff worked continuously to make up ground on cross match audits. Integrity is now current, kicking off the 2<sup>nd</sup> quarter 2023 cross match audit in October 2023.
- KY UI is making an effort to educate claimants as to how to properly report their earnings via social messaging, email and KY OUI website.
- Staff will also benefit from the new RESOLVE (Catalis) system implementation when it comes to identifying claimants not properly reporting their earnings.

**(Topic #3) – State coordination and collaboration with the DOL-OIG and other state and Federal law enforcement agencies to investigate and prosecute UI fraud and recover overpayments. This should also include state plans to continue providing all confidential UC information to DOL-OIG for purposes of both investigating fraud and performing audits.**

**Topic #3 – State coordination and collaboration with the DOL-OIG response:**

\*KY UI does work in collaboration with the DOL-OIG as well as any other law enforcement agencies investigating and prosecuting UI fraud and overpayments.

\* KY UI does submit a list of high dollar fraud overpayments to USDOL at the beginning of each month.

\*KY OIG reached out to DOL OIG concerning fraudulent actors early in the pandemic.

\*KY UI responds promptly to any and all OIG inquiries regarding specific claims.

\*KY continues and plans to continue working with OIG to thwart fraud in the system by continuing to reach out with high dollar overpayments on a monthly basis, responding to requests by OIG Special Agents and investigating fraudulent claims sent to staff attention by OIG.

**(Topic #4) – State plans to strengthen program integrity in UI tax operations, including current activities and plans to identify and prevent worker misclassification, State Unemployment Tax Act (SUTA) Dumping, and fictitious employer schemes, and development/use of effective employer audit strategies (i.e., use of remote audits).**

- Identify current activities and plans to address:
  - Worker Misclassification
  - SUTA Dumping
  - Fictitious employer schemes
- Development/use of effective employer audit strategies (including, but not limited to, use of remote audits).

**Topic #4 – State plans to strengthen program integrity in UI tax operations response:**

Tax auditors have done a fine job in identifying misclassified workers. This is an ongoing focus for the Auditors. Fictitious employer schemes have been identified within our system. All of the ones found so far have not paid out any benefits. Information found has been shared with other states via IDH Alerts. Multiple Tax and Integrity staff are looking for these on a continuous basis.

**(Topic #5) – State plans and actions to strengthen internal security and ensure that all appropriate internal controls and processes are in place and are adequate to assess internal risks and threats, ensure program integrity, and minimize program vulnerabilities (see UIPL No. 14-17).**

**Topic #5 – State plans and actions to strengthen internal security response:**

All internal security controls and processes have been reviewed and put into place within the past 24 months. Kentucky utilizes multiple strategies for mitigating fraud. This begins with the utilization of ID.me as the single sign-on for the benefits application. Claimants must verify their identity at a minimum IAL2 level. Each claimant is also checked against SSA, death records and incarceration data. We utilize multi-factor authentication to ensure the individual logging into the system has access to the email on the account. Claimant names are matched against wage records at the time of claim filing and IBIQ is checked to determine if the claimant has an active claim in another state. Recently, CoKY implemented a check on the payment request phone system to ensure claimants could not request benefits until their identity is verified through ID.me. On the back end, CoKY utilizes Pondera (with IDH and APPRISS ingestion) to determine if additional review should occur.

**(Topic #6) – State plans and actions to evaluate the effectiveness and equity of fraud prevention and detection, ID verification, and improper payment reduction activities. State should include strategies to ensure that processes used to detect and prevent fraud are effective and do not limit the ability for a legitimate claimant to apply for and become eligible for UC. States implementing or using facial recognition technology in their ID proofing processes must also report findings from bias testing and provide updates on efforts to mitigate biases or barriers in this section of the IAP.**

- Identify potential barriers that are created by fraud prevention and detection functions for legitimate claimants. Provide plans and actions designed to mitigate such risks.
- As required in UIPL No. 11-23, states must ensure there is at least one timely, effective, and accessible non-digital alternative to online ID verification, which should not be overly burdensome on applicants, limit access to public benefits programs or the timely receipt of benefits, or stigmatize members of the public in any way. Provide details on the state’s non-digital ID verification option(s).
- Include how the state flags cases for suspected fraudulent activity and how investigation resources are assigned, including:
  - What risk scoring elements and/or prioritization elements are used.
  - How the risk scoring elements and/or prioritization elements are weighted.
  - How the state evaluates the weights based on false positives and negatives.
  - How risk scoring elements and/or prioritization elements are updated.
  - How the state ensures the fraud risk scoring and/or prioritization of cases does not negatively affect legitimate claimants.
- Include details on how the state measures claimants’ usage of both digital and non-digital identity verification options, how the state reviews digital services for false positive and false negatives, and how the state ensures legitimate claimants have alternative paths to prove their identity and/or resolve issues, including providing a possible recourse.

**Topic #6 – State plans and actions to evaluate the effectiveness and equity of fraud prevention and detection response:**

- KY OUI is currently utilizing grants from Equity grant and Tiger Team to build upon equitable access for all claimants. Plain language initiative, IDH implementation, metrics related to demographics, mobile UI, The Bus, Dynamic Fact Finding, All are still in implementation phase. KY OUI currently utilizes risk scoring via IDH and Pondera Clear—Fall of 2022 for both. The most likely categories of fraud claims are pulled each week and all of the claims in the identified categories. Each and every one of those claims is reviewed by a program investigator.
- IDH Alerts are checked multiple times per day.
- BAV is implemented via Pondera, rather than IDH.
- Claimants also have to register with ID.me.

- A claimant may appeal, if they are not verified as eligible via ID.me. Claimants are also able to visit a local office for verification as well.
- ID.me has worked with the Office when claimants were negatively impacted by floods and tornados to make sure any and all claimants who needed to be verified had the opportunity to do so.
- Also, to state once again, new strategies KY IT has implemented to mitigate fraud. Utilization of ID.me as the single sign on for the benefits application. Claimant must verify their identity at a minimum IAL2 Level.
- Each claimant is also checked against SSA, death records, and incarceration data.
- Multi-factor authentication is used to ensure the individual logging into the system has access to the email on the account.
- Claimant names are match against wage records at the time of claim filing and IBIQ is checked to determine if the claimant has an active claim in another state.
- IT recently implemented a check on the payment request phone system to ensure claimants could not request benefits until their identity is verified through ID.me.
- On the back end, IT also utilizes Ponder (with IDH and Appriss ingestion) to determine if additional review should occur.
- Staff have undertaken reviewing every document in the arsenal to ensure it meets new standards for being easy to read and comprehend. This is on-going.
- Each UI Branch is undergoing a SWOT to identify Strengths, Weaknesses, Opportunities and Training necessary to address any opportunities to build up a workflow, system and training to make each branch as strong as possible. Staff in each branch are also re-working manuals to make them compatible with the SWOT. Integrity Branch has been working on the SWOT for two months. Other branches are now following suit. This is to be wrapped up by the end of 2023.

**(Topic #7) – State plans and actions to mitigate negative consequences for victims of UI ID fraud, including ensuring simplified processes to remove the victim’s liability for overpayments resulting from ID fraud.**

- - Include details regarding how the state provides a reporting mechanism for UI ID fraud on their websites, communicates status updates for such investigations, and takes action to protect the victim when the state determines that UI ID fraud has occurred (*see*UIPL No. 11-23 for more details on protecting victims of ID fraud).
  - Include the state’s procedures for mitigating negative impacts on the UI ID fraud victim (*e.g.*, establishing a pseudo claim record, temporarily marking the overpayment as “uncollectible”, etc.).

**Topic #7 – State plans and actions to mitigate negative consequences for victims of UI ID fraud response:**



<ul style="list-style-type: none"> <li>• KY IU Integrity is notified of possible fraud overpayments in various ways.</li> <li>• The victim may reach out via phone, letter, or the fraud email link within the KY OUI Website. The state may also be notified of the fraudulent claim via an employer. The employers reach out via phone US mail, and email/weblink as well.</li> <li>• Once it has been determined there has been a fraudulent claim filed, Integrity Branch staff reach out to the victims as stated above to give them an opportunity to complete an affidavit.</li> <li>• Once the affidavit has been completed, any overpayment on that particular social is moved within the system to a pseudo social.</li> <li>• If claimant was in drawing status, and any benefits were intercepted by a fraudulent actor, the same procedure follows.</li> <li>• <b>For Intercepted Benefits</b>--Claimant notifies KY OUI of possible fraudulent activity on their claim. Once determined by staff that fraud has taken place, claimant's identity is verified, and claimant will be given an affidavit to complete.</li> <li>• Staff will make the claimant whole again by submitting the missing/intercepted payments to the actual claimant.</li> <li>• Staff also set up an overpayment to a pseudo social. In no way will the victims be responsible for fraudulent claims/payments.</li> </ul>	
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**(Topic #8) – If the state has not provided complete and accurate overpayment reporting on the ETA 227 reports (Overpayment Detection and Recovery Activities), and the ETA 902P report (Pandemic Unemployment Assistance Activities), the state must provide information on plans for improvement, including timeframes and milestones, for addressing the issue and ensuring complete, accurate, and timely reporting in FY 2024.**

- If the state has submitted all data for the ETA 227 or 902P reports, this section is not applicable, and the state can input “N/A”.

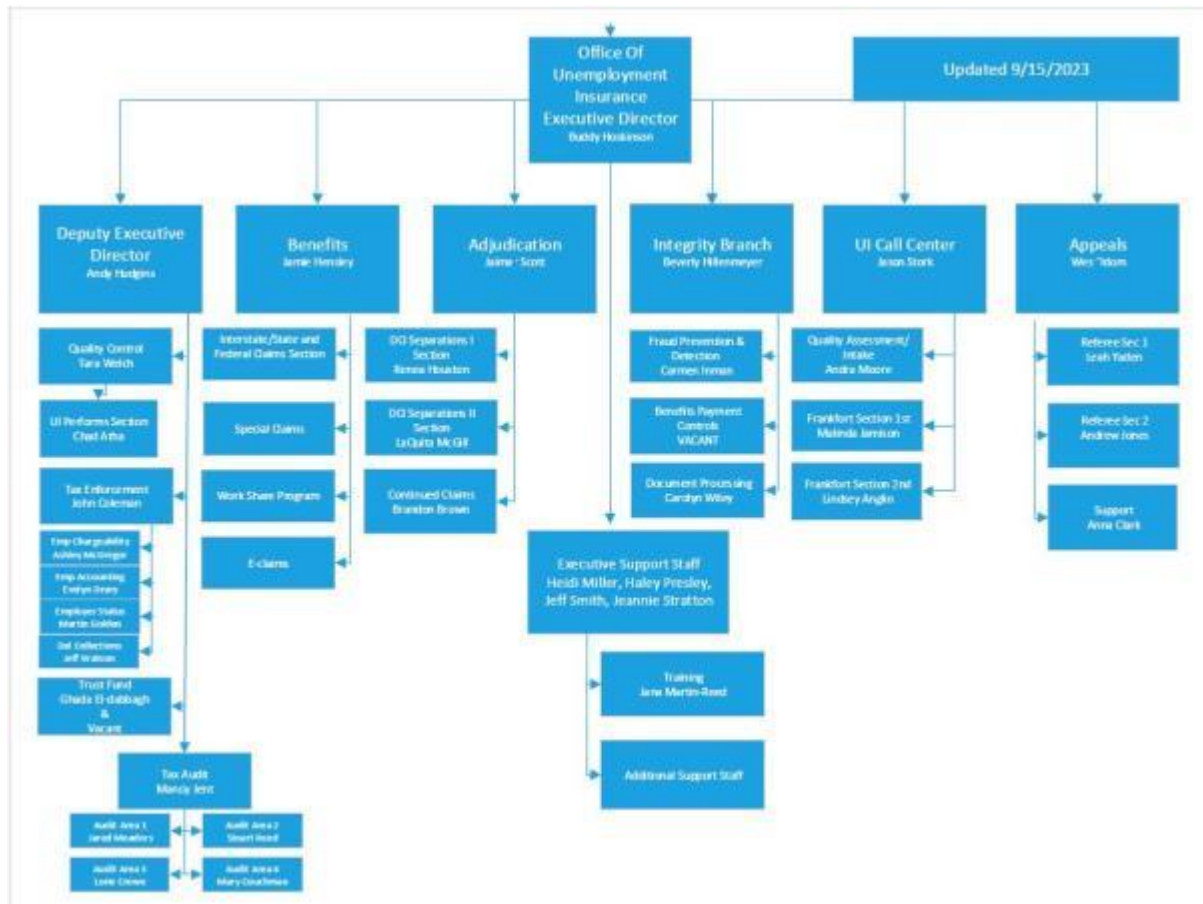
**Topic #8 – If the state has not provided complete and accurate overpayment reporting on the ETA 227 reports:**

<p>Staff reconciled the reports when it was discovered calculations on backside of the spreadsheet were incorrect. Controls have now been put into place to ensure future 227 reports are correct and accurate.</p>
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## 6. ORGANIZATIONAL CHART

The organization chart must conform to the requirement for delivery of service through public employment offices, or such other designated providers as the Secretary may authorize; show the State's configuration from the Governor of the State down to the point of Employment Service and UI customer service delivery; and provide sufficient detail to show each organizational unit involved and the title of the unit manager.

The Office of Unemployment Insurance falls within the Education and Labor Cabinet which reports to the Executive Administration of the Governor's Office. The Organization structure of the Office of Unemployment Insurance within the Education and Labor Cabinet is as follows:



## 7. SQSP SIGNATURE PAGE

The State administrator must sign and date the SQSP Signature Page. By signing the Signature Page, the State administrator certifies that the State will comply with all the assurances and activities contained in the SQSP guidelines.

Though a State needs to submit the complete SQSP package on a 2-year cycle, there are certain documents contained in the SQSP package which are required to be submitted by States annually as part of the off-year submission. The documents which are required to be submitted annually are considered a modification to the complete SQSP submitted the previous year. Since funds for State UI operations are appropriated each year, each State is required to annually submit the transmittal letter, budget worksheets, organizational chart and the signature page.

The modification may also include CAPs for new identified performance deficiencies, and any required modifications to existing CAPs.

Since the UI program is a required one-stop partner, States have the option of including UI in the Combined State Plan authorized by WIOA sec. 103.

UI Signature Page as follows:

**U.S. Department of Labor  
SQSP SIGNATURE PAGE**

OMB Control No.: 1205-0132

Expiration Date: 02/29/2024

<b>U.S. DEPARTMENT OF LABOR Employment and Training Administration</b>	<b>FEDERAL FISCAL YEAR</b> 2024	<b>STATE</b> KY
<b>UNEMPLOYMENT INSURANCE STATE QUALITY SERVICE PLAN SIGNATURE PAGE</b>		
<p>This Unemployment Insurance State Quality Service Plan (SQSP) is entered into between the Department of Labor, Employment and Training Administration, and</p> <p align="center"><u>KENTUCKY OFFICE OF UNEMPLOYMENT INSURANCE</u> (NAME OF STATE AGENCY)</p> <p>The Unemployment Insurance SQSP is part of the State's overall operating plan and, during this Federal fiscal year, the State agency will adhere to and carry out the standards set forth in Federal UI Law as interpreted by the DOL, and adhere to the Federal requirements related to the use of granted funds.</p> <p>All work performed under this agreement will be in accordance with the assurances and descriptions of activities as identified in the SQSP Handbook and will be subject to its terms.</p>		
<b>TYPED NAME AND TITLE</b>	<b>SIGNATURE</b>	<b>DATE</b>
<b>Buddy Hoskinson</b> STATE ADMINISTRATOR (print name)	 /s/ Buddy Hoskinson	9/15/2023
<b>DOL – REGIONAL OFFICE APPROVING OFFICIAL (print name)</b>		
<b>DOL – NATIONAL OFFICE APPROVING OFFICIAL (print name)</b> (if required)		

## B. REQUIREMENTS FOR STATES ELECTING TO INCLUDE UI IN THE COMBINED STATE PLAN

States that elect to include UI in the Combined State Plan must:

### 1. SUBMIT AN SQSP IN THE FOLLOWING MANNER DEPENDING ON THEIR TIMING IN THE SQSP CYCLE:

A. IF A STATE IS IN THE FIRST YEAR OF THEIR 2-YEAR CYCLE, THE STATE IS REQUIRED TO SUBMIT THE MOST RECENTLY APPROVED COMPLETE SQSP PACKAGE. A COMPLETE SQSP PACKAGE WILL INCLUDE THE TRANSMITTAL LETTER, BUDGET WORKSHEETS/FORMS, STATE PLAN NARRATIVE, CAPS (INCLUDING THE MILESTONES AND THE COMPLETION DATE FOR EACH MILESTONE), THE UI IAP, ORGANIZATIONAL CHART, AND THE SQSP SIGNATURE PAGE. ONE OF THE KEY GOALS FOR THE UI PROGRAM IS TO ENSURE THAT CLAIMANTS ARE ABLE TO SUCCESSFULLY RETURN TO WORK. AS SUCH, THE SQSP STATE PLAN NARRATIVE MUST PROVIDE A DISCUSSION OF THE PLAN COORDINATION WITH OTHER WIOA COMBINED PLAN PROGRAMS TO ENSURE A COORDINATED EFFORT AND INTEGRATED SERVICE DELIVERY.

We are in the 2nd year and have been providing annual information since 2021.

B. IF A STATE IS IN THE SECOND YEAR OF THE 2-YEAR CYCLE, THE STATE IS REQUIRED TO SUBMIT THE MOST RECENTLY APPROVED COMPLETE SQSP PACKAGE WITH A MODIFICATION THAT MUST INCLUDE THE TRANSMITTAL LETTER, BUDGET WORKSHEETS/FORMS, ORGANIZATIONAL CHART, AND THE SQSP SIGNATURE PAGE. THE MODIFICATION MAY ALSO INCLUDE CAPS FOR NEW IDENTIFIED PERFORMANCE DEFICIENCIES, AND ANY REQUIRED MODIFICATIONS TO EXISTING CAPS. THE CAP MUST LIST BOTH SPECIFIC MILESTONES FOR KEY CORRECTIVE ACTIONS OR IMPROVEMENT ACTIVITIES, AND THE COMPLETION DATE FOR EACH MILESTONE.

We are in the 2nd year and have been providing annual information since 2021.

### 2. SUBMIT THE REQUIRED OFF-YEAR SQSP COMPONENTS AS A MODIFICATION TO THE COMBINED STATE PLAN ON THE SAME CYCLE AS THE REGULAR SQSP PROCESS WHICH MUST BE APPROVED BY SEPTEMBER 30TH EACH YEAR

We are in the 2nd year and have been providing annual information since 2021.

## PERFORMANCE INDICATOR APPENDIX

### ALL WIOA CORE PROGRAMS

The Departments determined that the Effectiveness in Serving Employers indicator will be measured as a shared outcome across all six core programs within each state to ensure a holistic approach to serving employers. The Departments will continue piloting approaches for measuring this indicator for the first two years of PY 2020-2023 plans. Therefore, states are not required to submit an expected level of performance for the Effectiveness in Serving Employers indicator for PY 2020 and PY 2021. However, core programs are expected to collect data and report on this indicator for PY 2020 and PY 2021 as they did for PYs 2016-2019 plans.

### ADULT, DISLOCATED WORKER, AND YOUTH ACTIVITIES - ADULT PROGRAM PERFORMANCE INDICATORS

#### **Performance Goals for the Core Programs**

Each state submitting a Unified or Combined State Plan is required to identify expected levels of performance for each of the primary indicators of performance for the first two years covered

by the plan. The state is required to reach agreement with the Secretary of Labor, in conjunction with the Secretary of Education, on state-negotiated levels of performance for the indicators for each of the first two years of the plan.

For Program Year (PY) 2016-2019 plans, the Departments used the transition authority under section 503(a) of WIOA to designate certain primary indicators of performance as “baseline” indicators to ensure an orderly transition from the requirements of the Workforce Investment Act of 1998 to those under WIOA. A “baseline” indicator was one for which states did not propose an expected level of performance and did not come to agreement with the Departments on negotiated levels of performance because sufficient data was not available to establish such performance levels. As a result, “baseline” indicators were not used in the end of the year adjustment of performance levels and were not used to determine failure to meet adjusted levels of performance for purposes of sanctions. The Departments designated indicators as “baseline” based on the likelihood of a State having insufficient data with which to make a reasonable determination of an expected level of performance.

For PYs 2020-2023 Plans, Title I programs (Adult, Dislocated Worker, and Youth) and the Title II program (Adult Education and Family Literacy Act) will have two full years of data available to make reasonable determinations of expected levels of performance for the following indicators for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit);
- Median Earnings (Second Quarter after Exit);
- Credential Attainment Rate; and
- Measurable Skill Gains

The Wagner-Peyser Act Employment Service program, authorized under the Wagner-Peyser Act, as amended by title III of WIOA, will have two full years of data available to make a reasonable determination of expected levels of performance for the following indicators for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit); and
- Median Earnings (Second Quarter after Exit)

The Credential Attainment Rate and Measurable Skill Gains indicators do not apply to the Wagner-Peyser Act Employment Service program; therefore, this program will not submit expected levels of performance for these indicators.

For the first two years of PYs 2020-2023 Plans, the Vocational Rehabilitation (VR) program, authorized under title I of the Rehabilitation Act of 1973, as amended by title IV of WIOA, will have two full years of data available for the Measurable Skill Gains indicator only. Therefore, the Departments will designate the following indicators as “baseline” for the VR program for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit);

- Median Earnings (Second Quarter after Exit); and
- Credential Attainment Rate

VR agencies must continue to collect and report on all indicators, including those that have been designated as “baseline, pursuant to section 116(d) of WIOA.” The actual performance data reported by these programs for indicators designated as “baseline” for PY 2020 and PY 2021 will serve as baseline data in future years. The Departments will require VR agencies to submit expected levels of performance for these indicators for PY 2022 and PY 2023.

The Departments determined that the Effectiveness in Serving Employers indicator will be measured as a shared outcome across all six core programs within each state to ensure a holistic approach to serving employers. The Departments will continue piloting approaches for measuring this indicator for the first two years of PY 2020-2023 plans. Therefore, states are not required to submit an expected level of performance for the Effectiveness in Serving Employers indicator for PY 2020 and PY 2021. However, core programs are expected to collect data and report on this indicator for PY 2020 and PY 2021 as they did for PYs 2016-2019 plans.

Each core program must submit an expected level of performance for all of the other indicators, as applicable, with the exception of the four indicators designated as “baseline” for the VR program in PY 2020 and PY 2021. The Departments will work with states during the negotiation process to establish negotiated levels of performance for each of the primary indicators for the core programs not listed as “baseline.” Each state must update its plan to include the agreed-upon negotiated levels of performance before the Departments approve a state’s plan.

States may identify additional indicators in the plan, including additional approaches to measuring Effectiveness in Serving Employers, and may establish levels of performance for each of the state indicators. Please identify any such state indicators under Additional Indicators of Performance.

Performance Indicators	PY 2024 Expected Level	PY 2024 Negotiated Level	PY 2025 Expected Level	PY 2025 Negotiated Level
Employment (Second Quarter After Exit)	76.0%		77.0%	
Employment (Fourth Quarter After Exit)	77.0%		78.0%	
Median Earnings (Second Quarter After Exit)	7700.0		7800.0	
Credential Attainment Rate	73.0%		74.0%	
Measurable Skill Gains	55.0%		60.0%	
Effectiveness in Serving Employers	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>

<sup>1</sup>

*The Departments have not issued the final rule defining Effectiveness in Serving Employers. As a result, states will not submit expected levels of performance for this indicator and the Departments will not establish negotiated levels of performance for PYs 2024 and 2025.*

## ADULT, DISLOCATED WORKER, AND YOUTH ACTIVITIES - DISLOCATED PROGRAM PERFORMANCE INDICATORS

### **Performance Goals for the Core Programs**

Each state submitting a Unified or Combined State Plan is required to identify expected levels of performance for each of the primary indicators of performance for the first two years covered by the plan. The state is required to reach agreement with the Secretary of Labor, in conjunction with the Secretary of Education, on state-negotiated levels of performance for the indicators for each of the first two years of the plan.

For Program Year (PY) 2016-2019 plans, the Departments used the transition authority under section 503(a) of WIOA to designate certain primary indicators of performance as “baseline” indicators to ensure an orderly transition from the requirements of the Workforce Investment Act of 1998 to those under WIOA. A “baseline” indicator was one for which states did not propose an expected level of performance and did not come to agreement with the Departments on negotiated levels of performance because sufficient data was not available to establish such performance levels. As a result, “baseline” indicators were not used in the end of the year adjustment of performance levels and were not used to determine failure to meet adjusted levels of performance for purposes of sanctions. The Departments designated indicators as “baseline” based on the likelihood of a State having insufficient data with which to make a reasonable determination of an expected level of performance.

For PYs 2020-2023 Plans, Title I programs (Adult, Dislocated Worker, and Youth) and the Title II program (Adult Education and Family Literacy Act) will have two full years of data available to make reasonable determinations of expected levels of performance for the following indicators for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit);
- Median Earnings (Second Quarter after Exit);
- Credential Attainment Rate; and
- Measurable Skill Gains

The Wagner-Peyser Act Employment Service program, authorized under the Wagner-Peyser Act, as amended by title III of WIOA, will have two full years of data available to make a reasonable determination of expected levels of performance for the following indicators for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit); and
- Median Earnings (Second Quarter after Exit)

The Credential Attainment Rate and Measurable Skill Gains indicators do not apply to the Wagner-Peyser Act Employment Service program; therefore, this program will not submit expected levels of performance for these indicators.

For the first two years of PYs 2020-2023 Plans, the Vocational Rehabilitation (VR) program, authorized under title I of the Rehabilitation Act of 1973, as amended by title IV of WIOA, will have two full years of data available for the Measurable Skill Gains indicator only. Therefore, the Departments will designate the following indicators as “baseline” for the VR program for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit);
- Median Earnings (Second Quarter after Exit); and
- Credential Attainment Rate

VR agencies must continue to collect and report on all indicators, including those that have been designated as “baseline, pursuant to section 116(d) of WIOA.” The actual performance data reported by these programs for indicators designated as “baseline” for PY 2020 and PY 2021 will serve as baseline data in future years. The Departments will require VR agencies to submit expected levels of performance for these indicators for PY 2022 and PY 2023.

The Departments determined that the Effectiveness in Serving Employers indicator will be measured as a shared outcome across all six core programs within each state to ensure a holistic approach to serving employers. The Departments will continue piloting approaches for measuring this indicator for the first two years of PY 2020-2023 plans. Therefore, states are not required to submit an expected level of performance for the Effectiveness in Serving Employers indicator for PY 2020 and PY 2021. However, core programs are expected to collect data and report on this indicator for PY 2020 and PY 2021 as they did for PYs 2016-2019 plans.

Each core program must submit an expected level of performance for all of the other indicators, as applicable, with the exception of the four indicators designated as “baseline” for the VR program in PY 2020 and PY 2021. The Departments will work with states during the negotiation process to establish negotiated levels of performance for each of the primary indicators for the core programs not listed as “baseline.” Each state must update its plan to include the agreed-upon negotiated levels of performance before the Departments approve a state’s plan.

States may identify additional indicators in the plan, including additional approaches to measuring Effectiveness in Serving Employers, and may establish levels of performance for each of the state indicators. Please identify any such state indicators under Additional Indicators of Performance.

Performance Indicators	PY 2024 Expected Level	PY 2024 Negotiated Level	PY 2025 Expected Level	PY 2025 Negotiated Level
Employment (Second Quarter After Exit)	79.0%		80.0%	
Employment (Fourth Quarter After Exit)	79.0%		80.0%	
Median Earnings (Second Quarter After Exit)	8700.0		8900.0	



Performance Indicators	PY 2024 Expected Level	PY 2024 Negotiated Level	PY 2025 Expected Level	PY 2025 Negotiated Level
Credential Attainment Rate	73.0%		74.0%	
Measurable Skill Gains	55.0%		60.0%	
Effectiveness in Serving Employers	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>

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*The Departments have not issued the final rule defining Effectiveness in Serving Employers. As a result, states will not submit expected levels of performance for this indicator and the Departments will not establish negotiated levels of performance for PYs 2024 and 2025.*

**ADULT, DISLOCATED WORKER, AND YOUTH ACTIVITIES - YOUTH PROGRAM PERFORMANCE INDICATORS**

**Performance Goals for the Core Programs**

Each state submitting a Unified or Combined State Plan is required to identify expected levels of performance for each of the primary indicators of performance for the first two years covered by the plan. The state is required to reach agreement with the Secretary of Labor, in conjunction with the Secretary of Education, on state-negotiated levels of performance for the indicators for each of the first two years of the plan.

For Program Year (PY) 2016-2019 plans, the Departments used the transition authority under section 503(a) of WIOA to designate certain primary indicators of performance as “baseline” indicators to ensure an orderly transition from the requirements of the Workforce Investment Act of 1998 to those under WIOA. A “baseline” indicator was one for which states did not propose an expected level of performance and did not come to agreement with the Departments on negotiated levels of performance because sufficient data was not available to establish such performance levels. As a result, “baseline” indicators were not used in the end of the year adjustment of performance levels and were not used to determine failure to meet adjusted levels of performance for purposes of sanctions. The Departments designated indicators as “baseline” based on the likelihood of a State having insufficient data with which to make a reasonable determination of an expected level of performance.

For PYs 2020-2023 Plans, Title I programs (Adult, Dislocated Worker, and Youth) and the Title II program (Adult Education and Family Literacy Act) will have two full years of data available to make reasonable determinations of expected levels of performance for the following indicators for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit);
- Median Earnings (Second Quarter after Exit);
- Credential Attainment Rate; and
- Measurable Skill Gains

The Wagner-Peyser Act Employment Service program, authorized under the Wagner-Peyser Act, as amended by title III of WIOA, will have two full years of data available to make a reasonable determination of expected levels of performance for the following indicators for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit); and
- Median Earnings (Second Quarter after Exit)

The Credential Attainment Rate and Measurable Skill Gains indicators do not apply to the Wagner-Peyser Act Employment Service program; therefore, this program will not submit expected levels of performance for these indicators.

For the first two years of PYs 2020-2023 Plans, the Vocational Rehabilitation (VR) program, authorized under title I of the Rehabilitation Act of 1973, as amended by title IV of WIOA, will have two full years of data available for the Measurable Skill Gains indicator only. Therefore, the Departments will designate the following indicators as “baseline” for the VR program for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit);
- Median Earnings (Second Quarter after Exit); and
- Credential Attainment Rate

VR agencies must continue to collect and report on all indicators, including those that have been designated as “baseline, pursuant to section 116(d) of WIOA.” The actual performance data reported by these programs for indicators designated as “baseline” for PY 2020 and PY 2021 will serve as baseline data in future years. The Departments will require VR agencies to submit expected levels of performance for these indicators for PY 2022 and PY 2023.

The Departments determined that the Effectiveness in Serving Employers indicator will be measured as a shared outcome across all six core programs within each state to ensure a holistic approach to serving employers. The Departments will continue piloting approaches for measuring this indicator for the first two years of PY 2020-2023 plans. Therefore, states are not required to submit an expected level of performance for the Effectiveness in Serving Employers indicator for PY 2020 and PY 2021. However, core programs are expected to collect data and report on this indicator for PY 2020 and PY 2021 as they did for PYs 2016-2019 plans.

Each core program must submit an expected level of performance for all of the other indicators, as applicable, with the exception of the four indicators designated as “baseline” for the VR program in PY 2020 and PY 2021. The Departments will work with states during the negotiation process to establish negotiated levels of performance for each of the primary indicators for the core programs not listed as “baseline.” Each state must update its plan to include the agreed-upon negotiated levels of performance before the Departments approve a state’s plan.

States may identify additional indicators in the plan, including additional approaches to measuring Effectiveness in Serving Employers, and may establish levels of performance for each of the state indicators. Please identify any such state indicators under Additional Indicators of Performance.

Performance Indicators	PY 2024 Expected Level	PY 2024 Negotiated Level	PY 2025 Expected Level	PY 2025 Negotiated Level
Employment (Second Quarter After Exit)	70.0%		71.0%	
Employment (Fourth Quarter After Exit)	73.0%		74.0%	
Median Earnings (Second Quarter After Exit)	4,100.0		4,200.0	
Credential Attainment Rate	63.0%		64.0%	
Measurable Skill Gains	50.0%		50.0%	
Effectiveness in Serving Employers	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>

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*The Departments have not issued the final rule defining Effectiveness in Serving Employers. As a result, states will not submit expected levels of performance for this indicator and the Departments will not establish negotiated levels of performance for PYs 2024 and 2025.*

#### WAGNER-PEYSER ACT - WAGNER PEYSER PROGRAM PERFORMANCE INDICATORS

##### **Performance Goals for the Core Programs**

Each state submitting a Unified or Combined State Plan is required to identify expected levels of performance for each of the primary indicators of performance for the first two years covered by the plan. The state is required to reach agreement with the Secretary of Labor, in conjunction with the Secretary of Education, on state-negotiated levels of performance for the indicators for each of the first two years of the plan.

For Program Year (PY) 2016-2019 plans, the Departments used the transition authority under section 503(a) of WIOA to designate certain primary indicators of performance as “baseline” indicators to ensure an orderly transition from the requirements of the Workforce Investment Act of 1998 to those under WIOA. A “baseline” indicator was one for which states did not propose an expected level of performance and did not come to agreement with the Departments on negotiated levels of performance because sufficient data was not available to establish such performance levels. As a result, “baseline” indicators were not used in the end of the year adjustment of performance levels and were not used to determine failure to meet adjusted levels of performance for purposes of sanctions. The Departments designated indicators as “baseline” based on the likelihood of a State having insufficient data with which to make a reasonable determination of an expected level of performance.

For PYs 2020-2023 Plans, Title I programs (Adult, Dislocated Worker, and Youth) and the Title II program (Adult Education and Family Literacy Act) will have two full years of data available

to make reasonable determinations of expected levels of performance for the following indicators for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit);
- Median Earnings (Second Quarter after Exit);
- Credential Attainment Rate; and
- Measurable Skill Gains

The Wagner-Peyser Act Employment Service program, authorized under the Wagner-Peyser Act, as amended by title III of WIOA, will have two full years of data available to make a reasonable determination of expected levels of performance for the following indicators for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit); and
- Median Earnings (Second Quarter after Exit)

The Credential Attainment Rate and Measurable Skill Gains indicators do not apply to the Wagner-Peyser Act Employment Service program; therefore, this program will not submit expected levels of performance for these indicators.

For the first two years of PYs 2020-2023 Plans, the Vocational Rehabilitation (VR) program, authorized under title I of the Rehabilitation Act of 1973, as amended by title IV of WIOA, will have two full years of data available for the Measurable Skill Gains indicator only. Therefore, the Departments will designate the following indicators as “baseline” for the VR program for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit);
- Median Earnings (Second Quarter after Exit); and
- Credential Attainment Rate

VR agencies must continue to collect and report on all indicators, including those that have been designated as “baseline, pursuant to section 116(d) of WIOA.” The actual performance data reported by these programs for indicators designated as “baseline” for PY 2020 and PY 2021 will serve as baseline data in future years. The Departments will require VR agencies to submit expected levels of performance for these indicators for PY 2022 and PY 2023.

The Departments determined that the Effectiveness in Serving Employers indicator will be measured as a shared outcome across all six core programs within each state to ensure a holistic approach to serving employers. The Departments will continue piloting approaches for measuring this indicator for the first two years of PY 2020-2023 plans. Therefore, states are not required to submit an expected level of performance for the Effectiveness in Serving Employers indicator for PY 2020 and PY 2021. However, core programs are expected to collect data and report on this indicator for PY 2020 and PY 2021 as they did for PYs 2016-2019 plans.

Each core program must submit an expected level of performance for all of the other indicators, as applicable, with the exception of the four indicators designated as “baseline” for the VR program in PY 2020 and PY 2021. The Departments will work with states during the negotiation process to establish negotiated levels of performance for each of the primary indicators for the core programs not listed as “baseline.” Each state must update its plan to include the agreed-upon negotiated levels of performance before the Departments approve a state’s plan.

States may identify additional indicators in the plan, including additional approaches to measuring Effectiveness in Serving Employers, and may establish levels of performance for each of the state indicators. Please identify any such state indicators under Additional Indicators of Performance.

Performance Indicators	PY 2024 Expected Level	PY 2024 Negotiated Level	PY 2025 Expected Level	PY 2025 Negotiated Level
Employment (Second Quarter After Exit)	66.0%		68.0%	
Employment (Fourth Quarter After Exit)	73.0%		74.0%	
Median Earnings (Second Quarter After Exit)	4,100.0		4,300.0	
Credential Attainment Rate	Not Applicable	Not Applicable	Not Applicable	Not Applicable
Measurable Skill Gains	Not Applicable	Not Applicable	Not Applicable	Not Applicable
Effectiveness in Serving Employers	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>

<sup>1</sup>

*The Departments have not issued the final rule defining Effectiveness in Serving Employers. As a result, states will not submit expected levels of performance for this indicator and the Departments will not establish negotiated levels of performance for PYs 2024 and 2025.*

#### ADULT EDUCATION AND FAMILY LITERACY ACT PROGRAM - ADULT EDUCATION AND LITERACY PROGRAM PERFORMANCE INDICATORS

#### **Performance Goals for the Core Programs**

Each state submitting a Unified or Combined State Plan is required to identify expected levels of performance for each of the primary indicators of performance for the first two years covered by the plan. The state is required to reach agreement with the Secretary of Labor, in conjunction with the Secretary of Education, on state-negotiated levels of performance for the indicators for each of the first two years of the plan.

For Program Year (PY) 2016-2019 plans, the Departments used the transition authority under section 503(a) of WIOA to designate certain primary indicators of performance as “baseline”

indicators to ensure an orderly transition from the requirements of the Workforce Investment Act of 1998 to those under WIOA. A “baseline” indicator was one for which states did not propose an expected level of performance and did not come to agreement with the Departments on negotiated levels of performance because sufficient data was not available to establish such performance levels. As a result, “baseline” indicators were not used in the end of the year adjustment of performance levels and were not used to determine failure to meet adjusted levels of performance for purposes of sanctions. The Departments designated indicators as “baseline” based on the likelihood of a State having insufficient data with which to make a reasonable determination of an expected level of performance.

For PYs 2020-2023 Plans, Title I programs (Adult, Dislocated Worker, and Youth) and the Title II program (Adult Education and Family Literacy Act) will have two full years of data available to make reasonable determinations of expected levels of performance for the following indicators for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit);
- Median Earnings (Second Quarter after Exit);
- Credential Attainment Rate; and
- Measurable Skill Gains

The Wagner-Peyser Act Employment Service program, authorized under the Wagner-Peyser Act, as amended by title III of WIOA, will have two full years of data available to make a reasonable determination of expected levels of performance for the following indicators for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit); and
- Median Earnings (Second Quarter after Exit)

The Credential Attainment Rate and Measurable Skill Gains indicators do not apply to the Wagner-Peyser Act Employment Service program; therefore, this program will not submit expected levels of performance for these indicators.

For the first two years of PYs 2020-2023 Plans, the Vocational Rehabilitation (VR) program, authorized under title I of the Rehabilitation Act of 1973, as amended by title IV of WIOA, will have two full years of data available for the Measurable Skill Gains indicator only. Therefore, the Departments will designate the following indicators as “baseline” for the VR program for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit);
- Employment (Fourth Quarter after Exit);
- Median Earnings (Second Quarter after Exit); and
- Credential Attainment Rate

VR agencies must continue to collect and report on all indicators, including those that have been designated as “baseline, pursuant to section 116(d) of WIOA.” The actual performance data

reported by these programs for indicators designated as “baseline” for PY 2020 and PY 2021 will serve as baseline data in future years. The Departments will require VR agencies to submit expected levels of performance for these indicators for PY 2022 and PY 2023.

The Departments determined that the Effectiveness in Serving Employers indicator will be measured as a shared outcome across all six core programs within each state to ensure a holistic approach to serving employers. The Departments will continue piloting approaches for measuring this indicator for the first two years of PY 2020-2023 plans. Therefore, states are not required to submit an expected level of performance for the Effectiveness in Serving Employers indicator for PY 2020 and PY 2021. However, core programs are expected to collect data and report on this indicator for PY 2020 and PY 2021 as they did for PYs 2016-2019 plans.

Each core program must submit an expected level of performance for all of the other indicators, as applicable, with the exception of the four indicators designated as “baseline” for the VR program in PY 2020 and PY 2021. The Departments will work with states during the negotiation process to establish negotiated levels of performance for each of the primary indicators for the core programs not listed as “baseline.” Each state must update its plan to include the agreed-upon negotiated levels of performance before the Departments approve a state’s plan.

States may identify additional indicators in the plan, including additional approaches to measuring Effectiveness in Serving Employers, and may establish levels of performance for each of the state indicators. Please identify any such state indicators under Additional Indicators of Performance.

Performance Indicators	PY 2024 Expected Level	PY 2024 Negotiated Level	PY 2025 Expected Level	PY 2025 Negotiated Level
Employment (Second Quarter After Exit)	40.2%	40.2%	41.2%	41.2%
Employment (Fourth Quarter After Exit)	42.2%	42.2%	43.2%	43.2%
Median Earnings (Second Quarter After Exit)	\$4,100	\$4,100	\$4,200	\$4,200
Credential Attainment Rate	39.6%	39.6%	40.6%	40.6%
Measurable Skill Gains	48.2%	48.2%	50.2%	50.2
Effectiveness in Serving Employers	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>

<sup>1</sup>

*The Departments have not issued the final rule defining Effectiveness in Serving Employers. As a result, states will not submit expected levels of performance for this indicator and the Departments will not establish negotiated levels of performance for PYs 2024 and 2025.*

VOCATIONAL REHABILITATION PROGRAM (COMBINED OR GENERAL) - VOCATIONAL  
REHABILITATION PROGRAM PERFORMANCE INDICATORS

Each State VR program must submit expected levels of performance in its Unified or Combined State Plan and in the two-year modification of that plan. Expected levels of performance for the first two years of a state plan must be submitted in the initial submission of the Unified or Combined State Plan and in the initial submission of the two-year modification of that Plan, for years three and four, as described in 34 CFR § 361.170(a). Expected levels of performance must be stated to the nearest tenth of a percent (XX.X %) or to the nearest whole dollar for median earnings. State VR programs are reminded that the expected levels of performance must be published for public comment prior to plan submission in accordance with state law, regulation, and policy.

After the Unified or Combined State Plan submission, each State VR program must reach agreement with RSA on the negotiated levels of performance for the indicators for each of the first two years of the Unified or Combined State Plan (or for the third and fourth years of the Unified or Combined State Plan during the required two-year modification process) in accordance with WIOA section 116(b)(3)(A)(iv).

RSA will use its statistical adjustment model to derive pre-program year estimated levels of performance for each indicator. Each State VR program and RSA will consider the negotiation factors outlined in WIOA section 116(b)(3)(A)(v) during the negotiation process. Once negotiated levels of performance are agreed upon, each State VR program must incorporate the negotiated levels of performance into the Unified or Combined State Plan and the two-year modification of that plan prior to the plan's approval (section 116(b)(3)(A)(iv) of WIOA).

**Effectiveness in Serving Employers**

In the final rule implementing WIOA, the Departments indicated that they would initially implement this indicator in the form of a pilot to test the feasibility and rigor of three proposed approaches. During Program Year (PY) 2022, the Departments initiated the rulemaking process to establish a standard definition of Effectiveness in Serving Employers. States will continue to report two of three proposed approaches until the Departments issue the final rule and implement the indicator.

Performance Indicators	PY 2024 Expected Level	PY 2024 Negotiated Level	PY 2025 Expected Level	PY 2025 Negotiated Level
Employment (Second Quarter After Exit)	61.0%		63.0%	
Employment (Fourth Quarter After Exit)	49.0%		51.0%	
Median Earnings (Second Quarter After Exit)	\$7,923.00		\$8,081.00	
Credential Attainment Rate	29.0%		31.0%	



Performance Indicators	PY 2024 Expected Level	PY 2024 Negotiated Level	PY 2025 Expected Level	PY 2025 Negotiated Level
Measurable Skill Gains	32.0%		34.0%	
Effectiveness in Serving Employers	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>

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*The Departments have not issued the final rule defining Effectiveness in Serving Employers. As a result, states will not submit expected levels of performance for this indicator and the Departments will not establish negotiated levels of performance for PYs 2024 and 2025.*

#### VOCATIONAL REHABILITATION PROGRAM (BLIND) - VOCATIONAL REHABILITATION PROGRAM PERFORMANCE INDICATORS

Each State VR program must submit expected levels of performance in its Unified or Combined State Plan and in the two-year modification of that plan. Expected levels of performance for the first two years of a state plan must be submitted in the initial submission of the Unified or Combined State Plan and in the initial submission of the two-year modification of that Plan, for years three and four, as described in 34 CFR § 361.170(a). Expected levels of performance must be stated to the nearest tenth of a percent (XX.X %) or to the nearest whole dollar for median earnings. State VR programs are reminded that the expected levels of performance must be published for public comment prior to plan submission in accordance with state law, regulation, and policy.

After the Unified or Combined State Plan submission, each State VR program must reach agreement with RSA on the negotiated levels of performance for the indicators for each of the first two years of the Unified or Combined State Plan (or for the third and fourth years of the Unified or Combined State Plan during the required two-year modification process) in accordance with WIOA section 116(b)(3)(A)(iv).

RSA will use its statistical adjustment model to derive pre-program year estimated levels of performance for each indicator. Each State VR program and RSA will consider the negotiation factors outlined in WIOA section 116(b)(3)(A)(v) during the negotiation process. Once negotiated levels of performance are agreed upon, each State VR program must incorporate the negotiated levels of performance into the Unified or Combined State Plan and the two-year modification of that plan prior to the plan's approval (section 116(b)(3)(A)(iv) of WIOA).

#### **Effectiveness in Serving Employers**

In the final rule implementing WIOA, the Departments indicated that they would initially implement this indicator in the form of a pilot to test the feasibility and rigor of three proposed approaches. During Program Year (PY) 2022, the Departments initiated the rulemaking process to establish a standard definition of Effectiveness in Serving Employers. States will continue to report two of three proposed approaches until the Departments issue the final rule and implement the indicator.

Performance Indicators	PY 2024 Expected Level	PY 2024 Negotiated Level	PY 2025 Expected Level	PY 2025 Negotiated Level
Employment (Second Quarter After Exit)				
Employment (Fourth Quarter After Exit)				
Median Earnings (Second Quarter After Exit)				
Credential Attainment Rate				
Measurable Skill Gains				
Effectiveness in Serving Employers	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>	Not Applicable <sup>1</sup>

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*The Departments have not issued the final rule defining Effectiveness in Serving Employers. As a result, states will not submit expected levels of performance for this indicator and the Departments will not establish negotiated levels of performance for PYs 2024 and 2025.*

#### ADDITIONAL INDICATORS OF PERFORMANCE

States may identify additional indicators in the plan, including additional approaches to measuring Effectiveness in Serving Employers, and may establish levels of performance for each of the state indicators. Please identify any such state indicators under Additional Indicators of Performance.

Additional Indicators of Performance
N/A

#### OTHER APPENDICES

Kentucky's approved Strategic Plan can be found [https://kwib.ky.gov/About/Documents/KWIB\\_Strategic\\_Plan\\_2020.pdf](https://kwib.ky.gov/About/Documents/KWIB_Strategic_Plan_2020.pdf)