



Kentucky State Corrections Commission Guidelines for Community Corrections Programs

Rev. 4-2020

The Kentucky State Corrections Commission, herein referred to as the Corrections Commission, was created to administer Community Corrections Programs (CCP) with local government agencies, private nonprofits and/or charitable organizations. Community Corrections Programs (CCP) are designed to provide sentencing alternatives for the judicial system and to assist local agencies in providing treatment, rehabilitation, and restitution opportunities.

Community Corrections Programs provide alternatives to incarceration for targeted offenders as defined by KRS 196.700. Targeted offenders are persons ***charged with or convicted of one (1) or more felonies*** who under application of law are eligible for probation or suspension of sentence.

Community Corrections Programs offer additional resources and opportunities to increase the potential for successful completion of sentences. Additionally, these programs allow individuals to remain in their local communities while they participate in home incarceration and electronic monitoring, drug testing, work release, treatment, counseling and rehabilitation services including mentoring and coaching, employment and job search assistance, and workforce development training. These options can help reduce recidivism and break the cycle of repeated incarcerations.

Award amounts vary depending on the scope of the programs and budget availability. Programs are funded on a July 1 – June 30 cycle.

Statutory Authority: KRS 196.700-KRS 196.736. Italic font in this document indicates statutory language.

Purposes of Community Corrections Programs (CCP) - (KRS 196.705)

The purposes of the commission and community corrections programs shall be to:

- (1) Provide the judicial system with sentences to be used in lieu of incarceration;*
- (2) Develop community-based sentencing alternatives to incarceration individuals convicted of a felony;*

(3) Monitor and enforce the payment of restitution to victims of crime and the community through financial reimbursement, community service, or both;

(4) Stimulate local involvement in community corrections programs to assure that they are specifically designed to meet the needs of the sentencing court and the community; and

(5) Reduce expenditures of state funds by increasing community-based sentencing, reducing the rate of recidivism, and reducing revocations of probation and parole.

Eligible Applicants

Community Corrections Programs (CCP) as defined by KRS 196.700 can apply for grants administered by the State Corrections Commission:

Community corrections program means a local government agency, private nonprofit, or charitable organization within the judicial circuit which shall perform one (1) or more of the following:

(a) Prepare community penalties plans;

(b) Directly provide, arrange, or contract with public and private agencies for sentencing services for offenders; and

(c) Monitor the progress of offenders placed on community penalty plans or who receive sentencing services through provisions of KRS 196.700 to 196.735.

The following indicates eligibility for participation in a Community Corrections Program:

Under KRS 196.700, targeted offenders means individuals charged with or convicted of one (1) or more felonies. Only offenses eligible for probation or suspension of sentence by statute are eligible to participate in a community corrections program. Only individuals charged with or convicted of a felony are eligible. Misdemeanor offenses are not eligible. Individuals whose felony charges are amended to a misdemeanor through a guilty plea would remain eligible until sentencing. However, offenders convicted of a misdemeanor would not be eligible after sentencing.

Each community corrections program is governed by a community corrections board. Community corrections boards are defined in KRS 196.725. Grants may be awarded to new or existing boards. Grants may be awarded only to community corrections boards as provided in KRS 196.725 unless the Commission determines that the community corrections program is governed by an alternative board. An alternative board shall serve the same functions as described in KRS 196.700 – 735. The Commission shall further determine that establishment of a new or additional community corrections board would impose an administrative burden upon or pose a conflict of interest in the program.

The purpose of the community corrections boards is to provide direction and assistance in the design, implementation, and evaluation of the community corrections program. The board shall be organized as required in KRS 196.725 as nonprofit corporations under KRS 273 and shall consist of not less than eight (8) members, and shall include, judges, commonwealth attorneys, defense attorneys, crime victims or survivors, community leaders, social workers, law enforcement officers, probation officers, and other interested parties. Members of the board shall receive no compensation for their duties and shall meet (in compliance with Kentucky Open Meetings Law, KRS 61.800-61.850 and 61.991) on a regular basis to

develop the program budget, select new board members, arrange for a private and independent audit, approve Quarterly Reports, and develop procedures for contracting services. (KRS 196.725).

Pre-Application Planning Requirement: Developing a Community Corrections Plan

Community corrections plan requirements under KRS 196.720:

Community corrections programs applying for grants under KRS 196.700 to 196.735 shall prepare a community corrections program plan for the judicial circuit, as prescribed by the commission. More than one (1) community corrections program plan may be prepared, submitted, and approved for any one (1) judicial circuit. The plan shall include:

- (1) Objectives of the community corrections program described in the community corrections program plan.*
- (2) Realistic goals for reduction of offenders committed to prison for each county within the judicial circuit, and a system of monitoring the number of commitments to prison.*
- (3) Procedures for identifying targeted offenders, and a plan for referral of targeted offenders to the community corrections program.*
- (4) Procedures for preparing and presenting community penalty plans to the court, when applicable.*
- (5) Procedures for obtaining services from existing public or private agencies, and a detailed budget for staff, contracted services, and all other costs.*
- (6) Procedures for monitoring the progress of offenders on community penalty plans and for cooperating with the probation personnel who have supervisory responsibility for the offender, when applicable.*
- (7) Procedures for returning offenders who do not comply with their community penalty plan to court for action by the court.*
- (8) Procedures for evaluating the program's effect on numbers of prison commitments and revocations of probation and parole.*

Additional information on the administration and application procedure for community corrections grants is located in 500 KAR 10:020 (*the administrative regulations applicable to the State Corrections Commission can be located at <https://apps.legislature.ky.gov/law/kar/TITLE500>*).

Funding Cycle

Grants are awarded on performance and funding available in accordance with the state fiscal year, July 1 to June 30.

Notification of Funding Availability

Notice of funding availability may be issued from the Governor's Communications Office, the Department of Corrections and the Justice and Public Safety Cabinet websites, and through social media.

The Department of Corrections will send notice to all county governments, jailers, and judicial districts via letter and/or email. These are generally issued in the month of December and/or January.

Interested parties may visit the Justice and Public Safety Cabinet Grants Management Website at justice.ky.gov/Pages/SCC for the program guidelines directions on how to apply, timeframes for submission, and to log into online portal for the Community Corrections grant application. Inquiries may also be submitted to the Kentucky Justice and Public Safety Cabinet’s Grants Management Division or the Department of Corrections’ State Corrections Commission staff.

Submission of Grant Application (see list of Attachments on included in Appendix A)

Applicants must submit a completed application via the online portal through the Kentucky Justice and Public Safety Cabinet’s Electronic Grant Management System at www.kyjusticegms.com. Applicants may contact Kentucky Department of Corrections’ State Corrections Commission staff with questions or assistance with the Electronic Grant Management System. Concerns should be addressed before the grant submission deadline. Contact information can be found at justice.ky.gov/Pages/SCC.

The project narrative shall identify the problem to be addressed; define the targeted population; and define project goals, objectives and measurable performance indicators, (i.e. proposed impact on recidivism, revocations, and project success rate as defined in the Quarterly Performance Spreadsheet in Appendix C). The application should specify if there are additional funds, over those requested in the grant application, that are required to run the program. If so, provide the amount and sources of those funds. Re-applying programs are encouraged to provide information about program completion numbers, re-incarceration rates, rates of new arrests, and positive program outcomes.

Below is the form to be completed and included with the application. See Appendix C for exact areas to be completed only for the proposal/application.

Project Title: Rev 11										
Project Objective:										
	FY 2018				FY 2019				FY 2020	
	Totals	Totals	Totals	Proposed	Totals	Totals	Totals	starting active participants	FY 2020 Actual Totals	
	FY 2020 Metrics / Activity									
	FY 20 Q1	FY 20 Q2	FY 20 Q3	FY 20 Q4						
Electronic Monitoring										
Mental Health Court										
Treatment Program										
Drug Tests Administered										
Referral to Treatment Program										
Comm Service										
Restitution										
Child Support										
Other										
New Participants in the period										
Successful Completions (Graduates)										
Left the program in the period (Unsuccessful)										
Current Active Participants going forward										
Total # Participants (touches)										
# of Pre-Sentencing Participants										
# of Post-Sentencing Participants										
Pre-Sentencing Jail Day Diverted										
Post-Sentencing Jail Day Diverted										
Total Local Cost Avoidance (\$36.70/day)										
Total DOC Cost Avoidance (\$31.34/day)										
Revocation										
New Arrests										
Total avg days in the ppm per participant										
For Successful Completions, avg days in the ppm										
For Unsuccessful Completions, avg days in the ppm										
Financial Report										
Personnel										
Contractual Services										
Travel/Training										
Operating Expenses										
Equipment										
Grant Expenditure for the Period										
Amount DOC Paid for the Period										
FY Total Award Amount										
Percentage of Total Budget Spent										
Payback for State cost avoidance										

Program Working Success Rate						
Goal	Q1	Q2	Q3	Q4	Cum	
Graduation Rate (% of in the program this quarter)						
Working Unsuccessful Rate						
# Total Participants this quarter (touches)						
# Successful Completions (Graduates)						
# Unsuccessful Completions this quarter						

End of Year Post Graduate Performance (previous year)		
Proposal Goal	Q4	
Returning Graduates		
New arrests felony		
New arrests misdemeanor		
Total New Arrests		
Total # of Grads		

The applicant shall submit a completed application through the online portal at the Kentucky Justice and Public Safety Cabinet's Grants Management System at www.kyjusticegms.com for submission to the Corrections Commission, according to the established schedule.

Incomplete applications and applications received after the deadline will not be considered.

Awarding of the Grants and the Grant Review Process (KRS 196.710)

Grant applications and attachments are reviewed by the Kentucky State Corrections Commission. The Commission shall make grant award decisions. All applicants will be notified of funding decisions and, if approved, provided signature documents and requirements.

Fiscal Disbursements and Audits

Programs may not be considered for subsequent funding if required Quarterly Reports (including required Financial Report, Progress Report, and Quarterly Performance Spreadsheet) are not properly submitted within fifteen (15) days of the end of the quarter. End of year close out is an exception allowing thirty (30) days for report submission. In addition, current year funds may be terminated at the discretion of the Commission.

The first grant disbursement for the fiscal year will occur on or around July 1. The Chairman of the State Corrections Commission holds the authority to designate Department of Corrections staff to determine compliance. The Chairman of the State Corrections Commission reserves the right to hold subsequent disbursements if a grantee does not adhere to program guidelines. Upon due consideration, the Chair may take immediate action if needed, with compliance issues reported to the Commission and processed in accordance with 500 KAR 10:040. For example, quarterly disbursement may be delayed until Quarterly Reports have been submitted. A formal notice of discrepancies shall be provided to the grantee if this action is taken. (*effective FY2021*). Department of Corrections will arrange for an annual independent audit of each recipient. However, if an audit has not been conducted by the time to submit for final disbursement, grantees should attach a certified letter from the Chief Financial Officer stating review and compliance.

Fiscal Requirements and Stipulations (Reimbursement only)

1. Funds shall not be used to supplant funds previously committed to programs by other state or county appropriations for probation, parole, or other post-prison supervision services or community corrections programs.
2. Projects cannot expend any funds unless services have been provided.
3. Funds shall not be used for operating costs, construction, or other costs associated with local jail confinement.
4. Funds shall not be used for cell phones, furniture, or computers.
5. Funds cannot be utilized for charitable contributions.
6. An employee shall not receive compensation from two (2) jobs for the same hours being worked.
7. Funds cannot be allocated for administrative fees.
8. Funds cannot be utilized for payment of income taxes, tax penalties, or interest on tax penalties.
9. Programs are encouraged to develop a sliding fee schedule for participants who have an ability to pay to reduce the expenditure of grant funds.

10. Funds may be used to pay salary and benefits for individuals employed in the program and can be prorated if the employee is not a full-time employee with the program. This applies to new hires and current employees if this is a continuation application.
11. Funds may be used to pay for supplies, materials, and services relating to counseling, clinical assessments or psychological testing, treatment, and substance testing.
12. Funds may be used to purchase equipment, if it is essential for the operation of the program and it must be identified at the time of application along with estimated cost. Equipment is defined as anything that has a value of \$500.00 or greater or a serial number. All equipment purchased with grant funds will be considered state property and must be made part of state inventory. An inventory listing of equipment shall be maintained.
13. All supplies and equipment must be purchased in accordance with State Purchasing Regulations. These regulations can be found through the Kentucky Finance and Administration Cabinet's Office of Procurement Services (www.finance.ky.gov/services/eprocurement).
14. Funds may be used to pay for mileage at the state rate for an employee's travel while on duty for the program pursuant to state regulation.
15. Requests for training, travel, and lodging expenses must be submitted at the time of application. If approved, travel expenses shall be reimbursed at current state rates for meals, travel, and lodging. State travel and mileage reimbursement regulations shall be found through the Kentucky Finance and Administration Cabinet's State Employee Travel (www.finance.ky.gov/services/statewideacct). All overnight travel must have prior approval from DOC except for travel and lodging for grant training conducted by DOC.
16. Funds must be used in accordance with the approved budget and grant stipulations. Deviations from the approved budget require a written request and justification from the grantee to the Commission for review and approval. The grantee shall not expend any funds unless services have been rendered.
17. Two signatures or approvals shall be required for every transaction. The fiscal officer and the person signing for the applicant agency cannot be the same person. It is recommended that the program establish a practice of documenting approvals. An example is to retain electronic or hard copies of approvals in the grant file and add a statement in the electronic submission stating the transaction was reviewed and approved by the second approval entity.
18. A uniform accounting system, which conforms to generally accepted accounting practices, must be maintained and include the following:
 - a. Retention of copies of all invoices/packing slips appropriately approved when received/paid.
 - b. Reconciliation of the checking account monthly.
 - c. Documentation of matching invoices and check amounts.
 - d. Submission of performance and financial accounting information; and any other pertinent information on a quarterly basis as required.

To protect against co-mingling of funds, grantees shall record grant receipts and expenditures in distinct and separate categories within their accounting system(s).

19. Procedures for procurement must be developed which will avoid the purchase of unnecessary or duplicative items. When feasible and cost effective, local agencies shall participate in state and/or local intergovernmental agreements for procurement of equipment and supplies. These procedures

must be submitted to the Department of Corrections for review and approval prior to expending grant dollars.

20. Funds unobligated at the end of the grant period will remain with the Department of Corrections.
21. Financial obligations incurred after the effective grant termination date will be the responsibility of the grantee.
22. Financial records shall be maintained for a minimum of seven years. Personnel records shall be maintained for a minimum of five years. Information pertaining to offender records and the community corrections grant program files shall be maintained for a minimum of five years.
23. Individual time and attendance records must be maintained on all employees hired under this grant. This record should include: hours worked, activity, and duties performed, and must be approved prior to issuing employee payroll checks. Contract employees must also meet this requirement.
24. Agencies shall complete annual employee evaluations to be available for review by the department or the commission on request.
25. Interest earned from Community Corrections Program funds by the grantee shall be accounted for and returned to the program.
26. Grantee shall retain copies of all contracts/contractual agreements for audit purposes.
27. If personnel are hired under this grant, the following must be paid in addition to the gross salary: withholdings for FICA taxes; all other applicable federal, state, and local taxes; and any unemployment insurance or Worker's Compensation Insurance required by state, federal or local statutes.
28. Any grant funds that are not expended and reimbursed within 30 days of the grant year end will divert to Department of Corrections.
29. Amount of grant funds used to provide participant transportation shall be in alignment with the program's individual grant application. Approved means of transportation include bus tokens, Ride Share companies, vouchers, and pre-paid cards that exclusively purchase gasoline. Any other form of transportation outside of what has been specified is subject to prior approval. Additional reporting requirements will be required to ensure accountability of funds, such as a log requiring the participant signature. The amount expended for participant transportation should be reported on the Quarterly Reports.

Programmatic and Fiscal Reporting

Grantees are required to submit quarterly programmatic and fiscal reports which detail the activity that occurred in the previous quarter on prescribed forms required by the Commission Reporting requirements are outlined further in 500 KAR 10:030.

Each community corrections board shall develop procedures to approve the quarterly reports prior to submission to the Corrections Commission.

Quarterly Reports are submitted to the Corrections Commission for review.

<u>Report for Quarter</u>	<u>Due by:</u>
July – August – September	October 15

October – November – December	January 15
January – February – March	April 15
April – May – June	July 31*

*There will be a thirty (30) day close out period at the end of the fiscal year. Grantees will have the additional days in which they may pay outstanding bills from the prior year.

Once a year, grantees are required to present to the Corrections Commission the progress of the program including updates on the Community Corrections Board. A suggested format for this presentation is provided in Appendix D.

Grantees may be requested to attend and/or participate in conference calls, as requested by the Corrections Commission.

Fiscal reports and reimbursement requests are reviewed by Department of Corrections.

A Grant Adjustment Notice (GAN) is to be submitted when changes to General Information, Contact Information or Budget modifications are needed. GANs are submitted to Department of Corrections' State Corrections Commission staff and reviewed by the Justice and Public Safety Cabinet's Grants Management Division. The State Corrections Commission Chair may approve GANs between Commission meetings. GAN requests will be reported to the Commission.

Department of Corrections' State Corrections Commission staff will notify the Corrections Commission and the Community Corrections Program if review of reports indicate that a program or facility is not in substantial compliance with current requirements of the grant or program plan. Compliance issues shall be reported and processed in accordance with 500 KAR 10:040. Within ninety (90) days, the Department of Corrections' State Corrections Commission staff and Justice and Public Safety Cabinet's Grants Management Division will determine if there is substantial compliance or satisfactory progress being made to achieve compliance. If substantial compliance is not being made, the Corrections Commission may suspend all or any portion of the grant. Department of Corrections shall provide written notice to the program of the decision of the Corrections Commission within seven (7) days of the decision to suspend all or any portion of the grant funding.

Evaluation

The Corrections Commission will conduct an annual evaluation of Community Corrections Grants to determine the success of the grant programs by reviewing by reviewing of outcome measures to align with the objectives set forth in KRS 196.705. Grantees shall maintain data in the format determined by the Corrections Commission so that an evaluation can be completed.

Every program shall maintain files and keep documentation on services provided to each offender and in total for all participants. This should include, without limitation, referrals made, classes and counseling sessions completed, home visits completed, the number of drug tests administered per offender, amount of restitution paid and the number of volunteer hours/community service completed.

Reporting

Grantees are required to file quarterly reports that track fiscal and program activity that occurred in the previous quarter on the following prescribed forms required by the Commission:

1. Financial Report
2. Progress Report
3. Quarterly Performance Spreadsheet

The Community Corrections Board shall review and approve the quarterly fiscal and programmatic reports prior to submission to the Corrections Commission.

APPENDIX A: GRANT APPLICATION ATTACHMENTS, IF APPLICABLE

1. Grant Proposal Form. Please complete this form (as defined in Appendix B) based on the program projections for the grant cycle. If the program has previously existed, then complete the data for the previous two (2) years as indicated on the form. Also, complete the other items identified as part of the proposal.
2. Certified letters of need from the Circuit Judge, Commonwealth Attorney, County Attorney or chief executive officer of the local governmental unit.
3. A list of all agencies/providers and what services they will be providing.
4. A list of the Community Corrections Board Members' contact information, job titles, as per KRS 196.725.
5. Community Corrections Board's calendar of meeting dates.
6. Community Corrections Plan.
7. Community Corrections Board IRS approval letter as a 501C3 Nonprofit.
8. Procurement Plan.
9. Articles of Incorporation.
10. Copy of most recent Audit.
11. Commonwealth of Kentucky Certificate of Existence.
12. Commonwealth of Kentucky Sales Tax Exemption Certificate.

APPENDIX B: GRANT PROPOSAL FORM

The Quarterly Performance Spreadsheet is to be used as part of the proposal application by completing the items identified in the spreadsheet shown below. If awarded, the same form is also used for quarterly reporting. This spreadsheet is embedded below in this document.

The figure below shows the areas that should be completed for submission with the application.

- If the grant application is for a new program, only the current FY column needs to be completed. (If this program has not been previously funded by the Commission, ignore the columns for the prior fiscal years.)
- If the program was funded in one or both of the prior fiscal years, the historical data should be populated in the form for the appropriate prior fiscal years. Proposed totals should also be completed (i.e. FY2019 Proposed Totals) along with Estimated New Arrests and Revocations.

Project Title	Rev 11	Project Objective	FY 2020 Actual Activity	FY 2020 Actual Totals	FY 2020 Budget	FY 2020 Actual	FY 2020 Actual	FY 2020 Actual	FY 2020 Actual	FY 2020 Actual
Electronic Monitoring										
Medical Support Court										
Treatment Program										
Drug Tests Administration										
Referral to Treatment Program										
Case Services										
Registration										
Child Support										
Other										
New Participants in the period										
Successful Completions (or awards) within program in the period (subawards)										
Number Active Participants (subawards) Total (Participants (awards))										
Number Discontinued Participants										
Number Discontinued Participants										
Discontinue All Discontinued										
Cost Services and Discontinued										
Total Days Covered										
Total Local Cost (includes 10% Travel)										
Total DOC Cost (includes 10% Travel)										
Revolving										
New Starts										
Total days due to the sponsor participant										
For Successful Completions, and days in this cell										
For Unsuccessful Completions, and days in this cell										
Expansion Report										
Personnel										
Contractual Services										
Travel Expenses										
Operating Expenses										
Equipment										
Grant Report Return for the Period										
Account DOC Rate for the Period										
FY Total Award Amount										
Percentage of Total Budget Spent										
Package for State cost avoidance										

FOR PROPOSAL:
Complete each of these areas with the orange background and circled by the red box

APPENDIX C: QUARTERLY PERFORMANCE SPREADSHEET

If awarded, the Quarterly Performance Spreadsheet is to be completed and submitted within the Grants Management System within fifteen (15) days of the end of the quarter. The spreadsheet shown below illustrates the area of the form that is updated each quarter. Use the data from the Grant Proposal Form in the subsequent Quarterly Performance Spreadsheet.

The chart below illustrates the area of the form that must be updated each quarter. The blue background columns will remain blank until actual numbers are entered at the end of each quarter. The document is cumulative over the course of the funding year.

Detail Data Worksheet

Program Title														Total Days		Average Cost of Jail		Current Treatment		Current Status		Treatment Plan				Recidivism							
ID indicator	Date Enrolled	Sentence Expiration Date	Number of Days Enrolled in Program				Diverted	Sum of J * K	Sum of J * K			Sum of J * K			Sum of J * K				6 month out	12 month out													
	Sentence Length		Pre-sentence	Post-sentence	Felon	Misdemeanor	1st QTR	2nd QTR	3rd QTR	4th QTR			a. Counseling... x a week	b. Home visits... x a month	c. Report ins... x a month	a. Active	b. Complete	c. Revocation Pending	d. left program (Other)	a. Referral to MH for counseling	b. Referral to A/J/NA	c. Drug Testing	d. Electronic Monitoring	e. Referral for Anger Management	f. Referral for parenting Classes	g. Assistance with Job Search	h. Criminogenic programs	i. Other					
CARRY OVERS FROM PREVIOUS FY																																	
			3	0	0	3	144	0	0	0	144																						
CARTER	4/9/2018	120	8/6/2018	1		1	80				80	31.34	\$	2,507.20																			
WOODS	6/8/2018		7/27/2018	1		1	37				37	31.34	\$	1,159.58																			
CAUDILL	2/28/2018		4/12/2018	1		1	27				27	32.78	\$	885.06																			
NEW ADDITIONS IN QUARTER 1																																	
			0	0	0	0	0	0	0	0	1																						