

Maine 2015
Social Services Block Grant (SSBG)
Annual Application

Project Director:

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OVERVIEW

STATUTORY AUTHORITIES

The Social Services Block Grant legislation requires that each state seeking funds under this program prepare a report on the intended use of the Block Grant funds prior to their distribution. The pre-expenditure report must include information on the service activities that will be supported by these funds and the characteristics or categories of persons who will be eligible to receive the services. The report is submitted to the Secretary of the Federal Department of Health and Human Services and simultaneously published within the state. Should any substantial changes occur in the services or use of the funds during the year, a revised report must be submitted to the Secretary and made public within the state.

This Social Services Block Grant Pre-expenditure Report is intended to briefly explain the social services available to the citizens of Maine through the federal Social Services Block Grant, other federal funds, and related state appropriations for the upcoming federal fiscal year.

SOCIAL SERVICE BLOCK GRANT PROGRAM GOALS

In accordance with the Social Services Block Grant legislation, the Maine Department of Health and Human Services makes available services intended to:

1. Assist individuals in achieving or maintaining economic self-support to prevent, reduce, or eliminate dependency;
2. Assist individuals in achieving or maintaining self-sufficiency, including reduction or prevention of dependency;
3. Prevent or remedy neglect, abuse, or exploitation of children and adults unable to protect their own interests, or preserve, rehabilitate or reunite families;
4. Prevent or reduce inappropriate institutional care by providing for community-based care, home-based care, or other forms of less intensive care; and
5. Secure referral or admission for institutional care when other forms of care are not appropriate, or provide services to individuals in institutions.

SOCIAL SERVICES BLOCK GRANT ADMINISTRATION

With passage of the Omnibus Budget Reconciliation Act of 1981 (PL 97-35) creating the block grants, the Governor of the State of Maine designated the Department of Health and Human Services as the state's lead agency for the planning and administration of the Social Service Block Grant. Since 1981, the Bureau that administered the grant has changed names and functions several times. The same bureau has administered the grant through the nineties to the present. In 1992, the Division in the bureau was renamed the Division of Purchased Services.

Since 1992, The Division of Purchased and Support Services has gone through several organizational changes:

- July 1, 1996 -The Division of Purchased and Support Services was incorporated into the legislatively created Community Services Center.
- July 1, 1999 - The Division of Purchased and Support Services was renamed the Division of Contracted Community Services.
- July 1, 2004 – The State Legislature enacted legislation creating a new Department of Health and Human Services, which consolidated the previous Department of Health with the previous Bureau of Developmental Services. The focus of the legislation was to increase efficiencies by consolidating administrative functions.
- July 1, 2005 – The State Legislature enacted legislation to restrict the programs and functional organization of the new Department of Health and Human Services. The legislature directed the Commissioner of DHHS, along with legislative appointed focus groups, to work on proposed program restructuring, to be submitted to the Legislature in January of 2006. The Division of Purchased Services is responsible for writing contracts, reviewing budgets, and collecting reports.

Monitoring is conducted within the Office of Child and Family Services Community Partnerships Team. The Community Partnerships Team works in teams. There is a team for each service area. In the case of SSBG, the SSBG team consists of the SSBG Administrator who serves as the Social Services Program Specialist within the Community Partnerships Team (who monitors program performance) and the Division of Purchased Services Agreement Administrator (who writes the contract).

The Community Partnerships Team is directly responsible for the administration of state purchased services funds and over a dozen federal grants and programs, including the Community Service Block Grant, Social Services Block Grant, the Justice Department's Crime Victims Assistance Grant, Violence against Women Grant, the Family Violence Prevention and Services Grant, the Sexual Violence and Prevention Education Grant, and several smaller discretionary federal grants.

The Community Partnerships Team is empowered, in part, to:

Community Partnerships collaborate with other organizations, agencies, and staff to ensure the delivery of quality services for children, youth and families to promote safety, health and well-being.

PUBLIC PARTICIPATION

The goal of providing social services is to help families and individuals with challenges that threaten their well-being or their ability to function self-sufficiently. Input from consumers, community leaders, providers, and citizens is a critical component to maintaining a viable network of social services. In addition to the opportunities afforded for input into the Social Services Block Grant services through the legislative processes, Maine citizens are encouraged and invited to participate in the development and management of these services. The SSBG State Plan is available for public review on the State of Maine DHHS website at the following links <http://www.maine.gov/dhhs/ocfs/policy.shtml> or <http://www.maine.gov/dhhs/ocfs/aboutus.shtml>. Comments on the SSBG state plan may be posted to the following email Ryan.Roberts@maine.gov through February 2015.

PROGRAM PLANNING AND BUDGETING

With the passage of the 1981 federal block grant legislation, the Maine Legislature enacted 5 MRSA 1670 establishing the requirement for legislative authorization of all federal block grant appropriations. Under that legislation proposed allocations of federal Social Services Block Grant funds are subject to the same legislative study and public hearing processes as are state funding allocations.

Maine's Social Services Block Grant program comes under the purview of several legislative committees. Two committees, the Health and Human Services Committee and the Appropriations and Financial Affairs Committee, have primary responsibility for reviewing the proposed program content and allocations, as well as officiating over public hearings on both areas. The Social Services Block Grant and state social service programs and allocations described in this report have been approved by Committees, the full Maine Legislature, and the Governor.

The next section of this report delineates the specific programs and services which the Maine Department of Health and Human Services has determined be made available in fiscal year 2015, to assist individuals in attaining the five federal block grant program goals.

PROGRAMS AND SERVICES

The Community Partnerships Team in its administration of multiple social services programs approaches the funding of these programs through the coordinated use of federal, state, and local funds. Federal Social Services Block Grant funds are utilized in conjunction with legislatively appropriated state social service funds and other federal funding sources, to meet a broad range of client needs identified within service programs. The Division of Public Service Management's program network includes services which are provided directly through Department of Health and Human Services regional offices and through purchase of service agreements with community agencies.

DEFINITION OF FAMILY

For purposes of determining financial eligibility, a family is defined as:

A group of related or non-related individuals, who are not residents of an institution or boarding house, but who are living as one economic unit. An economic unit consists of all individuals who share a dwelling unit and either pool income or share expenses in common.

Children in the care or custody of the Department of Health and Human Services are exempted from the above definition of family, and are considered a family of one.

ELIGIBILITY FOR SERVICES

While the federal legislation creating the Social Services Block Grant repealed the client income eligibility requirements of the previous Title XX program, the State of Maine has retained the concept of income eligibility when maintenance in the community and rehabilitation are the goals to which services are directed. The Department through its experience in the social, health, and financial assistance fields regarding individuals with low incomes is acutely aware of the problems many of these individuals encounter in their attempts to strengthen themselves financially and socially. The Department continues to direct its program and services to those individuals least able to access needed services on their own.

The Department of Health and Human Services has determined that particular groups of individuals are to be provided Social Services Block Grant funded services regardless of income level.

Individuals receiving services within the framework of the Department of Health and Human Services Child Protective are eligible for service without regard to income, when part of a Department case plan. In addition, sexual assault and domestic violence services, and nutrition services for the elderly, are available without regard to income to all individuals meeting the criteria specified for the programs in the Catalog of Programs and Services section of this report and in Division of Contracted Community Services policy.

Except as noted in this section, the Maine Department of Health and Human Services Social Services Block Grant-funded services and related state-funded services will retain income eligibility requirements for FY2012. Persons receiving assistance through the Temporary Assistance for Needy Families (TANF) or Supplemental Security Income (SSI) programs are financially eligible for needed services based on their income maintenance status. Other persons whose gross family income does not exceed the limits set forth in this report are also financially eligible to receive needed services.

In all circumstances, the Department of Health and Human Services assures that there shall be no discrimination against any applicant for, or recipient of, services on the basis of race, color, sex, religious creed, ancestry, national origin, or any other factors specified in Title IV of the Civil Rights Act of 1964, (42 U.S.C. 2000d); Section 504 of the Rehabilitation Act of 1973, *et.seq.*; the Age Discrimination Act of 1975, *et.seq.*, and any applicable state statutes.

In addition to the financial program eligibility described in this section, persons requesting services will be required to meet the eligibility criteria specified for each service in the Catalog of Services section of this report.

2014 Poverty Guidelines for the 48 Contiguous States and the District of Columbia [Back to Top](#)

Persons in family/household	Poverty guideline
1	\$11,670
2	15,730
3	19,790
4	23,850
5	27,910
6	31,970
7	36,030
8	40,090

For families/households with more than 8 persons, add \$4,060 for each additional person.

SOURCE: <https://www.federalregister.gov/articles/2014/01/22/2014-01303/annual-update-of-the-hhs-poverty-guidelines#t-1>

AVAILABILITY OF SERVICES

Social Service Block Grant services are purchased from private, community programs and are available statewide. Because the need for service often exceeds the limited funds available for service, agencies may establish waiting lists, priority systems, or limits on the length of or amount of services that an individual may receive. A list of agencies with which the Department contracts for services are available upon request from the Community Partnerships Team or the Division of Purchased Services.

Services designated in the catalog of services as direct services are available only through the following Department of Health and Human Services District Offices.

DEPARTMENT OF HEALTH and HUMAN SERVICES DISTRICT OFFICES

DISTRICT I

161 Marginal Way
Portland, Maine 04101
207-822-2231

208 Graham Street
Biddeford, Maine 04005
207-286-2508

890 Main Street, Suite 208
Sanford ME 04073
207-490-5400

DISTRICT II

200 Main Street
Lewiston, Maine 04240
207-795-4620

35 Anthony Avenue
Augusta, Maine 04333
207-624-8088

98 North Avenue
Skowhegan, Maine 04976
207-474-4850

91 Camden Street
Rockland, Maine 04841
207-596-4262

DISTRICT III

396 Griffin Road
Bangor, Maine 04401
207-561-4220

204A North Street
Calais, Maine 04619
207-454-2131

17 Eastward Lane
Ellsworth, Maine 04605
207-667-1825

13 Prescott Drive
Machias, Maine 04654
207-255-2024

11 High Street
Houlton, Maine 04730
207-532-5001

30 Skyway Drive, Unit 100
Caribou, Maine 04736
207-493-4140

92 Market Street
Fort Kent, Maine 04743
207-834-7720

**MAINE DEPARTMENT OF HEALTH AND HUMAN SERVICES
CATALOG OF PROGRAMS and SERVICES**

The following services and programs will be funded, in whole or in part, with federal Social Service Block Grant funds during Fiscal Year 2015. The following lists are organized by the federal SSBG service category titles and the corresponding State of Maine’s service area titles.

<u>SSBG SERVICE CATEGORY</u>	<u>STATE SERVICE PROGRAMS</u>
Family Planning Services	Family Planning Services
Foster Care Services – Children	Supportive Services for Children
Home Delivered Meals	Nutrition Services
Prevention and Intervention	Domestic Violence Services Sexual Assault Services
Protection Services – Children	Shelter Services for Children
Transportation	Transportation Services

Charts on the following pages provide overviews of each Maine Department of Health and Human Services-administered service to be provided. For each service, charts include the service description, the method of delivery, service/program objective(s), service eligibility criteria, the service budget allocations, and the projected number of clients to be served.

Program objectives displayed on the charts are generic to the target group of individuals cited in the objective. The service objective for individuals within each group is based on each person's specific problem(s) and/or needs.

The method of delivery stated on the charts reflects the manner in which the Department of Health and Human Services offers each service. Services made available through private, community agencies are purchased through formal agreements between the Department and each service provider agency.

Eligibility criteria cited on the charts reflects eligibility for Social Service Block Grant-related services based upon an individual's inclusion in particular target groups; presenting problem or need; income maintenance status; individual's presenting problem and/or need; income maintenance status; and general income criteria.

To receive service under these programs, individual need for each service must be established, in addition to the generic eligibility criteria noted.

Unless noted elsewhere in this report, the eligibility criteria information for the services provided by private agencies applies to that portion of the services these agencies provide. These are included in their Department of Health and Human Services service agreement that contains Social Services Block Grant funding, other federal funds, related state funds, and any required local matching funds.

These private agencies may provide services through other funding arrangements to persons other than those described in the following charts.

The service funding information presented on the following pages reflect only those other federal and state funds directly related to SSBG service provision and within the Division of Public Service Management's administrative umbrella.

Unless noted in the charts on the following pages, services are available on a statewide basis.

FAMILY PLANNING

Program/Service Definition:

Family Planning services are those educational, comprehensive medical or social services or activities which enable individuals, including minors, to determine freely the number and spacing of their children and to select the means by which this may be achieved. Components include a broad range of acceptable, effective methods and services to limit or enhance fertility, including contraceptive methods, natural family planning and abstinence, the management of infertility, and referral to adoption. Abortion may not be included as a method of family planning supported by these funds.

Method of Delivery: (Purchased - private agencies)
(Contracted through DHHS, Maine Center for Disease Control & Prevention)

Service Objective:

- To allow individuals with low incomes to determine the number and spacing of their children through preventive education and medical services.

Client Eligibility:

- Individuals who meet SSBG financial eligibility standards for this service.
- Title XIX [Medicaid] eligible individuals are ineligible for SSBG funded family planning services.

FFY2015 SERVICE BUDGET ALLOCATION:

<u>SSBG Funds</u>	<u>Other Federal Funds</u>	<u>State Purchased Services</u>	<u>Other State Funds</u>	<u>TOTAL FUNDS</u>
\$389,760	\$246,163	\$281,599	\$529,948	\$1,467,984

FFY2015 SERVICE RECIPIENT PROJECTIONS:

Total Clients – 19,421

**HOME DELIVERED MEALS
Nutrition Services**

Program/Service Definition:

Home-delivered meals provide a hot meal that includes one third the minimum daily adult requirements and may be supported by nutritional education, counseling, and socialization. Meals are delivered to the residence of individuals who are homebound.

Method of Delivery: (Purchased - private agencies)
(Contracted through DHHS, Office of Aging and Disability Services)

Service Objectives:

- To prevent institutionalization, malnutrition, and feelings of isolation of adults living in the community.

Client Eligibility:

- Adults in public guardianship and active adult protective cases, when part of the Department case plan.
- Elderly persons who are Area Agency on Aging case management clients, when part of a case plan.
- Physically handicapped adults and elderly individuals residing in the community.

FFY2015 SERVICE BUDGET ALLOCATION:

<u>SSBG Funds</u>	<u>Other Federal Funds</u>	<u>State Purchased Services</u>	<u>Other State Funds</u>	<u>TOTAL FUNDS</u>
\$396,835	5,797,830	-0-	2,004,148	\$ 8,216,978

FFY2015 SERVICE RECIPIENT PROJECTIONS:

Total Clients - **830**

**PREVENTION and INTERVENTION
Domestic Violence Services**

Program/Service Definition:

Prevention and intervention services also include emergency shelter, crisis response, and individual advocacy services to abused women and their children. Services include individual; family and group counseling; children's services; employment counseling; housing assistance; accompaniment and support with law enforcement, legal, and court systems; and transportation.

Training, technical assistance, and consultation with DHHS TANF Regional Office staff on domestic violence issues are also available services for individual clients.

Method of Delivery: (Purchased - private agencies)

Service Objective:

- To ensure the safety of victims of domestic violence and their children.
- To assist victims of domestic violence in attaining self-sufficiency and/or self-support.

Client Eligibility:

- Individuals and their children who are in imminent fear of, or who have received physical injury or psychological abuse from a domestic partner; without regard to income.

FFY2015 SERVICE BUDGET ALLOCATION:

<u>SSBG Funds</u>	<u>Other Federal Funds</u>	<u>State Purchased Services</u>	<u>Other State Funds</u>	<u>TOTAL FUNDS</u>
\$2,228,819	\$1,810,632	\$1,703,568	0	\$5,743,019

FFY2015 SERVICE RECIPIENT PROJECTIONS:

Total Clients – 19,000

**PREVENTION and INTERVENTION
Sexual Assault Services**

Program/Service Definition:

Sexual Assault Services include crisis support to victims of rape or sexual assault and their families through maintenance of 24-hour crisis hotlines; victim counseling; family counseling; accompaniment to and support with law enforcement, medical, and legal procedures; transportation; training of crisis counselors; and community education.

Method of Delivery: (Purchased - private agencies)

Service Objective:

- To assist victims of rape and sexual assault and their families to cope with the subsequent legal and medical procedures and the trauma of personal violence.

Client Eligibility:

- Without regard to income, all victims and potential victims of rape or sexual assault.

FFY2015 SERVICE BUDGET ALLOCATION:

<u>SSBG Funds</u>	<u>Other Federal Funds</u>	<u>State Purchased Services</u>	<u>Other State Funds</u>	<u>TOTAL FUNDS</u>
\$1,110,137	\$908,514	\$698,811	-0-	\$2,717,462

FFY2015 SERVICE RECIPIENT PROJECTIONS:

Total Clients – 729

**PROTECTIVE SERVICES – CHILDREN
Shelter Services for Children**

Program/Service Definition:

Shelter services are time-limited, supervised and licensed as required by Maine law with, at a minimum, a safe place to sleep and adequate meals. The service may also include: counseling/crisis intervention, provision or arrangement for medical services, planning for a stable living arrangement, referral to other services, and follow-up.

Method of Delivery: (Purchased - private agencies.)

Service Objective:

- To provide a temporary, substitute living arrangement for children when they are in danger of abuse, neglect, or exploitation.

Client Eligibility:

- Children in open protective cases and children in the care and custody of the Department, when part of a Department case plan, are eligible without regard to income. Shelter services are limited to 30 days per client.

FFY2015 SERVICE BUDGET ALLOCATION:

<u>SSBG Funds</u>	<u>Other Federal Funds</u>	<u>State Purchased Services</u>	<u>Other State Funds</u>	<u>TOTAL FUNDS</u>
\$841,944	\$	-0-	\$1,758,540	\$ 2,600,484

FFY2015 SERVICE RECIPIENT PROJECTIONS:

Total Clients – 1,770

TRANSPORTATION SERVICES

Program/Service Definition:

Transportation services consist of the provision of or arrangement for the conveyance of individuals from one location to another via means of public and/or private vehicle.

Method of Delivery: (Purchased - private agencies)

Service Objective:

- To enable persons who have no other reasonable means of transportation available to access necessary and critical social and medical services.

Client Eligibility:

- When part of a Department case plan, the following groups are eligible without regard to income: child protective case(s); children in the care and custody of the Department; adult protective cases; and adults in public guardianship/ conservatorship.
 - When division financial eligibility standards are met, the following groups are eligible: elderly persons at risk of institutionalization or needing preventive services; physically handicapped persons; persons with intellectual disabilities living in the community; persons with mental illness living in the community; families with low incomes that have medical, social and employment needs.
-

FFY2015 SERVICE BUDGET ALLOCATION:

<u>SSBG Funds</u>	<u>Other Federal Funds</u>	<u>State Purchased Services</u>	<u>Other State Funds</u>	<u>TOTAL FUNDS</u>
\$1,186,778	0	0	\$2,057,087	\$3,243,865

FFY2015 SERVICE RECIPIENT PROJECTIONS:

Total Clients – 44,000

**DEPARTMENT OF HEALTH & HUMAN SERVICES
SOCIAL SERVICES BLOCK GRANT
SUMMARY OF SERVICES AND PROJECTED FUNDING
FEDERAL FISCAL YEAR 2015**

SERVICE CATEGORIES	SSBG FUNDS	SSBG/TANF TRANSFER	OTHER FEDERAL	STATE FUNDS	TOTAL FUNDS
Family Planning	\$ 389,760		\$246,163	\$811,547	\$1,467,984
Home Delivered Meals	\$ 396,835		\$5,797,830	\$2,004,148	\$8,216,978
Prevention & Intervention	\$3,338,956		\$2,719,146	\$2,402,379	\$8,460,481
Protective Services - Children	\$ 841,944		\$	\$1,758,540	\$2,600,484
Transportation Services	\$1,186,778		\$	\$2,057,087	\$3,243,865
SERVICE TOTALS:	\$ 6,154,273		\$8,763,139	\$9,033,701	\$23,989,792
DHHS Administration	\$ 430,399				\$430,399
Miscellaneous Contracts	\$60,968				
ADMINISTRATIVE TOTAL:*	\$491,367		\$	\$	\$430,399
GRAND TOTAL:	\$6,645,640		\$8,763,139	\$9,033,701	\$24,420,191

SERVICE CATEGORIES	TOTAL CLIENTS
Family Planning	19,421
Home Delivered Meals	830
Prevention & Intervention	14,729
Protective Services - Children	1,770
Transportation Services	44,000
TOTALS	80,750

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

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

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

in each local unemployment office, performers in concert halls or radio studios).

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

8. Definitions of terms in the No procurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a

controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

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

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

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

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

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

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

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

(1) Abide by the terms of the statement; and

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

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

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

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

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

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

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

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

221 State Street
Augusta, Maine 04330
Kennebec County

Check if there are workplaces on file that are not identified here.
Alternate II. (Grantees Who Are Individuals)

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

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

Signature
Chief Operating Officer

Title

Department of Health and Human Services

Organization

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

The Pro-Children Act of 2001, 42 U.S.C. 7181 through 7184, imposes restrictions on smoking in facilities where Federally-funded children's services are provided. HHS grants are subject to these requirements only if they meet the Act's specified coverage. The Act specifies that smoking is prohibited in any indoor facility (owned, leased, or contracted for) used for the routine or regular provision of kindergarten, elementary, or secondary education or library services to children under the age of 18. In addition, smoking is prohibited in any indoor facility or portion of a facility (owned, leased, or contracted for) used for the routine or regular provision of federally funded health care, day care, or early childhood development, including Head Start services to children under the age of 18. The statutory prohibition also applies if such facilities are constructed, operated, or maintained with Federal funds. The statute does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, portions of facilities used for inpatient drug or alcohol treatment, or facilities where WIC coupons are redeemed. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 per violation and/or the imposition of an administrative compliance order on the responsible entity.

Signature

Chief Operating Officer

Title

Department of Health and Human Services

Organization

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

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

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each

participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Non procurement Programs.

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

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

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

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

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

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

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

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

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

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

Instructions for Certification

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

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

originated may pursue available remedies, including suspension and/or debarment.

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

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

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

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

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

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

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

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

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

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

Signature
Chief Operating Officer

Title
Department of Health and Human Services

Organization

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

Signature

Chief Operating Officer

Title

Department of Health and Human Services

Organization