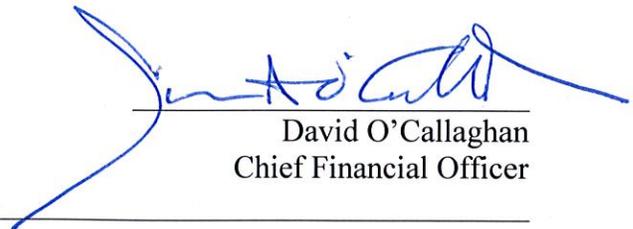




SFY2017 Pre-Expenditure Report For the Social Services Block Grant

Commonwealth of Massachusetts
Department of Children and Families
July 1, 2016 through June 30, 2017

Department of Children and Families
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**THE COMMONWEALTH OF MASSACHUSETTS
DEPARTMENT OF CHILDREN AND FAMILIES**

Pre-Expenditures Report for State Fiscal Year 2017

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BACKGROUND

On October 1, 1981, the Federal Department of Health and Human Services established the Title XX – Social Services Block Grant, as one of the seven block grant programs authorized by the Omnibus Budget Reconciliation Act of 1981 (P.L. 97-35).

The Social Services Block Grant is intended to consolidate Federal assistance to states for social services into a single grant, increase State flexibility in using social service funds, and encourage each state to furnish services directed toward the goal of:

- Achieving or maintaining economic self-support to prevent, reduce, or eliminate dependency;
- Achieving or maintaining self-sufficiency, including reduction or prevention of dependency;

- Preventing or remedying neglect, abuse, or exploitation of children and adults unable to protect their own interests, or preserving, rehabilitating or re-uniting families;

- Preventing or reducing inappropriate institutional care by providing for community-based care, home-based care, or other forms of less intensive care; and
- Securing referral or admission for institutional care when other forms of care are not appropriate or providing services to individuals in institutions.

The Omnibus Budget Reconciliation Act of 1981 amended the former Title XX legislation. The main effects of the change over from the Title XX – Social Services Block Grant were the following:

- A reduction in the Federal allocation to the States. Nationally, the allocation dropped from \$2.9 billion in Federal FY1981 to \$2.4 billion in Federal FY1982. In Massachusetts, the decrease was from \$78.9 million to \$60.4 million. With the exception of some modest increases in a couple of years, the SSBG allocations for Massachusetts have decreased consistently over the last several years.
- The State has continued to receive Block Grant funds on an annual basis for over thirty years.
- Each year the State must submit a pre-expenditure report regarding the intended uses of Social Services Block Grant funds. The report must provide information on the types of activities to be supported and categories. This document is the Massachusetts pre-expenditure report for State Fiscal Year 2017.

- State agencies will continue to provide opportunities for public comment in planning for the expenditure of Block Grant Funds. A later section of this document describes how the Department of Children and Families proposes to meet these requirements.
- The State may use the Block Grant to provide social services that address the five goals of the grant. The State selects the services that it wishes to provide. The funds, however, may not be used for:
 - The purchase or improvement of land, or the construction, or permanent improvement (other than minor remodeling) of a building;
 - The provision of cash payments for costs of subsistence or for the provision of room and board (other than the costs of subsistence during rehabilitation, room and board provided for a short term as an integral but subordinate part of a social service, or temporary emergency shelter provided as a protective service);
 - The payment of wages of any individual as a social service (other than payment of the wages of welfare recipients employed in the provision of child day care services);
 - The provision of medical care (other than family planning services, rehabilitation services, or initial detoxification of an alcoholic or drug dependent individual) unless it is an integral but subordinate part of a social service for which Social Service Block grants may be used;
 - Social services (except services to an alcoholic or drug dependent individual or rehabilitation services) provided in and by employees of a hospital, nursing facility, or prison, to any individual living in such an institution;
 - The provision of any educational service which the State makes generally available to its residents without cost and without regard to their income;
 - Any child day care services unless such services meet applicable standards of State and local law;
 - For the provision of cash payments as a services; or
 - Any payment of any item or service (other than in an emergency) furnished by or at the direction of an individual or entity from participation in the program as a result of program abuse.

The above restrictions are the same as those in the former Title XX program.

ADMINISTRATION OF THE SOCIAL SERVICES BLOCK GRANT IN MASSACHUSETTS

In FY1982, the Governor designated the Department of Social Services to administer the Social Services Block Grant in Massachusetts on behalf of the Department of Social Services (DSS) and the Massachusetts Commission for the Blind (MCB). Since October 1, 1982, MCB has administered a separate program and has published a separate pre-expenditure report. In July 2008, the Department of Social Services was renamed the Department of Children and Families.

The Massachusetts Department of Children and Families, the Massachusetts Commission for the Blind, and the Executive Office of Health and Human Services (EOHHS) have an agreement by which the Block Grant funds will continue to be allocated annually between DCF and MCB. The historical SSBG allocations by federal fiscal year are as follows:

FY2014 (Final)		FY2015 (Final)		FY2016 (Projected)		FY2017 (Projected)	
DCF: \$32,549,831	98%	DCF: \$32,513,713	98%	DCF: \$32,664,032	98%	DCF: \$32,664,032	98%
MCB: \$664,282	2%	MCB: \$663,545	2%	MCB: \$666,612	2%	MCB: \$666,612	2%
\$33,214,113	100%	\$33,177,258	100%	\$33,330,644	100%	\$33,330,644	100%

In FY1982, MCB received its funds through DSS; in FY1983, MCB began receiving its funds directly from Washington, D.C.

THE BUDGET AND PLANNING PROCESS

The Department of Children and Families (DCF) budget process for State Fiscal Year 2017 is reflective of an organizational structure that defines different and distinct roles for both DCF Central Office and DCF Area Offices. Within this framework, the Central Office coordinates the development of major policies and provides direction and guidance to the Area Offices on interpretation and implementation. Because it is a major management planning document, the coordination of the budget is a Central Office function, with supporting documentation provided by field management.

DCF Area Offices are responsible for direct service delivery to clients and are most knowledgeable about individual client needs. Therefore, client-specific decisions about the distribution of resources are made by Area Office managers, in accordance with DCF's general policies and goals. This activity represents the critical linkage of resources to goals. The Area Offices will be supported in this process by the Area Boards, whose unique understanding of community needs will enhance decision making.

The following is a chronology of events in the development of the Department of Children and Families' budget for State Fiscal Year 2017:

- August – October 2015: Department development and preparation of its State Fiscal Year 2017 budget request document;
- October 2015: Review and examination of the Department's budget request by the Executive Office of Health and Human Services (EOHHS) culminating in the Secretary's recommendations to the Executive Office of Administration and Finance (EOAF);
- November 2015: Review and examination of the Secretary of EOHHS recommendations to the Governor;
- December 2015: Ongoing discussions between EOHHS and EOAF on preliminary recommendations;
- January 2016: Publication of the Governor's budget recommendation to the legislature;
- March – April 2016: The House and Senate Committees on Ways and Means conduct hearings and analyze the Governor's recommendations. Each Committee reports separately a version of the budget to which its respective membership makes amendments and passes a final bill;
- April 2016: The House passes its version of the Fiscal Year 2017 budget;
- May 2016: The Senate passes its version of the Fiscal Year 2017 budget;
- June 2016: A joint legislative conference committee presents its final budget document to the Governor for his signature into law;
- July 2016: State Fiscal Year 2017 begins.

PUBLIC PARTICIPATION IN THE PLANNING AND BUDGET PROCESS FOR FY2017

The citizens of the Commonwealth of Massachusetts have had an opportunity to review and comment on the DCF budget at several points in its development.

- By law, all Executive Offices must make available copies of the agencies' budget requests and hold public hearings. The Executive Office of Health and Human Services held public hearings on the agencies' SFY2017 budget requests in the fall of 2015.

- The House and Senate Ways and Means Committees held separate public hearings on the DCF budget in the winter of 2016.
- This report is being published as a pre-expenditure report, based on the projected SFY 2017 General Appropriations Act. DCF held a public hearing in September 2015 to solicit comment on the agency's plans for the Title XX Social Services Block Grant for FY 2016. DCF will hold a public hearing in the summer of 2016 to solicit comments regarding the agency's plan for use of the SSBG funds for FY 2017.

TRANSFERABILITY OF FUNDS

Federal statute permits a state to transfer up to 10 percent of its annual Social Services Block Grant allotment to other block grant programs. Currently, Massachusetts does not enact this provision; however, as previously noted, 98% of the Commonwealth's Block Grant is directly allocated to the Massachusetts Department of Children and Families and 2% is directly allocated to the Massachusetts Commission for the Blind.

While the Department does not plan to transfer funds out of the Social Services Block Grant to other block grant programs, the Department will receive a 10% transfer of the Temporary Assistance for Needy Families (TANF) Block Grant throughout SFY2017 into the Social Services Block Grant. Funding transferred from TANF to SSBG is projected to total \$45.9 million in SFY2017, an amount higher than the original SSBG grant. When combined, over \$78 million in funding will be available to support social service programs for needy children and families. The Department of Children and Families uses the TANF transfer to fund both foster care and residential services programs for children in the custody of the Department.

EXPENDITURES FOR FY2017

Table A identifies the services that will be supported by the Social Services Block Grant during SFY2017. As instructed in the Administration for Children and Families Information Memorandum 01-03 dated April 2003, this table details total expenditures made by the Commonwealth of Massachusetts in accordance with the twenty-nine (29) SSBG supported services. Additionally, this table details the recipients, by adult and child, for each of these services.

Overall, the Department will use SSBG funds to support programs and services in ten of the twenty-nine categories, including adoption services, case management, day care – children, education and training services, foster care – children, home-based-services, independent living services, protective services – children, residential treatment, and special services for at-risk youth. All of these expenditures will be purchased, including contracted services delivered by approved providers or non-contracted services delivered

by individual vendors. No administrative costs will be funded with the Social Services Block Grant.

SERVICES AND TARGET POPULATIONS TO BE SUPPORTED BY THE BLOCK GRANT

Table B describes services provided by the Department of Children and Families and target populations to which the services are directed. In addition to care and service need criteria, a special effort is being made to target services to linguistic and cultural minority groups. DCF does not currently forecast this data for inclusion in the SSBG pre-expenditure report.

Adoption	Adoption Management	
<p>Adoption Management and Support Varied services provided to individual children, sibling groups and individual adults and couples who are in the adoption process. These services include, but are not limited to, adoption assessments, home studies, education, consultation, adoption recruitment, public information, support groups, trainings, and workshops. Also, includes post adoption services.</p>	<p>Product Based Adoption: Single Service The completion of a single specific task: Assessment of an identified child; adoptive home study of foster parent(s) where the child resides; adoptive home study for a relative of an identified child; MAPP training/home study of identified parent(s); adoptive home study of DCF employee.</p>	<p>AMSS</p> <p>1</p>
	<p>Product Based Adoption: Family Resource The transfer of an approved adoptive placement resource from an adoption contract agency to an area office responsible for the adoptive placement of an identified child.</p>	<p>AMSS</p> <p>1</p>
	<p>Product Based Adoption: Case Management Casework responsibility for assigned children with a Service Plan goal of Adoption, including the follow steps: case assignment and acceptance; adoption assessment of child; adoption home study; family development; placement; legalization; case closure.</p>	<p>AMSS</p> <p>1</p>

Category	Program	Model	Activity Code	Index Number
<p>Family Networks</p>	<p>Area Lead Agencies Lead a system of aligned and integrated strategies dedicated to fostering and protecting permanent families and lifelong connections for children. Includes designing and managing an integrated service system so that it supports more fully the clinical practice of the Department and its providers.</p>	<p>Management Operations</p>	<p>FNLA</p>	<p>2</p>
		<p>Flex Services Specialized funds to be used to further the purposes of family networks- managed by Area Lead Agency</p>	<p>FNLA</p>	<p>2</p>

Category			
Comprehensive Foster Care	<p>Intensive Foster Care Programs that provide therapeutic services and supports in a family-based placement setting to children/youth for whom a traditional foster care environment will not be sufficiently supportive. Youth may be transitioning from a residential/group home level of care and require the intensity of services available through this program; or discharging from a hospital setting. This service is only provided by licensed foster care agencies in accordance with the licensing requirements of DEEC and DCF.</p>	<p>Intensive Foster Care One model provided in a foster home that has been licensed and credentialed by the provider agency as exhibiting an expertise compatible with IFC One. The model assumes a capacity to support sibling and teen parent placements and assumes an agreement to the terms of Purchasing a Home.</p>	11
		<p>Sibling sibling daily rate is for any sibling who does not need the IFC One service but is placed in an IFC One home specifically to stay with a brother /sister who does require that level of service. This rate includes both a payment of a regular Departmental rate to the foster home and a payment to the contractor in recognition that these placements, while not requiring the full level of support from the contractor, do require a level of support consistent with a Departmental Foster Care home.</p>	11
		<p>Teen Parent Prior to a Teen Parent placement, DCF will clarify with the parties involved the responsibilities of the teen parent, the foster parent and the contractor with regard to the baby/child. Not all children of teen parents in these circumstances will be in DCF care or custody. It is not necessary for both the teen and the child to require IFC One in order to place them together in an IFC One home. As such, payment for both the teen parent and the child at the IFC One rate will be made only when both are in the care of DCF and both require this level of service</p>	11
		<p>Transitions to Adulthood an IFC model with family resources recruited and trained specifically on life skills needed by young adults to transition to adulthood.</p>	11
		<p>Emergency Shelter Homes short-term (no more than 45 days) IFC model with family resources recruited and trained specifically for short-term/emergency placements and transitions.</p>	11
		<p>Purchase of Home IFC One home becomes an approved adoptive home or guardian or a provider's recruitment efforts might identify a potential foster home that will not or does not want to meet the standards to provide IFC One but would be able to serve as a Departmental home.</p> <p>Multiple Acute Level A specializes in serving children and youth with significant cognitive and/or physical impairments and mental health issues.</p>	11

Category	Program	Model	Activity Code	Index Number
		<p>Multiple Acute Level B specializes in serving children and youth with significant cognitive and/or physical impairments and mental health issues; provides a significantly enhanced support package to the child or youth and has adaptive transportation available.</p> <p>Child Home-Based Rehabilitation serves youth who are unable to live at home due to a history of fire setting and/or sexually reactive behaviors rooted in trauma.</p>	CIFC	11
			CIFC	11

Category	Program	Model	Activity Code	Index Number
<p>Foster Care Temporary substitute care placement for child(ren)/adolescents in the care or custody of DCF in a safe and nurturing community based family setting, approved/licensed and managed by DCF.</p>	<p>Department Foster Care Temporary substitute care placement for child(ren)/adolescent(s) in the care or custody of DCF in a safe and nurturing community based family setting, approved/licensed and managed by DCF.</p>	<p>Tier I Unrestricted Temporary placement of children/adolescents who need a basic quality level of daily care in a family setting in an unrestricted DCF foster home, approved/licensed to provide Tier I foster care.</p>	FOS0	11
		<p>Tier I Kinship Temporary placement of children/adolescents who need a basic quality level of daily care in a family setting with a member of the family's kinship network who has been approved/licensed to provide Tier I foster care restricted for specific children who are kin.</p>	FOS0	11
		<p>Tier I Pre-Adoptive Placement of child(ren)/ adolescent(s) with the goal of adoption needing a basic quality level of care in a permanent family setting approved by DCF as a Tier I pre-adoptive family.</p>	FOS0	11
		<p>Tier I Independent Living Payment made to an older adolescent who is in the Department's care, but who lives on their own in a structured setting.</p>	FOS0	11

Category

Family Networks - Network Services

Integrated Service system for children and families serviced by the Massachusetts child welfare system.

Support and Stabilization

Support and stabilization services encompass services currently known as family-based services; the service providers will 'unbundle' from their placement programs; and portable diagnostic and assessment services. These services are intended to be flexible, rooted in the community, and have the capacity to be shaped in a manner that will address the specific needs of each family.

Comprehensive

Comprehensive program models are those that use teams whose staffing, interventions, and funding are blended in a manner that allows for varying levels of intensity, duration, and capacity for building strengths and managing risk with complex families.

Parent Support

Designed to provide assistance and support to parents and caretakers in building skills relative to safety, supervision, and nurturing.

Youth Support

Designed to provide assistance and support to youth in order to improve relationships with families, schools and other community systems.

Family Stabilization

Designed to provide assistance and support to families in keeping their children safe at home and in the community.

Placement Diversion

Designed to provide assistance and support to families whose children are at imminent risk of out-of-home placement in foster care, residential, or inpatient hospitals.

Reunification

Designed to provide assistance and support to families whose children are returning from out-of-home placement settings.

Assessment

Encompass evaluations, clinical assessments, and diagnostic services.

Support and Stabilization - Other

Services which do not readily fall into previous model definitions.

FNSS

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Category	Program	Model	Activity Code	Index Number
<p>Contracted Support Services Services that may closely resemble internal Department mission or activities that are performed through purchase of services contracts.</p>	<p>Protective Services or activities designed to avoid or prevent incidence or continuation of child abuse or neglect.</p>	<p>Comprehensive Emergency Services A coordinated system for providing immediate and effective supportive response on a 24 hour basis to individuals, families or children. Although these are crisis situations, they are not protective in nature.</p> <p>Investigations (Conflict of Interest) The provider conducts investigations of reports of child abuse and neglect that involve DCF employees and their immediate relatives.</p>	<p>CSSE</p> <p>CSSI</p>	<p>22</p> <p>22</p>

Category

Program

Caring Together

Residential School	Residential school Residential placement services with an on-site school approved by the Department of Elementary and Secondary Education. Also includes services to help students and family transition to home and community.	CTRE	24
STARR	STARR Short-term placement services for participants in the waiver.	CTST	24
The Continuum	Community Wrap/Sub Contracted Wrap Wide range of comprehensive community based services for youth and their family to support them in learning the skills needed to transition to or remain at home and live safely in their community. Non Placement service. Includes subcontracted services.	CTCO	24
The Continuum	Adjusted GH 1:3/Sub Contracted Adjusted 1:3 This part of the Continuum array of services. Out of home residential placement with a 1 to 3 ratio. Youth are able to attend school off grounds. Includes subcontracted services.	CTCO	24
The Continuum	Adjusted GH 1:4/Sub Contracted Adjusted 1:4 This part of the Continuum array of services. Out of home residential placement with a 1 to 4 ratio. Youth are able to attend school off grounds. Includes subcontracted services.	CTCO	24
Group Home	Intensive 1:3 Out of home residential placement with a 1 to 3 ratio. Youth are able to attend school off grounds.	CTGH	24
Group Home	Group Home 1:4 Out of home residential placement with a 1 to 4 ratio. Youth are able to attend school off grounds.	CTGH	24
Respite	Respite A brief or short-term service for a youth provided by adults other than the birth parents, foster parents, adoptive parents or legal guardian with whom the child/ youth normally resides, typically used to give the parents/ caregiver and youth time away from each other in order to decrease stress and support the family system.	CTRS	24
Group Home	Follow Along Group Home	CTGH	24

Category	Description	Hours
	<p>Services which assist with successful transitions from Group Home to home and community. Includes family treatment beginning while youth is still in the Group Home and continuing after return to home/ community.</p>	
Group Home	<p>Stepping Out Group Home Community based services which assist with successful transition from Pre-Independent Living, Independent Living and Teen Parent Enhanced placement services to home/ community</p>	24
Group Home	<p>Pre-Independent Living Out of Home Residential Placement with a 1 to 5 ratio. Focus is on Independent Living Skills for youth ages 16 and up, youth is typically enrolled in school or GED program or has completed and is involved with vocational training.</p>	24
Group Home	<p>Independent Living Supported apartment living (scattered site or centralized). Staff provide outreach and care coordination, but are not on-site 24 hours per day. Youth are 17.5 and older</p>	24
Group Home	<p>Stepping Out -- Independent Living Provides continuation of care coordination services by the same provider after the child leaves the program in order to assist youth with a successful transition to the community.</p>	24
Placement Add-On	<p>Transition to IFC Add-On Provides short term services that assist youths in successfully transitioning to Intensive Foster Care within 3 to 6 months of admission to this program.</p>	24
Group Home	<p>Intensive Group Home with Expanded Nursing (specialty) Services are the same as those provided in Intensive Group Home with a ratio of 1:3 with additional nursing positions to support the medical needs of referred youth.</p>	24
Group Home	<p>Intensive 1:2 Group Home (specialty) Out of Home Residential Placement with a 1 to 2 ratio, designed for youth who have intellectual and developmental disabilities and/or autism with concurrent behavioral/emotional challenges.</p>	24
Group Home	<p>Intensive 1:1 Supported Living (specialty) Out of Home Residential Placement with a 1 to 1 ratio, designed for young adults (18 to 22) with a range of significant disabilities.</p>	24
Group Home	<p>Medically Complex Needs Group Home (specialty)</p>	24

Category

		provides services to youth with complex medical needs that require intensive out-of-home nursing, family driven, individualized and sensitive to medical and other forms of trauma and the resulting effects on families and caregivers; maximizes youth's functioning	
Group Home	24	State College Preparatory Program (specialty) Provides young adults with the opportunity to attend a state operated university or college while receiving clinical, social, academic and daily living supports with tuition, room and board	
Group Home	24	Outreach Independent Living (specialty) An apartment living program for agency identified youth of the same sex with opportunities for education, assistance with employment and a support structure as youth transition from DCF foster care system to living in the community	
Teen Parenting	24	Enhanced Teen Parenting Out of Home Residential Placement with a 1 to 4 ratio for pregnant or parenting teens. Provides a higher level of supervision than other Teen Parenting services.	CTTP
Teen Parenting	24	Stepping Out – Teen Parenting Provides continuation of care coordination services by the same provider after the teen parent leaves the Enhanced Teen Parent program in order to assist with a successful transition to the community.	CTTP
Placement Add-On	24	Behavioral Psychologist Additional services from a behavioral psychologist over and above services provided through the contract.	CTAD
Placement Add-On	24	Canine Therapy Therapy dog.	CTAD
Placement Add-On	24	Direct Care III Additional staffing hours provided by a DCIII staff person, usually to support 1:1 services for a specified period of time over and above the staffing provided through the contract.	CTAD
Placement Add-On	24	Direct Care II Additional staffing hours provided by a DCII staff person, usually to support 1:1 services for a specified period of time over and above the staffing provided through the contract.	CTAD
Placement Add-On	24	Direct Care I Additional staffing hours provided by a DCI staff person, usually to support 1:1 services for a specified period of time over and above the staffing provided through the contract.	CTAD

Category		
Placement Add-On	<p>Forensic Psychiatrist (DMH-designated, CJCC qualified) Additional services from a forensic psychiatrist over and above services provided through the contract.</p>	24
Placement Add-On	<p>Medical Consultation Additional Medical Consultation services provided over and above services provided through the contract.</p>	24
Placement Add-On	<p>Nurse Additional Nursing services provided over and above services provided through the contract.</p>	24
Placement Add-On	<p>Psychiatrist Additional Psychiatry services provided over and above services provided through the contract.</p>	24
Placement Add-On	<p>Psychologist Additional services from a psychologist over and above services provided through the contract.</p>	24
Placement Add-On	<p>Forensic Psychologist Additional services from a forensic psychologist over and above services provided through the contract.</p>	24
Teen Parenting	<p>TLP 1:5 Services to help teens develop support systems including contact with baby's father, teen's parents, father's parents and other community supports. Facilities staffed 24 hours and are provided in group home and scattered apartment settings.</p>	24
Teen Parenting	<p>House Parent Same as TLP 1:5 but are provided in an apartment building or multi family home. Teens reside in shared apartments and the houseparent has separate living quarters on site.</p>	24
Family Partner	<p>Family Partner To provide support for full family engagement in all aspects of a youth's care and treatment during the course of residential service and strengthen the parent/caregiver's capacity to care for their youth at home and in the community</p>	24
Teen Parenting	<p>STEP (DTA Only) Target is 18 to 19 year olds who have completed treatment plans and are focused on job training and transitional housing services to assist in becoming self sufficient. Apartment setting with staff available 24 hours a day.</p>	24
Teen Parenting	<p>Emergency Bed Add-On</p>	24

Category			16
Teen Parenting	Teen Pregnancy/Parenting	<p>Structured residential living programs with 24 hour supervision for pregnant and parenting teen/families; assessed as unable to live with their family of origin or other appropriate adult caretaker; with a focus on acquiring and strengthening skills of basic parenting and independent living, ensure the healthy growth and development of their children and with a goal of completing a high school education or G.E.D. The settings may vary but must provide 24 hour skilled staffing and supervision, access to licensed childcare. Teen living programs must provide living arrangements for up to 36 months. Services may also include counseling, case management or topically-oriented programs.</p> <p>Transitional Living Small staffed apartment setting. Intervention intended to stabilize client</p>	CTT0
Teen Parenting			CTT0

Category	Program	Model	Activity Code	Index Number
Residential (non-Family Networks)	<p>Shelter Generally for emergency or immediate placement situations, shelters are short-term residential facilities for children and adolescents on a 24 hour per day basis.</p>	<p>Alternative Lock-up Program This service provides an emergency or short-term alternative placement to incarceration or lock-up for juvenile offenders until they can be brought to court for arraignment on their charges.</p>	RESS	26

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

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

Instructions for Certification

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

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

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

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

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

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

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

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

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

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

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

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

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is

providing the certification set out below.

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

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

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

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

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

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

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

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

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

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

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

Signature

[Handwritten Signature] 6/8/2016
Chief Financial Officer

Title

MA Dept of Children and Families

Organization

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

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

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

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

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

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about --
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
- (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted -

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

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

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

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

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

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

Alternate II. (Grantees Who Are Individuals)

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

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

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

 6/8/2016

Signature

Chief Financial Officer

Title

MA Dept of Children and Families

Organization

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

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

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

 6/8/2016

Signature

Chief Financial Officer

Title

MA Dept. of Children and Families

Organization

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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


Signature

Chief Financial Officer

Title

MA Dept. of Children and Families

Organization
