BROADCAST

DATE: July 30, 2017

TO: Local Department of Social Services

FROM: Mike Gump, Chief Financial Officer

SUBJECT: SSBG Pre-Expenditure Report Available on Public Website

CONTACTS: Mike Gump at (804) 726-7223 or mike.gump@dss.virginia.gov
Susan Ross at (804) 726-7231 or susan.ross@dss.virginia.gov

The State of Virginia's Department of Social Services has made available for public inspection and comment the Social Services Block Grant (SSBG) Pre-Expenditure Report. This document required by the 1981 Omnibus Budget Reconciliation Act, is Virginia's Pre-Expenditure Report/Plan for Social Services for FY 2018 (October 1, 2017 – September 30, 2018). This report contains information on expected expenditure of federal funds under the Social Services Block Grant (SSBG).

Local departments of social services (LDSS) and the general public can review the SSBG Pre-Expenditure report on the VDSS web page at:

http://www.dss.virginia.gov/geninfo/reports/agency_wide/block_grants.cgi

Any questions can be directed to the contacts listed above.

COMMONWEALTH OF VIRGINIA
SOCIAL SERVICES BLOCK GRANT
PRE-EXPENDITURE REPORT
FEDERAL FISCAL YEAR 2018

I. INTRODUCTION

This document required by the 1981 Omnibus Budget Reconciliation Act, is Virginia's Pre-Expenditure Report/Plan for Social Services for FFY 2018 (October 1, 2017 – September 30, 2018). SSBG in Virginia is not a single program to which individuals can apply directly. It is a funding source, which partially supports various services delivered through local departments of social services. This report contains information on expected expenditure of federal funds under the Social Services Block Grant (SSBG).

II. PUBLIC INSPECTION OF PRE-EXPENDITURE REPORT

The Pre-Expenditure Report was made available to the public via a public notice indicating the availability of the report for review upon request and the location of the report on the state's website (Reference "Public" Notice: Attachment #1 located in section VII of this report.). A broadcast notice to the local departments of social services (LDSS) was placed on SPARK, the VDSS intranet, for access by all localities (Reference "Broadcast" Notice: Attachment #2 located in section VII of this report.).

III. ADMINISTRATIVE OPERATIONS

The mission of the Virginia Department of Social Services is *"people helping people triumph over poverty, abuse and neglect to shape strong futures for themselves, their families, and communities."*

Programs of the Virginia Department of Social Services are designed to assist persons in need; provide effective intervention when necessary; and ensure the safety, stability, and well-being of the most vulnerable citizens.

In Virginia, one hundred and twenty (120) local departments of social services (LDSS) have been an integral part of the social services delivery system for over 30 years. They are the focal point in each community for the delivery of family-focused preventive, supportive, and protective services. These agencies are allocated federal social services funds, which are budgeted by them to either deliver a service directly or purchase a service. LDSS use federal, state, and local

funds to deliver services. This Pre-Expenditure Report includes basic information and statewide summaries of services and funding.

Service delivery activities are directed toward five national goals. The goals include self-support, self-sufficiency, protection of children and adults, community and home based care, and institutional care.

IV. FISCAL OPERATIONS

DESCRIPTION OF CRITERIA FOR DISTRIBUTION AND USE OF FUNDS

For FFY 2018, budget line allocations are direct service activity based on one of five methodologies: (1) projected program expenditures, (2) approved formulas, (3) allocations based upon approved locality plans, (4) federal fiscal year 2017 allocations or (5) indirect cost that are allocated to SSBG based upon the federally approved Public Assistance Cost Allocation Plan (PACAP).

DESCRIPTION OF FINANCIAL OPERATIONS SYSTEM:

1) THE COST ALLOCATION PROCESS

- Costs are accumulated and processed quarterly using PACAP guidelines through a CAP system application that was developed by VDSS.
- The CAP system is used to process and allocate all costs on a quarterly basis to appropriate state and federal grants and programs.
- Financial Accounting & Analysis System (FAAS) is the VDSS State Accounting/Financial System of record for all federal, state and local expenditures related to social/public assistance services.
- FAAS chart of accounts is a systematic structure for recording and reporting accounting information pertaining to the financial activities of VDSS. The major account segments within FAAS used by the CAP module to determine the allocation treatment of costs are the:
    a) Cost Code - The primary segment used for most costs.
    b) Project Number – A unique number assigned in conjunction with the cost code if costs within a cost code will result in different allocation methodologies or benefiting programs

- Activities for Cost Codes that can be identified with a single grant or program on a consistent basis are treated as direct costs and maintain their pre-assigned grant or program designation within the allocation process.

- Activities for Cost Codes that benefit more than one grant or program are treated as indirect costs and are allocated based on methodologies that reflect the benefit received by each of the programs.

- Indirect Cost Codes are assigned to an allocation pool that identifies the programs that the costs benefit.

  - Program/Service Areas are as follows:

Program Service Area #'s	Program/Service Area Titles
45101	Training and Assistance to Local Staff
45103	Central Administration and Quality Assurance for Family Services
45105	Central Administration and Quality Assurance for Community Programs
46010	Local Staff and Operations
46802	Adult In-Home and Supportive Services
46803	Domestic Violence Prevention and Support Activities
46901	Foster Care Payments and Supportive Services
46902	Supplemental Child Protective Activities
46903	Adoption Subsidies and Supportive Services
49203	Other Payments to Human Services Organizations
49901	General Management and Direction
49902	Information Technology Services
49903	Accounting and Budgeting Services
49914	Human Resources Services
49916	Planning and Evaluation Services
49918	Procurement and Distribution Services
49919	Public Information Services
49922	State Indirect Cost Allocation Plan
49929	Financial and Operational Audits
56101	Regulation of Adult and Child Welfare Facilities
56106	Interdepartmental Licensure and Certification

DESCRIPTION OF THE STATE'S METHOD OF CALCULATING COSTS

2) VDSS's ALLOCATION METHODOLOGIES AND STATISTICAL TYPES

- When assigning costs as either direct or indirect, the Department ensures that costs are accorded consistent treatment. Costs are not assigned to a Federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the Federal award as an indirect cost.

- Various allocation methodologies and statistics are used and are updated in the CAP system prior to the start of the quarterly allocation process. The allocation pools and the statistics used are listed in the following table:

	Allocation Methodologies	Statistic Types
1.	ADAPT Pool	Average Active Client Counts
2.	Administrative Non-IV D	Agency Cumulative Costs – Excluding IV-D
3.	Administrative Pool	Agency Cumulative Costs
4.	CPMO (Customer Portal – Maintenance/Operations Pool	Modified RMS
5.	CSE (Child Support Enforcement)(TMC)	Time Log
6.	Cumulative Costs of CC 52301 (ESM Contract)	Calculated
7.	DBP Pool (Division of Benefit Programs	Program Cumulative Costs
8.	DCVS Pool (Division of Community & Volunteer Services)	Program Cumulative Costs
9.	DFS Pool (Division of Family Services)	Program Cumulative Costs
10.	DIS Enterprise System P-APD Pool (Division of Information Systems)	Program Cumulative Costs
11.	DIS Enterprise System I-APD – Customer Portal Pool (Division of Information Systems)	Calculated
12.	DIS Time Log Pool (Division of Information Systems)	Time Log
13.	DLP Pool (Division of Licensing)	Program Cumulative Costs
14.	EA Time Log Pool (Economic Assistance Unit)(TMJ)	Time Log
15.	Eligibility (ELIG)	Calculated
16.	Eligibility Enhanced (ELIG_E)	Calculated
17.	ESM COTS Software (ESCTS)	Calculated
18.	ESM Development-Migration (ESMG)	Calculated
19.	ESM Development-(Conversion) (ESMC)	Calculated
20.	ESM - MAGI (ESMM)	Calculated
21.	ESM Other - (ESMO) Non-Medicaid Contract Expense	Calculated
22.	ESM Management Oversight (DESM)	Calculated
23.	FAMIS P-Rate Pool	Enrollees
24.	FC Pool (Foster Care Unit Administrative Pool)	Program Cumulative Costs
25.	FC/Adopt A Pool (Foster Care/Adoption Case Counts) – 50% FFP	Penetration Rate
26.	FC Adopt E Pool (Foster Care/Adoption Case Counts) Enhanced	Penetration Rate
27.	FC Adopt - Provider Management P-Rate (FCA_PM)	Penetration Rate
28.	Fraud Pool	Fraud Investigations Completed

	Allocation Methodologies	Statistic Types
29.	Hearings Pool	Appeals Disposed
30.	ICPC/ICAMA Pool (Interstate Compact)	Active Cases (Children)
31.	IV-E Adopt A Pool (IV-E Adoption Admin Penetration Rate)	Penetration Rate
32.	IV-E Adopt E Pool (IV-E Adoption Enhanced Penetration Rate	Penetration Rate
33.	IV-E FC A Pool (IV-E Foster Care Administrative Penetration Rate)	Penetration Rate
34.	IV-E FC E Pool (IV-E Foster Care Enhanced Penetration Rate	Penetration Rate
35.	Licensing Pool	Mandated Inspections
36.	MA Pool (Medical Assistance)	Active Cases (Enrollees)
37.	P-Rate Adoption & SSBG Adoption	Penetration Rate
38.	P-Rate Foster Care & SSBG Foster Care	Penetration Rate
39.	P-Rate Independent Living - Foster Care Other Admin & SSBG Foster Care	Penetration Rate
40.	P-Rate Pre-Placement & SSBG Prevention	Penetration Rate
41.	P-Rate Time Limited Family Reunification - Foster Care Other & SSBG Foster Care	Penetration Rate
42.	PRS Pool – PARIS Pool (Public Assistance Reporting Information System)	Calculation
43.	QC Pool (Quality Control)	Quality Control Cases
44.	RMS Single Pool	Observations
45.	RMS Single Pool (Excluding Adult Services & Adult Protective Services)	Observations
46.	Training	Course Hours
47.	Virginia Case Management System (CMS)	Calculated
48.	Workforce Development Time Log (TANF Unit) (TMU)	Time Log

- Each Local Department of Social Services (LDSS) must participate in the RMS process, which is used to collectively and statistically allocate costs to federal grants.
- The RMS process allows localities to identify and allocate activities carried out by its local staff without keeping minute-by-minute records of activities during the day.

V. PROGRAM OPERATIONS

Service delivery activities are directed toward five national SSBG statutory goals. The goals include:

- 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 reuniting families;

- Preventing or reducing inappropriate institutional care by providing *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 following categories will be serviced for Federal Fiscal Year 2018:

Universal Access

Certain services are available to all people without regards to income. There are seven direct services (i.e., delivered directly by local welfare/social service agencies:

Child Protective Services - The goal of CPS is to provide a specialized continuum of services to protect children from abuse, neglect, or exploitation, to preserve families whenever possible, and to prevent further maltreatment. "Child protective services" means the identification, receipt and immediate response to complaints and reports of alleged child abuse or neglect for children under 18 years of age. It also includes assessment, arranging for, and providing necessary protective and rehabilitative services for a child and his family when the child has been found to have been abused, neglected, or at risk of being abused or neglected.

Adult Protective Services - Adult Protective Services (APS) includes the receipt and investigation of reports of abuse, neglect or exploitation, and the provision of services to stop or prevent the abuse. Protective services also include assessing service needs, determining whether the subject of the report is in need of protective services, documenting the need for protective services, specifying what services are needed, and providing or arranging for service delivery. Because there is no federal statute or funding directly related to the delivery of APS, each state has developed its own system for service delivery. Nationwide, APS is usually the first responder to reports of abuse, neglect, or exploitation of vulnerable adults.

Assessment and Case Management - LDSS provide a statewide system of prevention, protective services, needs assessments, and case management services for incapacitated individuals who are 18 and over and adults who are 60 years of age and over. LDSS are

the focal point for delivery of services through eligibility determination and needs assessment. Assessment is an integral part of case management and includes an assessment of both individual and family needs and wishes. Completing the Virginia Uniform Assessment Instrument (UAI) is the first step in obtaining services.

Adult Services - Adult Services (AS) assists adults age 60 and over and incapacitated individuals 18 and over and their families when appropriate. Services are designed to help adults remain in the least restrictive environment of their choosing -- preferably their own home -- for as long as possible. Adequate home-based services and case management decrease or delay the need for institutional placement, reduce costs, and ensure appropriate support services.

Prevention and Intervention Services – Includes purchasing any service to prevent disruption of the family and stabilize the situation, provided that the need is documented in the case record. These services may include the purchase of emergency shelter until more permanent arrangements can be made and may also include items such as clothing, food, utilities, or rent when no other resource is available and the lack of these goods and services become life threatening or may result in institutionalization.

Foster Care and Adoption for Families - Foster care provides services, substitute care, and supervision for children on a 24-hour basis until a child can either return to their family, be placed in an adoptive home, or other permanent foster placement.

The services may all be universal access services, or localities have the option to exclude Employment Services, in which case there would be six universally available services.

For purchased services, the following services are universal access:

Adult Protective Services
Child Protective Services - Foster Care for Children
Prevention Services

CHARACTERISTICS OF INDIVIDUALS TO BE SERVED

a) The Virginia Department of Social Services provides services to children and adults of all ages.

b) Eligibility Criteria - persons who are eligible based on their membership in federal income maintenance groups. The income

maintenance groups include Temporary Assistance for Needy Families and Supplemental Security Income (SSI) recipients.

c) Income Guidelines – persons who are eligible based on their income as compared to Virginia's annual median income.

TYPES OF ACTIVITIES TO BE SUPPORTED

Direct Services – These services are provided directly by local welfare/social service agencies and include: Adult Protective Services, Adult Services, Child Protective Services, Employment Services, Foster Care and Adoption for Families, Assessment & Case Management, and Prevention and Support Services.

Purchased Services – These services are purchased from private individuals, private agencies or other public agencies. They include services to children in foster care, preventive services, and protective services for children and adults.

State Department of Social Services – Funds are appropriated to this state agency for central and regional administrative activities such as planning, policy making, and monitoring and evaluation with regard to all programs.

TANF/SSBG – Virginia transfers the maximum amount allowable from TANF to SSBG. Section 404(d) (2) of the Social Security Act governs the transfer of TANF funds to the SSBG program. It limits the amount that a state may currently transfer to no more than 10% of its total annual TANF grant to SSBG. All funds transferred to the SSBG program are subject to the statute and regulations of the recipient SSBG program in place for the current fiscal year at the time when the transfer occurs. All amounts paid to a State under this part that are used to carry out state programs pursuant to Title XX shall be used only for programs and services to children or their families whose income is less than 200 percent of the official poverty level applicable to a family of the size involved.

The Virginia Department of Social Services uses the same program titles according to those listed for the SSBG Uniform Definition of Services.

Virginia operates a state supervised, locally administered welfare system that consists of one hundred and twenty (120) local departments of social services (LDSS). The focal point in each community is the delivery of family-focused preventive, supportive and protective services.

VI. PRE-EXPENDITURE REPORTING FORM
VII. DOCUMENTATION OF PUBLIC HEARING

VIII. CERTIFICATIONS –

(A) ANTI-LOBBYING
(B) DRUG-FREE WORK REQUIREMENTS
(C) DEBARMENT AND SUSPENSION
(D) ENVIRONMENTAL TOBACCO SMOKE, ALSO KNOWN AS THE PRO-CHILDREN ACT OF 119, P.L.103-227.

IX. PROOF OF AUDIT -

The Auditor of Public Accounts conducted a Single Audit for the year ended June 30, 2014. There were no findings for SSBG.

Part A. Estimated Expenditures and Proposed Provision Method

OMB NO.: 0970-0234
Expiration date: 9/30/2017

STATE: VIRGINIA	Fiscal Year : 2018	Report period: 10/01/2017-9/30/2019
Contact person:Willy Carter	Phone Number: (804) 726-7984	
Title: Manager, Federal Reporting	E mail address: william.carter@dss.virginia.gov	
Agency: VIRGINIA DEPARTMENT OF SOCIAL SERVICES	Submission date: July 30, 2017	

	Service Supported with SSBG Expenditures	SSBG Expenditures: SSBG Allocation	SSBG Expenditures: Funds transferred into SSBG*	Expenditures of All Other Federal, State and Local funds**	Total Expenditures	Provision Method: Public	Provision Method: Private	
1	Adoption Services	7,000,000		3,443,708	10,443,708	X		
2	Case Management	6,900,000		33,393,683	40,293,683	X		
3	Congregate Meals	0			0			
4	Counseling Services	0			0			
5	Day Care--Adults	100,000		102,332	202,332	X		
6	Day Care--Children	0			0			
7	Education and Training Services	0			0			
8	Employment Services	0			0			
9	Family Planning Services	0			0			
10	Foster Care Services--Adults	850,000		678,469	1,528,469	X		
11	Foster Care Services--Children	5,900,000	9,419,998	16,916,355	32,236,353	X		
12	Health-Related Services	0			0			
13	Home-Based Services	3,985,189		1,098,094	5,083,283	X		
14	Home-Delivered Meals	0			0			
15	Housing Services	0			0			
16	Independent/Transitional Living Services	0			0	X		
17	Information & Referral	0			0			
18	Legal Services	0			0			
19	Pregnancy & Parenting	0			0			
20	Prevention & Intervention	1,600,000		2,146,130	3,746,130	X		
21	Protective Services--Adults	3,880,000		0	3,880,000	X	X	
22	Protective Services--Children	10,232,913	6,405,502	19,552,622	36,191,037	X		
23	Recreation Services	0			0			
24	Residential Treatment	0			0			
25	Special Services--Disabled	0			0			
26	Special Services--Youth at Risk	0			0			
27	Substance Abuse Services	0			0			
28	Transportation	0			0			
29	Other Services***	0			0			
30	SUM OF EXPENDITURES FOR SERVICES	40,448,102	15,825,500	77,331,394	133,604,996			
31	Administrative Costs	600,000						
32	SUM OF EXPENDITURES FOR SERVICES AND ADMINISTRATIVE COSTS	40,048,102	15,825,500					

* From which block grant(s) were these funds transferred? TANF

** Please list the sources of these funds: VIRGINIA DEPARTMENT OF SOCIAL SERVICES' GENERAL & LOCAL FUNDS

*** Please list other serivces:

*** Estimated FY 2017 expenditures are based on actual expenditures 7/1/2015-6/30/2016

Part B. Estimated Recipients

OMB NO.: 0970-0234
Expiration date: 9/30/2017

STATE: VIRGINIA	
Fiscal Year : 2018	

	Service Supported with SSBG Expenditures	Children	Adults: Adults Age 59 Years & Younger	Adults: Adults Age 60 Years & Older	Adults: Adults of Unknown Age	Total Adults	Total
1	Adoption Services	1566					1566
2	Case Management				42622	42622	42622
3	Congregate Meals						
4	Counseling Services						
5	Day Care--Adults				42	42	42
6	Day Care--Children						
7	Education and Training Services						
8	Employment Services						
9	Family Planning Services						
10	Foster Care Services--Adults				76	76	76
11	Foster Care Services--Children	4913					4913
12	Health-Related Services						
13	Home-Based Services				4141	4141	4141
14	Home-Delivered Meals						
15	Housing Services						
16	Independent/Transitional Living Services						0
17	Information & Referral						
18	Legal Services						
19	Pregnancy & Parenting						
20	Prevention & Intervention	892			3582	3582	4474
21	Protective Services--Adults				4416	4416	4416
22	Protective Services--Children	51327					51327
23	Recreation Services						
24	Residential Treatment						
25	Special Services--Disabled						
26	Special Services--Youth at Risk						
27	Substance Abuse Services						
28	Transportation						
29	Other Services***						
30	SUM OF RECIPIENTS OF SERVICES	58698	0	0	54879	54879	113577

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.

Michael Gump 7/25/17

Signature and Date

Michael Gump

Printed Name

CFO

Title

Virginia Department of Social Services

Organization

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

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

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

Michael Gump 7/25/17

Signature and Date

Michael Gump

Printed Name

CFO

Title

Virginia Department of Social Services

Organization

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

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

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

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

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

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

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

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

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

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

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

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

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

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in 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 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
(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]

Michael Gump 7/05/17

Signature and Date

Michael Gump

Printed Name

CFO

Title

Virginia Department of Social 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 Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant

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

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

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

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

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

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

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

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

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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.

Michael Gump 7/25/17

Signature and Date

Michael Gump

Printed Name

CFO

Title

Virginia Department of Social Services

Organization