

**STATE OF OREGON**  
**Department of Human Services**  
**Erinn Kelley-Siel, Director**

**Social Services Block Grant**  
**(SSBG)**

**Report of Intended Use For**  
**Federal Fiscal Year 2016**

**For Time Period Beginning**  
**October 1, 2015 to September 30, 2016**

**and**

**Post Expenditure Report of Use**  
**For Federal Fiscal Year 2014**

**For the Time Period Covering**  
**October 1, 2013 to September 30, 2014**

**Submitted to**  
**Children's Bureau**  
**Administration for Children and Families**  
**Department of Health and Human Services**

**August 2015**

**STATE OF OREGON  
DEPARTMENT OF HUMAN SERVICES  
SOCIAL SERVICES BLOCK GRANT**

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## **DEPARTMENT OF HUMAN SERVICES PROGRAM DESCRIPTION**

### **Use of Social Services Block Grant (SSBG) Funding in Oregon**

On January 4, 1975, Title XX of the Social Security Act authorized an entitlement to States for providing social services. Title XX gave States increased flexibility to offer a wider range of services to a broader population of adults and children. The statute also included requirements for planning, public participation, income eligibility, and administration. In 1981, Congress amended Title XX to establish the Social Services Block Grant (SSBG) program. States determine what services are provided, the eligible populations, the locations in which each service is provided, and whether the services are provided by State or local agency staff or through grants or contracts.

SSBG funds are allocated to States as block grants, based on State population, to support the delivery of social services. The SSBG encourages each State to furnish services directed at five statutory goals:

- 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 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.

By federal law, SSBG funds must be administered by the same state agency that administers child welfare and foster care/adoption programs. In Oregon, the designated state agency is the Department of Human Services (DHS).

The Oregon Legislature has consistently used SSBG funds to support DHS budget-based programs that would have otherwise been funded with state general funds. To simplify the accounting and reporting procedures within the department, in 1990, DHS began allocating all SSBG funds to its Child Welfare division. SSBG is one of many federal and other (non-state) funding sources that support its Legislatively Approved Budget.

DHS has an intricate accounting system that preserves state funds by charging every possible cost to federal categorical entitlement funding sources. Expenditures that are not eligible for categorical reimbursement are analyzed and charged to the least flexible funding source for which it is an allowable cost.

Finally, SSBG and state general funds are used to pay any remaining costs. While this method achieves the highest level of federal funding, it also makes it difficult to estimate where SSBG ultimately will be spent. Only expenditures which are allowable costs under the SSBG federal program requirements are applied to SSBG funding.

Services funded with SSBG are described on the following pages.

## **DEPARTMENT OF HUMAN SERVICES PROGRAM DESCRIPTION**

- Service:** In-home Safety and Reunification Services
- Purpose:** In-Home Safety and Reunification Services (ISRS) program is designed to provide for the immediate safety of children by managing the safety threats within the family; or when children have been placed in protective custody to help them return home with intensive in-home services.
- Objective:** To increase the safety of children in the family home when documented safety threats exist through various protective strategies; to maintain family unity, insofar as consistent with the child's safety; to reduce those factors, causes, and stresses which led to abuse or neglect.

### **Activities/Services:**

The ISRS program will provide a combination of concrete safety and strengths based change services that will lead to lasting safety changes within the home. Services are designed to protect children, stabilize the family, and assist parents in establishing linkages to formal, informal, and natural supports and resources so that a child can remain safely with their family without further intervention of the Oregon Child Welfare System. The opportunity for lasting change is improved when parents develop skills to advocate for their family and meet their child's individual needs for safety.

Proposers will be expected to describe a proposed model for working with minority cultural groups disproportionately represented in the child welfare population.

### **Program Description:**

The ISRS Program is designed to compliment the Oregon Safety Model to insure services are change-based and address safety issues for families referred during the Child Protective Services (CPS) assessment or when planning for family reunification. During the ISRS program intervention, the assigned caseworker and Provider will work with the family to provide child safety, stabilize and improve parental protection of children, and help families access necessary formal, informal community resources and supports.

The following chart outlines the purpose and differences for both Safety and Change services.

<b>Safety Services:</b>	<b>Change Services:</b>
The purpose is to control and manage.	The purpose is to change behaviors.
Safety Services are limited to managing and controlling identified safety threats.	ISRS Services are put in place following provider assessment and when the family is ready.
Activity and Services are dense which means there are a lot of things going on frequently.	Activities and Services focus on lasting behavioral change.
The Safety Services must have an immediate effect. This means the moment they are set in place.	Change Services build on existing protective capacity of the Parents.
The Safety Service provider's role and responsibility in the ongoing safety plan is precise and focused on managing safety threats.	The Change Service provider's role and responsibility vary according to client need.

### **Safety Services**

Services are expected to be delivered in the family's home, and provided when family members are at home and most likely to impact child safety. This may include early morning, meal times and bed times.

The range of services will be flexible to meet client needs. Highly skilled intensive services can be used initially to resolve the initial child safety crisis and to maintain family stability. Services can then evolve to less concentrated reinforcement and follow-up sessions.

The DHS protective action or safety plan will outline the safety services and conditions designed to control a safety threat through in-home observation, supervision and specific intervention. These conditions will be confirmed by the Safety Services Provider on each contact with referred families.

During initial contact, the Provider will work with the family to develop plans and services to improve child safety, stabilize functioning, and access necessary formal, informal, and community resources and supports

The ISRS Contractor is expected to provide safety services, in whole or in part, that have been identified in the Department's Protective Action or In-home

Safety Plan. These plans will identify safety services that will have immediate impact with respect to controlling identified safety threats; and will not use a parent or caregiver who is the alleged perpetrator of physical abuse, sexual abuse, or domestic violence to provide protection. Protective Actions or Safety Plans may include the following types of services:

- a. Supervision and monitoring child safety by direct observation.
- b. Stress reduction
- c. Basic Parenting Assistance
- d. Respite Care
- e. Social/Emotional Support
- f. Safe Housing Assistance
- g. Food/Clothing/Basic Needs
- h. Assist to access emergency medical, mental health and addiction services, as needed
- i. Stabilization of home environment assuring child's needs for stability and safety from potential abusers and dangerous home conditions.
- j. Monitoring & supporting family managed safety.

**Change Services** will utilize interventions with demonstrated effectiveness for improving child safety. When services are initiated before final development of the DHS Case Plan, the Provider will use their professional judgment to evaluate and report on parental capacity to protect their children, and recommend actions and services to the parents and to DHS which will improve parental care of their children.

Change services may include:

- a. **Crisis Intervention services to address the crisis of disclosure, CPS assessment, and concerns when a significant family member leaves the home.**
- b. **Motivational Interviewing, Collaborative Problem Solving, Cognitive Behavioral therapy, and Parent–Child attachment coaching sessions.**

Services will utilize the existing protective capacity of caregivers and will assist parents to improve the diminished protective capacities that lead to their child being unsafe. Services will help parents build additional problem solving skills to eventually become self-sufficient, including problem solving to access needed community services and supports.

Services will help parents develop empathy for their child's experience and help the child contribute their solutions. Services will also help parents identify strategies for predictable problems relating to child's behavior, child safety, depression, mood stabilization and other adult relationships.

**Implementation:**

The ISRS services were implemented October 1, 2010.

**Progress to Date: June 30, 2015:**

Contracts were extended through September 30, 2015 with a solicitation/request for proposals (RFP) which will soon begin for several counties Statewide. Counties that had an updated RFP opted to extend and others were re-negotiated and extended through June 30, 2017. During this process for renewing these contracts, we have also added Performance-Based Contracting language to the contracts and in the scope of work for the solicitation. We will be focusing more on client outcome based results moving forward.

The original design provided fixed funding that helped establish stable service provision that was necessary for 24 hour on-call availability. Now that providers have been in place for over two years in most areas of Oregon, some Districts chose to move to a fee for service contract so payment is only made for services actually delivered. Some contracts were discontinued due to low performance, and capacity was added to other contracts within the District. Services continue to be utilized at a high percentage in most counties Statewide. Of those that are not being utilized at the capacity in the contract, meetings are held and discussions to increase utilization or make changes to the contract are taking place.

The Office of Child Welfare is also working to develop a Differential Response program, as well as, implement State legislation to "Safely Preserve and Reunify Families". These efforts will be integrated with the current ISRS services, and we expect that the transition will help Oregon achieve our goal of a safe and equitable reduction of foster care. This will help Oregon provide a continuum of services to first serve families with where safety threats have been identified, as well as, those with moderate to high needs. ISRS is also available to help return children home sooner, both to prepare for the return, and also after the child's return to help re-build family relationships.

We plan to continue with referrals towards placement prevention when the home is calm and stable enough for ISRS services to take place. The following



standards in Oregon Administrative Rules help define the criteria for these decisions and for returning children to their homes:

***413-015-0435 Establish a Protective Action***

Typically, a protective action will include a straightforward immediately achievable arrangement such as: arranging and confirming that the parent or caregiver who is the alleged perpetrator will leave and remain away from the home; arranging for a parent or caregiver who is not the alleged perpetrator to leave home with the child; using people and resources available to the family to immediately protect the child; or placing the child in a relative placement, foster care, or appropriate temporary shelter facility.

***413-040-0009 Requirements for Conditions for Return***

- (1) The caseworker must determine the conditions that must exist prior to the return of the *child* to a *parent* or legal guardian.
- (2) The *conditions for return* are documented in the *case plan* and must describe:
  - (a) The specific behaviors, conditions, or circumstances that must exist before the Department may develop an in-home *ongoing safety plan* that assures a child's safety, as described in OAR 413-015-0450(2)(b)(A)(i)-(iii); and
  - (b) The actions, services, and time requirements of all participants in the in-home *ongoing safety plan*.

**Categories of Individuals to be Served:**

- Child(ren) who are, or who are alleged to be abused, neglected, exploited, or abandoned and their families.
- Parent(s)/Caregiver(s) of children who are, or who are alleged to be abused, neglected, exploited, or abandoned and their families.

**Characteristics of Individual to be Served:**

The purpose of Oregon's In-home Safety and Reunification Services Program is to provide intensive in-home services to increase the safety of children in the family home when documented Safety Threats exist.

"Child" means a person under 18 years of age.

"Parent" means the biological or adoptive mother or the legal father of the child. A legal father is a man who has adopted the child or whose paternity has been established or declared under ORS 109.070, ORS 416.400 to 416.465, or by a juvenile court. In cases involving an Indian child under the Indian Child Welfare Act (ICWA), a legal father includes a man who is a father under applicable tribal law. "Parent" also includes a putative father who has demonstrated a direct and significant commitment to the child by assuming or attempting to assume responsibilities normally associated with parenthood unless a court finds that the putative father is not the legal father.

"Caregiver" means a guardian, legal custodian, or other person acting in loco parentis, who exercises significant authority over and responsibility for a child. In order to be eligible for In-home Safety and Reunification Services, a Safety Threat must be present, and a child must be determined to be unsafe using the Oregon Safety Threats Guide.

"Unsafe" means there is a safety threat to which the child is vulnerable and there is insufficient parent or caregiver protective capacity to protect a vulnerable child from the identified safety threats.

## **DEPARTMENT OF HUMAN SERVICES PROGRAM DESCRIPTION**

- Service:** County and Community Based Services (Youth Development Division)
- Purpose:** To fund local, community-based preventive programs for at risk children and youth and their families
- Objective:** To reduce the risk factors and build resiliency factors associated with readiness to learn, educational and workforce success, poverty, families' ability to care for their own children, and access to child and respite care at the community level, juvenile delinquency, teenage pregnancy, drug and alcohol abuse, child abuse and neglect through community-based and county-based planning and services

**Geographic Area/Location:** Statewide

**Statutory Goals:**

- 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 interest or preserving, rehabilitating, or reuniting families.
- Ensuring that services are provided to school-age children through youth 20 years of age in a manner that supports educational success, focuses on crime prevention, reduces high risk behaviors and is integrated, measurable and accountable.

**Description:**

State government services are prioritized toward achieving benchmarks that serve children and youth at risk. The Oregon Legislature transferred responsibility for children and youth at risk of entering more intensive state

services to local county government, tribal governments and community-based organizations. Local service delivery can help overcome access barriers, build community supports, and prevent the need for state government intervention.

**Description of the Service:**

Services may include outreach and assessment, service plan development, crisis intervention, parent support, family counseling and mediation, individual and group counseling, independent living skill training, transitional living services, and other services to meet the objectives listed above. These may also include educational supports and workforce and career development supports for children and youth, alcohol and drug abuse intervention, and detoxification diversion programs.

**How Services are Delivered:**

The Oregon Youth Development Council allocates funds to counties, tribes, and community-based organizations for children and youth ages 6 to 20 and builds supports and mitigates risks for children, youth and their families. Specific strategies are developed and prioritized to achieve the objectives identified above.

A competitive process based on equity and indicators of need is used to select service providers best able to achieve identified outcomes. Funding is awarded to providers who utilize the most effective community-based prevention and intervention strategies. While services may vary in communities, all are outcome-based and designed to build supports that keep children, youth and families from needing more intensive intervention. Examples of services are listed above.

Where applicable, a Collective Impact methodology is utilized to ensure that community-based partners and collaborative efforts are maintained.

**Categories of Individuals to be Served:**

Children and youth, 6-20 years old, and their families who demonstrate a need for supports and skills to prevent the need for more intensive state services. The need for such support and services may include children, youth and their families who:

- Are at risk of dropping out of school and experiencing academic challenges
- Lack mentoring opportunities
- Lack mentoring opportunities

- Have a lack of parenting knowledge
- Need short-term crisis counseling
- Chronically act out
- Are out of parental control
- Are at-risk of child abuse and neglect
- Have alcohol and drug issues
- Are non-adjudicated runaway or homeless youth
- Other categories appropriate for service needs identified through indicators of need

**Characteristics of Individual to be Served:**

Social Services Block Grant/Youth Investment Title XX programming through the Youth Development Council provides evidence-based/best practice community services for at-risk middle and high school age youth who are in need of a range of supports. Funds are used in education and family support activities; academic and employment support; youth development and asset-building; and health, mental health and counseling.

The funds serve non-delinquent youth, ages 6 through 20, and are allocated to communities to address indicators of need that have been identified in communities, and adolescent risk factors, which if left unaddressed, would lead to more costly outcomes such as homelessness, school dropouts, unemployment, criminal activity, and substance abuse.

Program delivery is mostly done through community-based nonprofit providers but can also include local governmental entities such as school districts, counties and tribes.

## **DEPARTMENT OF HUMAN SERVICES PROGRAM DESCRIPTION**

- Service:** Community-Based Services (Early Learning Division)
- Purpose:** To fund local, community-based preventive programs for at risk children and their families
- Objective:** To reduce and mitigate risk factors and their effects on children and families through a range of therapeutic early childhood and family services designed to take best advantage of each family's strengths while addressing each family's specific needs. This is done through community-based nonprofit agencies known as Relief Nurseries.

**Geographic Area/Location:** Statewide

**Statutory Goals:**

- Preventing or remedying neglect, abuse, or exploitation of children and adults unable to protect their own interest or preserving, rehabilitating, or reuniting families.
- Research based interventions including home visits, therapeutic early childhood classrooms, crisis response, and drug and alcohol recovery are utilized to keep children safe in their homes, reduce the number of children in foster care, enhance early literacy and increase school readiness.

**Description:**

State government services are prioritized toward achieving benchmarks that serve children at risk. The Oregon Legislature transferred responsibility for children at risk of entering more intensive state services to community-based nonprofit agencies. Local planning and service delivery can help overcome access barriers, build community supports, and prevent the need for state government intervention.

**Description of the Service:**

Services may include outreach and assessment, therapeutic classrooms sessions, crisis intervention, crisis nursery care, respite care, parent education, training

and support, home visits, and information and referral for other available community services.

**How Services are Delivered:**

The Early Learning Division, allocates SSBG funds directly to each relief nursery (community-based nonprofit agencies) in Oregon as specified in ORS 417.788, based on the number of children aged 0 - 6 years old being served by each relief nursery in their local community. While services may vary slightly from nursery to nursery, all are outcome-based and designed to build supports that keep children and families from needing more intensive state intervention. Examples of services are listed in the paragraph above.

**Categories of Individuals to be Served:**

Children, ages 0 - 6 years old, and their families who demonstrate a need for supports and skills to prevent the need for more intensive state services. The need for such support and services include children and their families experiencing multiple stresses related to child abuse and neglect.

**Characteristics of Individual to be Served:**

Social Services Block Grant/Relief Nursery Title XX programming through the Early Learning Division provides comprehensive therapeutic family support programs serving children under age six, in families experiencing multiple stresses related to abuse and neglect. All families are at or below the Federal Poverty Level. Program delivery is done through several community-based nonprofit agencies (Relief Nurseries) proven to strengthen high-risk families and keep young children safe.

Relief Nurseries intervene to keep children safe in their homes, reduce the number of children in foster care, enhance early literacy, and increase school readiness in therapeutic early childhood classrooms and home visits.

## **DEPARTMENT OF HUMAN SERVICES PROGRAM DESCRIPTION**

**Service:** Child Protective Services

**Purpose:** To assess reports of suspected abuse or neglect and to provide protective services to families and children when the child has been determined to be unsafe.

**Objective:** To assure the child's welfare and safety through various protective strategies; to maintain family unity, insofar as consistent with the child's safety; to reduce those factors, causes, and stresses which led to abuse or neglect; to support and encourage cognitive, emotional, and behavioral adjustment which results in family maintenance or reunification; and to expedite permanency plans when it is determined that the child cannot safely return home.

**Geographic Area/Location:** Statewide

**Statutory Goals:**

- 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 interest.
- Achieve statewide implementation of a service array, specifically designed to strengthen, preserve and reunify families.

**Activities/Services:**

Child Welfare Protective Services include:

- Accepting suspected reports alleging abuse and neglect, and assessing the level of intervention necessary, if any.



- Providing information and making referrals to appropriate community resources.
- Conducting comprehensive assessment of suspected reports of child abuse and neglect by observation, interviews (all children and adults in the household, the perpetrator, all non-custodial legal parents, and all other collateral contacts), and coordination with police, district attorney, medical providers, and mental health professionals.
- At the conclusion of the comprehensive assessment, the agency is able to clearly articulate the extent of the abuse, the circumstances surrounding the abuse, the child's functioning, the parent's functioning, the adult's functioning and parenting and disciplinary practices in the home. Allowing a determination to be made regarding if the child is safe or unsafe without the agency's intervention.
- Emergency child placement outside the child's home when it has been determined the child is unsafe without immediate, temporary custody.
- Development of an ongoing safety plan to ensure the child is safe. This includes outlining how each safety threat will be managed for the specific child.
- Providing parent/caregivers with clear conditions for the children's return.
- Providing parent/caregivers with clear conditions to end the department's involvement with a family and close a case.

**Categories of Individuals to be Served:**

- Children who are, or are alleged to be, abused, neglected, exploited, or abandoned; and their families.

**Characteristics of Individual to be Served:**

The purpose of Oregon's Child Protective Services (CPS) is to assure the protection of children after a report of alleged child abuse or neglect is received by a screener. Oregon defines a "child" to mean any person under the age 18. CPS is legislatively mandated and has no income eligibility requirements or

restrictions. To be eligible for CPS, a report of child abuse and neglect must be received, and the information indicates any one of the following:

- (A) The alleged perpetrator is a legal parent of the alleged child victim;
- (B) The alleged perpetrator resides in the alleged child victim's home;
- (C) The alleged perpetrator may have access to the alleged child victim, and the parent or caregiver, may not be able or willing to protect the child; or
- (D) The alleged child abuse occurred in a daycare facility, the home of a Department certified foster parent or relative caregiver, or a private child caring agency that is not a Children's Care Provider (CCP).

In order to be eligible for services beyond a CPS assessment, a child must be determined to be unsafe, or the family must request voluntary services.

## **DEPARTMENT OF HUMAN SERVICES PROGRAM DESCRIPTION**

**Service:** Substitute Care

**Purpose:** To assure protective care and support for children who require 24-hour emergency shelter, foster care, residential care, or other treatment services due to a determination that the child is unsafe in their home and, on a voluntary basis, for children whose behaviors are out of the control of their parent(s)/guardian(s).

**Objective:** To temporarily provide appropriate substitute care services for children removed from their homes, while engaging families in services that improve their capacity to provide for the safety, permanency and well-being of their children.

**Geographic Area/Location:** Statewide

### **Statutory Goals:**

- To provide care, support and protective services for children who are dependent or neglected, who have mental or physical disabilities, or who for other reasons, are in need of public service.
- To accept any child placed in the Department's custody by a court, and provide such services for the child as the Department finds to be necessary.
- All children in the legal custody of the Department who, in the judgment of the Director of Human Services or the authorized representative for the director, are in need of care or treatment services, may be placed with any person or family of good standing or any child caring agency for such services.

### **Activities/Services:**

Services are provided in the following settings: (1) relative caregiver homes, (2) family foster care homes, (3) family shelter homes, and (4) licensed private child-caring agencies.

A variety of purchased and staff provided services are available to children and their families while the child is in substitute care. Those provided by the Department staff (including volunteers) are:

- Determination of eligibility for service.
- Assessment of family needs.
- Development of case plans.
- Determination of need for and type of care resources.
- Selection of the most appropriate services for the child.
- Recruitment, certification/licensing of foster homes or residential programs.
- Placement and supervision of children in substitute care and residential treatment resources.
- Monitoring of certified families and private child caring agencies to assure compliance with Oregon Administrative Rules for certification and licensing.
- Work with family to stabilize a child and family, and to strengthen parental protective capacity so that a child can safely return home.
- Achieve permanency for children in foster care, either by achieving reunification with their parents, or establishing guardianship or adoption.
- Complete parent and relative searches for children placed into protective custody, to identify additional resources for the child.
- Provide intensive casework and supportive services to parents/guardians, child, and foster parents.
- Pursue adoption or guardianship planning for children who cannot be safely returned to parents.

- When a case plan is changed to achieve adoption, follow legal process to free children for adoption either through relinquishment or through the court termination of parental rights process via the purchase of attorney services, including miscellaneous case costs for the termination proceedings.
- Match child to adoptive home, prepare child for adoption, and make the placement.

Service components purchased through contracts and agreements include:

- Treatment Foster Homes through private child-caring agencies including evaluation services.
- Target Planning and Consultation services for children with complex needs that cannot be met through other systems or the service array.
- Residential treatment services.
- Legal assistance for termination of parental rights cases.

These services include individualized treatment for behavioral and emotionally disturbed children and other specialized activities. These services are delivered in certified family foster homes, licensed private child caring agencies and through community service providers.

**Categories of Individuals to be Served:**

- Children who require substitute care and/or treatment services due to abuse or neglect, and children whose behavior is out of the control of their parent/guardian.
- Ages 0 through 20

**Characteristics of clients served:**

While Oregon provides Substitute Care services to individuals from birth through the age of 20 years old, there are unique characteristics of these individuals:

- “Child” means a person under 18 years of age.

- The child must be under 18 years of age, at the time the child is placed in the Department's legal custody, and placement services are first initiated.
- "Young adult" means a person aged 18 through 20 years.
  - The young adult is an individual who remains in the legal care and custody of the Department beyond the age of 18 years of age, by Court Order.

There is no consideration for income or financial need for a child or young adult to receive Substitute Care Services.

**DEPARTMENT OF HUMAN SERVICES  
PROGRAM DESCRIPTION**

**Service:** Tribal Social Services Programs

**Purpose:** Provide effective, culturally relevant social services to Indian children and their families.

**Objective:** Jointly plan and provide social services to Indian children with Oregon Indian Tribal Organization social service agencies to better meet the social needs of Tribal members.

**Geographic Area/Location:** Statewide

**Statutory Goals:**

- 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.

**Description:**

Geographical, cultural, language and other factors place special barriers to access of social services for members of Oregon Indian Tribal Organizations. Some Tribal members live on reservations and must leave the reservation to seek out State services, often at great distances. Where services are more readily available, they may not be culturally relevant or sensitive to the needs of Native Americans and require special program planning. Additionally, many Native American social service agencies often do not have adequate funding to provide the accessible, appropriate and culturally relevant services needed by members of their Tribes.

**Activities/Services:**

- *Description of Service:*

To provide social services to children of Oregon Indian Tribal Organizations, various Tribal social service agencies and/or Councils.

- Determine eligibility for services.
- Assessment of family needs.
- Develop a case plan empowering families to make decisions for the well-being and safety of the children.
- Refer families to appropriate resources that will encourage self-sufficiency, positive parenting and independent living skills.
- Youth advocacy providing activities to promote physical, cultural and social development.
- Prevention and intervention in family dysfunction and distress for families and children at imminent risk of removal.
- Alcohol and drug abuse treatment and support services
- Family and mental health counseling;
- Day care services
- Comprehensive support services to families;
- Recruitment, certification and training of foster parents.
- Community awareness on mandatory reporting and child abuse and neglect definitions.
- Child protective services investigations and emergency placements.
- short-term, intensive residential care
- Provision of culturally relevant child welfare related employee training.

➤ ***How Services Are Delivered:***

Program planning for individual Tribes occurs jointly between the social services agencies associated with each Tribe and/or Tribal Councils and DHS. Services are provided directly by the Tribal agency or purchased on contract. DHS awards SSBG funds to Tribes based on inter-governmental agreements.

**Categories of Children to be Served:**

- Native American children and young adults, ages 0 - 21.

**Characteristics of Individual to be Served:**

- Native American children and young adults between 0 – 21 years of age and their families who would be TANF and Medicaid eligible due to no income.



## Distribution of the Social Services Block Grant Report

DHS has historically placed a public notice in the largest paper in the state, the *Oregonian*, under the public notice section. Due to the lack of response and ineffectiveness of this past practice, DHS has developed alternative ways to distribute the SSBG report. This report will be distributed to all interested parties by direct mailing. A copy of this report will be placed on the DHS website, and stakeholders such as the Oregon Early Learning Council/Youth Development Council, the Citizen Review Board, the Tribes of Oregon, and other human service providers will be sent a copy. Below is a list of stakeholders and interested parties who requested or were sent a copy of the SSBG report during the last twelve months, or who will be sent a copy of this report.

Record of Distribution of SSBG FY 2015 Proposed SSBG state plan:

Marsha Werner – ACF, DHHS, DC

Lynwood McDaniel – ACF, DHHS, DC

Brenda Brooks – ELD

Megan Irwin – YDD

Leola McKenzie – CRB

Erinn Kelley-Siel – DHS

Lois Day – DHS

Kevin George – DHS

Sherril Kuhns – DHS

Michelle Bradach – Burns Paiute Tribe

Stephanie Marusich – Confederated Tribes of Coos, Lower Umpqua & Siuslaw  
Indians

Yvonne Livingstone – Coquille Indian Tribe

June Horn – Cow Creek Band of Umpqua Indians

Dana Ainam – Confederated Tribes of Grand Ronde

Marvin Garcia – The Klamath Tribes

Anita Bailor – Confederated Tribes of Siletz Indians

Julie Taylor – Confederated Tribes of the Umatilla Indian Reservation

Sheila Danzuka – Confederated Tribes of Warm Springs

**REPORT OF INTENDED USE**

**Federal Fiscal Year 2016**

**For Time Period Beginning  
October 1, 2015 to September 30, 2016**

(Please see the 2016 Pre-Expenditure Report  
submitted through the Portal)

Part A. Estimated Expenditures and Proposed Provision Method

OMB NO.: 0970-0234

EXPIRATION DATE: 11/30/2017

STATE: Oregon	FISCAL YEAR: 2016	REPORT PERIOD:
Contact Person: Sherril Kuhns	Phone Number: 503-945-6679	
Title: Manager, Federal Policy, Planning and Resources	E-Mail Address: Sherril.Kuhns@state.or.us	
Agency: Department of Human Services	Submission Date: August 25, 2015	

Service Supported with SSBG Expenditures	SSBG Expenditures		Expenditures of All Other Federal, State and Local funds**	Total Expenditures	Provision Method	
	SSBG Allocation	Funds transferred into SSBG*			Public	Private
1	Adoption Services					
2	Case Management					
3	Congregate Meals					
4	Counseling Services					
5	Day Care--Adults					
6	Day Care--Children					
7	Education and Training Services					
8	Employment Services					
9	Family Planning Services					
10	Foster Care Services--Adults					
11	Foster Care Services--Children	175,000	63,785,510	63,960,510	X	
12	Health-Related Services					
13	Home-Based Services					
14	Home-Delivered Meals					
15	Housing Services					
16	Independent/Transitional Living Services					
17	Information & Referral					
18	Legal Services					
19	Pregnancy & Parenting					
20	Prevention & Intervention	11,188,726	35,319,404	46,508,130	X	
21	Protective Services--Adults					
22	Protective Services--Children	6,099,013	196,500,987	202,600,000	X	
23	Recreation Services					
24	Residential Treatment	325,000	39,244,757	39,569,757	X	
25	Special Services--Disabled					
26	Special Services--Youth at Risk					
27	Substance Abuse Services					
28	Transportation					
29	Other Services***					
30	SUM OF EXPENDITURES FOR SERVICES	17,787,739	334,850,658	352,638,397		
31	Administrative Costs	1,694,145				
32	SUM OF EXPENDITURES FOR SERVICES AND ADMINISTRATIVE COSTS	19,481,884				

\* From which block grant(s) were these funds transferred? N/A

\*\* Please list the sources of these funds: Title IV-E, TANF-EA, Title IV-B, Medicaid, State Funds

\*\*\* Please list other services: N/A

Part B. Estimated Recipients

OMB NO.: 0970-0234

#REF!

#REF!
#REF!

Service Supported with SSBG Expenditures	Children	Adults			Total Adults	Total
		Adults Age 59 Years & Younger	Adults Age 60 Years & Older	Adults of Unknown Age		
1	Adoption Services					
2	Case Management					
3	Congregate Meals					
4	Counseling Services					
5	Day Care--Adults					
6	Day Care--Children					
7	Education and Training Services					
8	Employment Services					
9	Family Planning Services					
10	Foster Care Services--Adults					
11	Foster Care Services--Children	11,163				11,163
12	Health-Related Services					
13	Home-Based Services					
14	Home-Delivered Meals					
15	Housing Services					
16	Independent/Transitional Living Services					
17	Information & Referral					
18	Legal Services					
19	Pregnancy & Parenting					
20	Prevention & Intervention	31,094				31,094
21	Protective Services--Adults					
22	Protective Services--Children	8,155				8,155
23	Recreation Services					
24	Residential Treatment	1,041				1,041
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	51,453				51,453



# Oregon

Kate Brown, Governor

**Department of Human Services**  
*Federal Policy, Planning & Resources*  
*Office of Child Welfare Programs*

500 Summer Street NE, E16

Salem, OR 97301

Phone: 503-945-5600

Fax: 503-373-7032

April 6, 2015



Mr. Lynwood McDaniel Jr.  
Social Services Program Specialist  
Division of State Assistance (DSA)  
Office of Community Services (OCS)  
Administration for Children and Families (ACF)  
U.S. Department of Health and Human Services  
370 L'Enfant Promenade, S.W.  
Washington, DC 20447

Dear Mr. McDaniel,

**RE: Social Services Block Grant FFY 2014 Post-Expenditure Report**

Please see the attached Post-Expenditure Report, reflecting Oregon's SSBG spending in FFY2014. I am happy to report that we exceeded the SSBG performance measure in FFY2014, scoring 98% spent as planned.

Please let me know if you have questions, or if I can be of further assistance in any way.

Sincerely,

Sherril Kuhns

Manager

Federal Policy, Planning and Resources

DHS Office of Child Welfare Programs

Phone: 503-945-6679

*"Safety, health and independence for all Oregonians"*  
An Equal Opportunity Employer

**POST EXPENDITURE REPORT**

**Federal Fiscal Year 2014**

**For Time Period Beginning  
October 1, 2013 to September 30, 2014**

(Please see the 2014 Post Expenditure Report  
submitted through the Portal)

**POST Expenditure Report for OR 2014**

Service ID	Services	SSBG Allocation	Funds Transferred	Other Expenditures	Total Expenditures	Public Method	Private Method	Include All Other Expenditures
1	Adoption Services	\$0	\$0	\$0	\$0			
2	Case Management	\$0	\$0	\$0	\$0			
3	Congregate Meals	\$0	\$0	\$0	\$0			
4	Counseling Services	\$0	\$0	\$0	\$0			
5	Day Care--Adults	\$0	\$0	\$0	\$0			
6	Day Care--Children	\$0	\$0	\$0	\$0			
7	Education and Training Services	\$0	\$0	\$0	\$0			
8	Employment Services	\$0	\$0	\$0	\$0			
9	Family Planning Services	\$0	\$0	\$0	\$0			
10	Foster Care Services--Adults	\$0	\$0	\$0	\$0			
11	Foster Care Services--Children	\$162,870	\$0	\$55,387,935	\$55,550,805	X		Yes
12	Health-Related Services	\$0	\$0	\$0	\$0			
13	Home-Based Services	\$0	\$0	\$0	\$0			
14	Home-Delivered Meals	\$0	\$0	\$0	\$0			
15	Housing Services	\$0	\$0	\$0	\$0			
16	Independent/Transitional Living Services	\$0	\$0	\$0	\$0			
17	Information & Referral	\$0	\$0	\$0	\$0			
18	Legal Services	\$0	\$0	\$0	\$0			
19	Pregnancy & Parenting	\$0	\$0	\$0	\$0			
20	Prevention & Intervention	\$14,211,444	\$0	\$18,245,776	\$32,457,220	X		Yes
21	Protective Services--Adults	\$0	\$0	\$0	\$0			
22	Protective Services--Children	\$5,725,708	\$0	\$175,034,369	\$180,760,077	X		Yes
23	Recreation Services	\$0	\$0	\$0	\$0			
24	Residential Treatment	\$433,413	\$0	\$26,086,775	\$26,520,188	X		Yes
25	Special Services--Disabled	\$0	\$0	\$0	\$0			
26	Special Services--Youth at Risk	\$0	\$0	\$0	\$0			
27	Substance Abuse Services	\$0	\$0	\$0	\$0			
28	Transportation	\$0	\$0	\$0	\$0			
29	Other Services***	\$0	\$0	\$0	\$0			
30	SUM OF EXPENDITURES FOR	\$20,533,435	\$0	\$274,754,855	\$295,288,290			
31	Administrative Costs	\$1,727,575	\$0	\$0	\$0			
32	SUM OF EXPENDITURES FOR SERVICES AND	\$22,261,010	\$0	\$0	\$0			

**Other**

Other	Additional Comments

**Validation Comments**

Validati	Comment
The difference between your reported sum of SSBG allocations and	and invoice processing in the Home Safety and Reunification Services program, part of line 20-Prevention and Intervention. The backlog caused a delay in making approximately \$1.5 M in payments that would normally have been made in Jul-Sept 2013. Instead, the payments

**Recipient Report for OR 2014**

Service ID	Services	Children	Age 59 And Younger	Age 60 And Over	Age Unknown	Total Adults	Total
1	Adoption Services						
2	Case Management						
3	Congregate Meals						
4	Counseling Services						
5	Day Care--Adults						
6	Day Care--Children						
7	Education and Training Services						
8	Employment Services						
9	Family Planning Services						
10	Foster Care Services--Adults						
11	Foster Care Services--Children	11768					11768
12	Health-Related Services						
13	Home-Based Services						
14	Home-Delivered Meals						
15	Housing Services						
16	Independent/Transitional Living Services						
17	Information & Referral						
18	Legal Services						
19	Pregnancy & Parenting						
20	Prevention & Intervention	29253					29253
21	Protective Services--Adults						
22	Protective Services--Children	10070					10070
23	Recreation Services						
24	Residential Treatment	451					451
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	51542					51542



## Appendix A

### Public Inspection

### Public Notice

#### **FFY 2016 Social Services Block Grant (SSBG) Pre-Expenditure Report**

The Oregon Department of Human Services (DHS) hereby gives notice of the availability of the “FFY 2016 Social Services Block Grant (SSBG) Pre-Expenditure Report” to the citizens of Oregon for review and comment. The report reflects plans of Oregon Department of Human Services to expend SSBG funds for the 2016 fiscal year, October 1, 2015 through September 30, 2016.

This notice is given pursuant to the requirements of Title XX, Section 2004 of the Social Security Act (as enacted in the Omnibus Budget Reconciliation Act of 1981 [P.L. 97-35] and codified at 42 U.S.C. 1397c). Comments regarding this notice will be accepted through July 1, 2014.

Written comments about the FFY 2016 Pre-Expenditure Report may be submitted using the on-line form below, or mailed to:

Department of Human Services  
Office of Child Welfare Program  
Federal Compliance Unit  
500 Summer Street NE  
Second Floor, E-69  
Salem, OR 97301

A copy of the final and complete FFY 2016 SSBG application and post-expenditure report for FFY 2014 may be obtained through written request to the address listed above or may be accessed through the DHS Internet site on the World Wide Web at <http://www.oregon.gov/dhs/children/Pages/publications/index.aspx> later this year.

**APPENDIX B**

**CERTIFICATIONS**  
(attached)

## **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)

500 Summer Street NE  
Salem, OR 97301  
Marion County

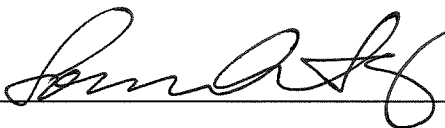
Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

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

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

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

  
\_\_\_\_\_  
Signature

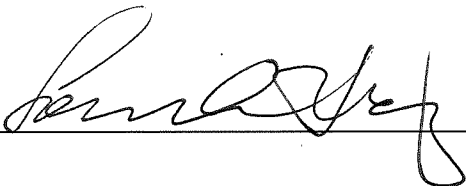
\_\_\_\_\_  
Child Welfare Director  
Title

\_\_\_\_\_  
Oregon Department of Human 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.

  
\_\_\_\_\_  
Signature

Child Welfare Director  
\_\_\_\_\_  
Title

Oregon Department of Human Services  
\_\_\_\_\_  
Organization





## **CERTIFICATION REGARDING LOBBYING**

### **Certification for Contracts, Grants, Loans, and Cooperative Agreements**

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

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

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

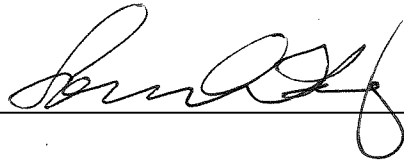
(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. 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

\_\_\_\_\_  
Child Welfare Director

Title

\_\_\_\_\_  
Oregon Department of Human Services

Organization

## **CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS**

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

#### **Instructions for Certification**

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

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

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

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

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

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

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

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



\_\_\_\_\_  
Signature

\_\_\_\_\_  
Child Welfare Director

Title

\_\_\_\_\_  
Oregon Department of Human Services

Organization





## Appendix C

### **Statewide Single Audit**

The State of Oregon Statewide Single Audit Report for the fiscal year ended June 30, 2015 is located at this link:

<http://sos.oregon.gov/audits/Documents/2015-05post.pdf>

