

## I: State Information

### State Information

#### Plan Year

Start Year:

2013

End Year:

2014

#### State DUNS Number

Number

929956324

Expiration Date

#### I. State Agency to be the Grantee for the Block Grant

Agency Name

Alabama Department of Mental Health

Organizational Unit

Substance Abuse Services Division

Mailing Address

100 North Union Street, Suite 430

City

Montgomery

Zip Code

36130-1410

#### II. Contact Person for the Grantee of the Block Grant

First Name

Sarah

Last Name

Harkless

Agency Name

Alabama Department of Mental Health

Mailing Address

100 North Union Street, Suite 430

City

Montgomery

Zip Code

36130-1410

Telephone

334-242-3953

Fax

334-242-0759

Email Address

sarah.harkless@mh.alabama.gov

#### III. State Expenditure Period (Most recent State expenditure period that is closed out)

From

10/1/2010

To

9/30/2011

#### IV. Date Submitted

NOTE: this field will be automatically populated when the application is submitted.

Submission Date

9/4/2012 6:10:10 PM

Revision Date

#### V. Contact Person Responsible for Application Submission

First Name

Sarah

Last Name

Harkless

Telephone

334-242-3953

Fax

334-242-0759

Email Address

sarah.harkless@mh.alabama.gov

Footnotes:

# I: State Information

## Assurances - Non-Construction Programs

---

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

---

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standard or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standard for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §§794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Title II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetland pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

---

|              |  |
|--------------|--|
| Name         | <input type="text" value="James Reddoch"/>                       |
| Title        | <input type="text" value="Commissioner"/>                        |
| Organization | <input type="text" value="Alabama Department of Mental Health"/> |

---

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Footnotes:

## I: State Information

### Assurances - Non-Construction Programs

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

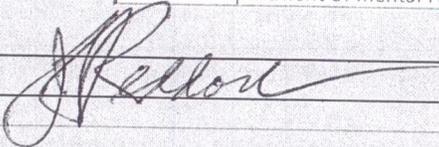
**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standard or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standard for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §§794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Title II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetland pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Name   
Title   
Organization

Signature: 

Date: 8-20-12

**Footnotes:**

# I: State Information

## Certifications

### Certifications

#### 1. Certification Regarding Debarment and Suspension

The undersigned (authorized official signing for the applicant organization) certifies to the best of his or her knowledge and belief, that the applicant, defined as the primary participant in accordance with 45 CFR Part 76, and its principals:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency;
- b. have not within a 3-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 or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- d. have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

Should the applicant not be able to provide this certification, an explanation as to why should be placed after the assurances page in the application package.

The applicant agrees by submitting this proposal that it will include, without modification, the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion--Lower Tier Covered Transactions" in all lower tier covered transactions (i.e., transactions with subgrantees and/or contractors) and in all solicitations for lower tier covered transactions in accordance with 45 CFR Part 76.

#### 2. Certification Regarding Drug-Free Workplace Requirements

The undersigned (authorized official signing for the applicant organization) certifies that the applicant will, or will continue to, provide a drug-free work-place in accordance with 45 CFR Part 76 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 work-place 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) above;
- d. Notifying the employee in the statement required by paragraph (a), above, 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).

For purposes of paragraph (f) regarding agency notification of criminal drug convictions, the DHHS has designated the following central point for receipt of such notices:

Office of Grants and Acquisition Management  
Office of Grants Management  
Office of the Assistant Secretary for Management and Budget

### 3. Certifications Regarding Lobbying

Title 31, United States Code, Section 1352, entitled "Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions," generally prohibits recipients of Federal grants and cooperative agreements from using Federal (appropriated) funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a SPECIFIC grant or cooperative agreement. Section 1352 also requires that each person who requests or receives a Federal grant or cooperative agreement must disclose lobbying undertaken with non-Federal (non-appropriated) funds. These requirements apply to grants and cooperative agreements EXCEEDING \$100,000 in total costs (45 CFR Part 93).

The undersigned (authorized official signing for the applicant organization) 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 any 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 Federally 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 of Lobbying Activities," in accordance with its instructions. (If needed, Standard Form-LLL, "Disclosure of Lobbying Activities," its instructions, and continuation sheet are included at the end of this application form.)
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, 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.

### 4. Certification Regarding Program Fraud Civil Remedies Act (PFCRA)

The undersigned (authorized official signing for the applicant organization) certifies that the statements herein are true, complete, and accurate to the best of his or her knowledge, and that he or she is aware that any false, fictitious, or fraudulent statements or claims may subject him or her to criminal, civil, or administrative penalties. The undersigned agrees that the applicant organization will comply with the Public Health Service terms and conditions of award if a grant is awarded as a result of this application.

### 5. Certification Regarding Environmental Tobacco Smoke

Public Law 103-227, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, daycare, early childhood development services, 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 also applies to children's services that are provided in indoor facilities that are constructed, operated, or maintained with such Federal funds. The law does not apply to children's services provided in private residence, portions of facilities used for inpatient drug or alcohol treatment, service providers whose sole source of applicable Federal funds is Medicare or Medicaid, or facilities where WIC coupons are redeemed.

Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 for each violation and/or the imposition of an administrative compliance order on the responsible entity.

By signing the certification, the undersigned certifies that the applicant organization will comply with the requirements of the Act and will not allow smoking within any portion of any indoor facility used for the provision of services for children as defined by the Act.

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

The Public Health Services strongly encourages all grant recipients to provide a smoke-free workplace and promote the non-use of tobacco products. This is consistent with the PHS mission to protect and advance the physical and mental health of the American people.

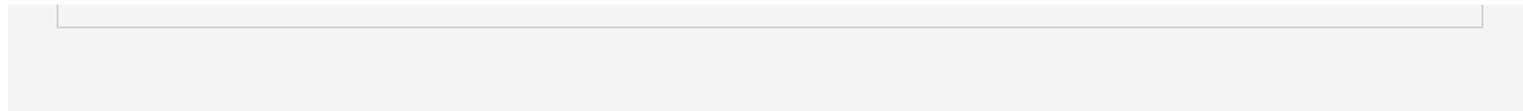
---

|              |                                     |
|--------------|-------------------------------------|
| Name         | James Reddoch                       |
| Title        | Commissioner                        |
| Organization | Alabama Department of Mental Health |

---

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Footnotes:



# I: State Information

## Chief Executive Officer's Funding Agreements/Certifications (Form 3)

FY 2013 Substance Abuse Prevention and Treatment Block Grant Funding Agreements/Certifications as required by Title XIX, Part B, Subpart II and Subpart III of the Public Health Service (PHS) Act

Title XIX, Part B, Subpart II and Subpart III of the PHS Act, as amended, requires the chief executive officer (or an authorized designee) of the applicant organization to certify that the State will comply with the following specific citations as summarized and set forth below, and with any regulations or guidelines issued in conjunction with this Subpart except as exempt by statute.

SAMHSA will accept a signature on this form as certification of agreement to comply with the cited provisions of the PHS Act. If signed by a designee, a copy of the designation must be attached.

- I. FORMULA GRANTS TO STATES, SECTION 1921
- II. Certain Allocations (Prevention Programs utilizing IOM populations ; Pregnant women and women with dependent children) Section 1922
- III. INTRAVENOUS DRUG ABUSE, SECTION 1923
- IV. REQUIREMENTS REGARDING TUBERCULOSIS AND HUMAN IMMUNODEFICIENCY VIRUS, SECTION 1924
- V. Group Homes for Recovering Substance Abusers, Section 1925
- VI. State Law Regarding Sale of Tobacco Products to Individuals Under Age of 18, Section 1926
- VII. TREATMENT SERVICES FOR PREGNANT WOMEN, SECTION 1927
- VIII. ADDITIONAL AGREEMENTS(IMPROVED REFERRAL PROCESS, CONTINUING EDUCATION, COORDINATION OF ACTIVITIES AND SERVICES), SECTION 1928
- IX. IX SUBMISSION TO SECRETARY OF STATEWIDE ASSESSMENT OF NEEDS, SECTION 1929
- X. MAINTENANCE OF EFFORT REGARDING STATE EXPENDITURES, SECTION 1930
- XI. Restrictions on Expenditure of Grant, Section 1931
- XII. APPLICATION FOR GRANT; APPROVAL OF STATE PLAN, SECTION 1932
- XIII. Opportunity for Public Comment on State Plans, Section 1941
- XIV. Requirement of Reports and Audits by States, Section 1942
- XV. ADDITIONAL REQUIREMENTS, SECTION 1943
- XVI. Prohibitions Regarding Receipt of Funds, Section 1946
- XVII. Nondiscrimination, Section 1947
- XVIII. Continuation of Certain Programs, Section 1953

XIX. Services Provided By Nongovernmental Organizations, Section 1955

XX. Services for Individuals with Co-Occurring Disorders, Section 1956

I hereby certify that Alabama will comply with Title XIX, Part B, Subpart II and Subpart III of the Public Health Service (PHS) Act, as amended, as summarized above, except for those sections in the PHS Act that do not apply or for which a waiver has been granted or may be granted by the Secretary for the period covered by this agreement.

---

|              |   |
|--------------|---|
| Name         | <input type="text" value="Robert Bentley"/>   |
| Title        | <input type="text" value="Governor"/>         |
| Organization | <input type="text" value="State of Alabama"/> |

---

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Footnotes:

## I: State Information

Disclosure of Lobbying Activities (SF-LLL)

Disclosure of Lobbying Activities (SF-LLL)

To View Standard Form LLL, Click the link below (This form is OPTIONAL)

[Standard Form LLL \(click here\)](#)

Footnotes:

NOT APPLICABLE.

### III: Use of Block Grant Dollars for Block Grant Activities

Table 6 Primary Prevention Planned Expenditures Checklist

Page 36 of the Application Guidance

| Strategy                            | IOM Target  | SAPT Block Grant | Other Federal | State     | Local | Other |
|-------------------------------------|-------------|------------------|---------------|-----------|-------|-------|
| Information Dissemination           | Universal   | \$200,000        | \$            | \$233,520 | \$    | \$    |
| Information Dissemination           | Selective   | \$               | \$            | \$        | \$    | \$    |
| Information Dissemination           | Indicated   | \$               | \$            | \$        | \$    | \$    |
| Information Dissemination           | Unspecified | \$               | \$            | \$        | \$    | \$    |
| Information Dissemination           | Total       | \$200,000        | \$            | \$233,520 | \$    | \$    |
| Education                           | Universal   | \$1,235,432      | \$            | \$        | \$    | \$    |
| Education                           | Selective   | \$               | \$            | \$        | \$    | \$    |
| Education                           | Indicated   | \$               | \$            | \$        | \$    | \$    |
| Education                           | Unspecified | \$               | \$            | \$        | \$    | \$    |
| Education                           | Total       | \$1,235,432      | \$            | \$        | \$    | \$    |
| Alternatives                        | Universal   | \$               | \$            | \$        | \$    | \$    |
| Alternatives                        | Selective   | \$685,092        | \$            | \$200,000 | \$    | \$    |
| Alternatives                        | Indicated   | \$               | \$            | \$        | \$    | \$    |
| Alternatives                        | Unspecified | \$               | \$            | \$        | \$    | \$    |
| Alternatives                        | Total       | \$685,092        | \$            | \$200,000 | \$    | \$    |
| Problem Identification and Referral | Universal   | \$               | \$            | \$        | \$    | \$    |
| Problem Identification and Referral | Selective   | \$               | \$            | \$        | \$    | \$    |
| Problem Identification and Referral | Indicated   | \$72,592         | \$            | \$        | \$    | \$    |
| Problem Identification and Referral | Unspecified | \$               | \$            | \$        | \$    | \$    |
| Problem Identification and Referral | Total       | \$72,592         | \$            | \$        | \$    | \$    |
| Community-Based Process             | Universal   | \$765,273        | \$            | \$        | \$    | \$    |

|                         |             |                         |                         |                         |                         |                         |
|-------------------------|-------------|-------------------------|-------------------------|-------------------------|-------------------------|-------------------------|
| Community-Based Process | Selective   | \$ <input type="text"/> |
| Community-Based Process | Indicated   | \$ <input type="text"/> |
| Community-Based Process | Unspecified | \$ <input type="text"/> |
| Community-Based Process | Total       | \$765,273               | \$                      | \$                      | \$                      | \$                      |
| Environmental           | Universal   | \$1,785,636             | \$ <input type="text"/> | \$ <input type="text"/> | \$ <input type="text"/> | \$ <input type="text"/> |
| Environmental           | Selective   | \$ <input type="text"/> |
| Environmental           | Indicated   | \$ <input type="text"/> |
| Environmental           | Unspecified | \$ <input type="text"/> |
| Environmental           | Total       | \$1,785,636             | \$                      | \$                      | \$                      | \$                      |
| Section 1926 Tobacco    | Universal   | \$ <input type="text"/> |
| Section 1926 Tobacco    | Selective   | \$ <input type="text"/> |
| Section 1926 Tobacco    | Indicated   | \$ <input type="text"/> |
| Section 1926 Tobacco    | Unspecified | \$ <input type="text"/> |
| Section 1926 Tobacco    | Total       | \$                      | \$                      | \$                      | \$                      | \$                      |
| Other                   | Universal   | \$ <input type="text"/> | \$1,650,487             | \$201,090               | \$ <input type="text"/> | \$ <input type="text"/> |
| Other                   | Selective   | \$ <input type="text"/> |
| Other                   | Indicated   | \$ <input type="text"/> |
| Other                   | Unspecified | \$ <input type="text"/> |
| Other                   | Total       | \$                      | \$1,650,487             | \$201,090               | \$                      | \$                      |

Footnotes:

### III: Use of Block Grant Dollars for Block Grant Activities

Table 7 Projected State Agency Expenditure Report  
Page 38 of the Application Guidance

| Activity   | A. SA Block Grant | B. Medicaid (Federal, State, and Local) | C. Other Federal Funds (e.g., ACF (TANF), CDC, CMS (Medicare) SAMHSA, etc.) | D. State Funds | E. Local Funds (excluding local Medicaid) | F. Other     |
|--|-------------------|---|---|----------------|---|--------------|
| 1. Substance Abuse Prevention and Treatment              | \$ 17,790,095     | \$ 6,751,738                            | \$ 300,000  | \$ 25,911,956  | \$  | \$ 5,072,916 |
| 2. Primary Prevention                                    | \$ 4,744,025      | \$                                      | \$ 1,650,487  | \$             | \$  | \$           |
| 3. Tuberculosis Services                                 | \$                | \$                                      | \$  | \$             | \$  | \$           |
| 4. HIV Early Intervention Services                       | \$                | \$                                      | \$  | \$             | \$  | \$           |
| 5. State Hospital  | \$                | \$                                      | \$  | \$             | \$  | \$           |
| 6. Other 24 Hour Care                                    | \$                | \$                                      | \$  | \$             | \$  | \$           |
| 7. Ambulatory/Community Non-24 Hour Care                 | \$                | \$                                      | \$  | \$             | \$  | \$           |
| 8. Administration (Excluding Program and Provider Level) | \$ 1,134,984      | \$                                      | \$ 291,262  | \$ 2,041,406   | \$  | \$           |
| 9. Subtotal (Rows 1, 2, 3, 4, and 8)                     | \$ 23,669,104     | \$ 6,751,738                            | \$ 2,241,749  | \$ 27,953,362  | \$  | \$ 5,072,916 |
| 10. Subtotal (Rows 5, 6, 7, and 8)                       | \$ 1,134,984      | \$                                      | \$ 291,262  | \$ 2,041,406   | \$  | \$           |
| 11. Total  | \$ 23,669,104     | \$ 6,751,738                            | \$ 2,241,749  | \$ 27,953,362  | \$  | \$ 5,072,916 |

Please indicate the expenditures are actual or estimated.

Actual  Estimated

Footnotes:

### III: Use of Block Grant Dollars for Block Grant Activities

Table 8 Resource Development Planned Expenditure Checklist

Page 40 of the Application Guidance

Start Year:

End Year:

| Activity                                       | A. Prevention-MH | B. Prevention-SA                       | C. Treatment-MH | D. Treatment-SA                         | E. Combined             | F. Total  |
|--|------------------|--|-----------------|---|-------------------------|-----------|
| 1. Planning, Coordination and Needs Assessment |                  | \$ <input type="text" value="50,000"/> |                 | \$ <input type="text" value="80,000"/>  | \$ <input type="text"/> | \$130,000 |
| 2. Quality Assurance                           |                  | \$ <input type="text" value="0"/>      |                 | \$ <input type="text" value="0"/>       | \$ <input type="text"/> | \$0       |
| 3. Training (Post-Employment)                  |                  | \$ <input type="text" value="30,000"/> |                 | \$ <input type="text" value="100,000"/> | \$ <input type="text"/> | \$130,000 |
| 4. Education (Pre-Employment)                  |                  | \$ <input type="text" value="0"/>      |                 | \$ <input type="text" value="0"/>       | \$ <input type="text"/> | \$0       |
| 5. Program Development                         |                  | \$ <input type="text" value="0"/>      |                 | \$ <input type="text" value="0"/>       | \$ <input type="text"/> | \$0       |
| 6. Research and Evaluation                     |                  | \$ <input type="text" value="0"/>      |                 | \$ <input type="text" value="0"/>       | \$ <input type="text"/> | \$0       |
| 7. Information Systems                         |                  | \$ <input type="text" value="0"/>      |                 | \$ <input type="text" value="180,000"/> | \$ <input type="text"/> | \$180,000 |
| 8. Total                                       | \$               | \$80,000                               | \$              | \$360,000                               | \$                      | \$440,000 |

Footnotes:

## IV: Narrative Plan

### Table 11 List of Advisory Council Members

Page 51 of the Application Guidance

Start Year:

2013

End Year:

2014

| Name              | Type of Membership | Agency or Organization Represented | Address, Phone, and Fax | Email (if available) |
|-------------------|--------------------|------------------------------------|-------------------------|----------------------|
| No Data Available |                    |                                    |                         |                      |

Footnotes:

NOT APPLICABLE

## IV: Narrative Plan

Table 12 Behavioral Health Advisory Council Composition by Type of Member

Page 52 of the Application Guidance

Start Year:

2013

End Year:

2014

| Type of Membership   | Number | Percentage |
|--|--------|------------|
| Total Membership   | 0      |            |
| Individuals in Recovery (from Mental Illness and Addictions)                   | 0      |            |
| Family Members of Individuals in Recovery (from Mental Illness and Addictions) | 0      |            |
| Vacancies (Individuals and Family Members)                                     | 0      |            |
| Others (Not State employees or providers)                                      | 0      |            |
| Total Individuals in Recovery, Family Members & Others                         | 0      | 0%         |
| State Employees  | 0      |            |
| Providers  | 0      |            |
| Leading State Experts  | 0      |            |
| Federally Recognized Tribe Representatives                                     | 0      |            |
| Vacancies  | 0      |            |
| Total State Employees & Providers  | 0      | 0%         |

Indicate how the Planning Council was involved in the review of the application. Did the Planning Council make any recommendations to modify the application?

Footnotes:

NOT APPLICABLE