

ARKANSAS

Department of Human Services

Social Services Block Grant

PRE-EXPENDITURE REPORT

State Fiscal Year

July 1, 2011- June 30, 2012



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MARK MARTIN
SECRETARY OF STATE
STATE OF ARKANSAS
BY _____

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**Arkansas Department
of Human Services
OFFICE OF FINANCE AND ADMINISTRATION**



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501-682-6293

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(date to be inserted)

Ms. Marsha Werner
Office of Community Services
Administration for Children and Families
U.S. Department of Health and Human Services
370 L'Enfant Promenade, SW
Washington, DC 20447

Dear Ms. Werner:

Enclosed is the Social Services Block Grant (SSBG) Pre-expenditure Report for the State of Arkansas. The report covers State Fiscal Year 2012, for the period 07/01/11 through 06/30/12,

Comments or questions regarding this report should be addressed to the Arkansas SSBG contact individual:

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Sincerely,

Jan Young

Jan Young
Budget Analyst

cc: John Selig, Director
Jerry Berry, CFO
Don Crocker, Assistant Director
Rex Jones, Assistant Director

**ARKANSAS DEPARTMENT OF HUMAN SERVICES
SOCIAL SERVICES BLOCK GRANT PRE-EXPENDITURE REPORT
July 1, 2011 - June 30, 2012**

TABLE OF CONTENTS

		page
ACRONYMS		3
I.	PUBLIC INVOLVEMENT IN DEVELOPMENT OF THE PRE-EXPENDITURE REPORT	4
II. ADMINISTRATIVE OPERATIONS OF THE ARKANSAS SSBG PROGRAM		6
A.	Organization of DHS	6
B.	Non-discrimination Policy	8
C.	Certifications	8
D.	Program Coordination and Utilization	8
III. FISCAL OPERATIONS OF THE ARKANSAS SSBG PROGRAM		10
A.	Introduction	10
B.	Planning Financial Data	10
C.	Total Estimated Funding per Source by Division/Office	14
D.	Funding Percentages	14
E.	Reporting	15
F.	Program Monitoring and Evaluation	15
G.	Other Funding for Services	15
H.	Cost Allocation	15
IV. PROGRAM OPERATIONS OF THE ARKANSAS SSBG PROGRAM		16
A.	Statutory Goals	16
B.	Eligibility Requirements	16
C.	Application Process	17
D.	Maximum Allowable Income	17
V. SERVICES AND ACTIVITIES OF THE ARKANSAS SSBG PROGRAM		19
A.	Social Services Delivery in Arkansas	19
B.	SSBG Services Summary of Division/Office Participation	20
C.	Introduction to Service Definitions	21
D.	Service Definitions	21
E.	Pilot Projects	26
F.	Service Summary Sheets	26
VI. FEDERAL REPORTING FORM, OMB NO. 0970-0234		39
A.	Part A. - Estimated Expenditures and Proposed Provision Method	40
B.	Part B. - Estimated Recipients	41
VII. APPENDICES		42
A.	Documentation of Public Hearing	43
B.	Proof of Audit	44
C.	Certifications	46

ACRONYMS

ARS	Arkansas Rehabilitation Services
CSS	Contract Support Section, Office of Finance and Administration
DAAS	Division of Aging and Adult Services
DBHS	Division of Behavioral Health Services
DCCECE	Division of Child Care and Early Childhood Education
DCFS	Division of Children and Family Services
DCO	Division of County Operations
DDS	Division of Developmental Disabilities Services
DHS	Department of Human Services
DMS	Division of Medical Services
DCSNS	Division of Community Service and Nonprofit Support
DSB	Division of Services for the Blind
DYS	Division of Youth Services
OCC	Office of Chief Counsel
OFA	Office of Finance and Administration
SCC	Spinal Cord Commission
SSBG	Social Services Block Grant
SSI	Social Security Income
TEA	Transitional Employment Assistance

ARKANSAS DEPARTMENT OF HUMAN SERVICES SOCIAL SERVICES BLOCK GRANT PRE-EXPENDITURE REPORT

I. PUBLIC INVOLVEMENT IN DEVELOPMENT OF THE PRE-EXPENDITURE REPORT

Social Services Block Grant (SSBG) legislation enables states to claim limited federal funds to provide social services for individuals and families. The services are designed to assist individuals or families to become less dependent on others for financial support or personal care; to protect children and adults from neglect, abuse, or exploitation and to provide family maintenance; to avoid unnecessary or premature institutionalization; and to gain appropriate placement if institutionalization is necessary.

Each state is responsible for determining the social services most appropriate for its citizens. In Arkansas, citizens are involved in the planning process and have an opportunity to respond to planning decisions.

Arkansas uses the Pre-expenditure Report to inform the State's citizens of its plans for implementing the SSBG program and to meet the SSBG pre-expenditure reporting requirements. Arkansas posts the Pre-expenditure Report at the following website, <http://www.arkansas.gov/dhs/NewDHS/DHSwork.html>, which is available to the public. Arkansas considers any feedback received from the public, including service recipients, service providers, and other interested citizens, throughout the program year and in its preparation of updates that are necessary to reflect substantial changes which affect the overall intent of the Pre-expenditure Report. All updates are made available to the public at the above website as well.

For an update to the Pre-expenditure Report, in accordance with DHS Policy 1052, DHS submits the proposed update to DHS Executive Staff and the DHS Office of Chief Counsel (OCC) for review and comment. Upon their approval, DHS proceeds to initiate the public review and comment period by publishing the short Notice of Rule Making in a newspaper of general, statewide circulation. In addition, DHS forwards a longer Notice of Rule Making to the Arkansas Secretary of State for their posting for a 30-day review and comment period on the Secretary of State website. This affords all interested members of the public a 30-day opportunity to submit comments, orally or in writing.

Questions and comments regarding the Pre-expenditure Report are welcomed at any time throughout the program year and should be sent to the Office of Finance and Administration (OFA) at the address listed below.

Arkansas Department of Human Services
Office of Finance and Administration, Slot W401
P.O. Box 1437
Little Rock, AR 72203

Comments pertaining to aspects of the program for which a division or office has responsibility will be forwarded to that division or office for response. Changes made as a result of public comment will be included in an update to the Pre-expenditure Report.

**ARKANSAS DEPARTMENT OF HUMAN SERVICES
SOCIAL SERVICES BLOCK GRANT PRE-EXPENDITURE REPORT**

II. ADMINISTRATIVE OPERATIONS OF THE ARKANSAS SSBG PROGRAM

A. Organization of DHS

Arkansas DHS is the State agency designated to administer the State's SSBG program. DHS is a cabinet agency within the executive branch of Arkansas government. The DHS Director reports to the Governor of Arkansas and is responsible for the administration of this unified human service delivery agency. In its delivery of services to the citizens of Arkansas, DHS exemplifies its Mission Statement: **"Together we improve the quality of life of all Arkansans by protecting the vulnerable, fostering independence, and promoting better health."**

DHS is organized into the following divisions and offices:

- Office of Finance and Administration (OFA)
- Division of Aging and Adult Services (DAAS)
- Division of Behavioral Health Services (DBHS)
- Division of Child Care and Early Childhood Education (DCCECE)
- Division of Children and Family Services (DCFS)
- Division of County Operations (DCO)
- Division of Developmental Disabilities Services (DDS)
- Division of Medical Services (DMS)
- Division of Services for the Blind (DSB)
- Division of Community Service and Nonprofit Support (DCSNS)
- Division of Youth Services (DYS)
- Office of Chief Counsel (OCC)

The functions of each division and office involved in the delivery of services funded through SSBG are described below.

OFA manages SSBG funding for DHS and is responsible for preparation of the Pre-expenditure Report and Post-expenditure Report. OFA develops and reviews DHS contracts for social services funded by SSBG and monitors them for administrative compliance and compatibility with the five statutory goals of SSBG.

DAAS is charged with representing older citizens by advocating, planning, and developing programs to meet their specific needs. Priority services include transportation, nutrition, and socialization. DAAS is also involved with chore services, adult day care, in-home services, and preventive care services.

DBHS is responsible for:

- developing comprehensive mental health programs at the community and state levels;
- searching for new prevention and treatment programs;

- providing leadership in mental health research and training;
- providing detoxification services;
- providing Drug and Alcohol Safety Educational Programs;
- planning, establishing, maintaining, coordinating and evaluating projects for the development of more effective prevention, intervention and treatment programs/activities to deal with alcohol and other drug abuse;
- administering the Governor's Office portion of the Department of Education Drug-Free Schools and Communities;
- developing and implementing broadly-based programs of alcohol and drug abuse education and prevention, including programs for high-risk youth; and
- providing drug abuse resistance education and replication of successful drug education programs.

DBHS assists several facilities to provide varying types of mental health and substance abuse services, including the Arkansas State Hospital at Little Rock, AR (for intensive care), the Arkansas Health Center at Benton, AR (for comprehensive care), and local private nonprofit organizations (which provide in-patient and out-patient mental health services and drug and alcohol abuse and treatment services).

DCFS is responsible for the delivery and coordination of services for children and families, including foster care, protective services and other child welfare services. DCFS also purchases treatment programs for youth with emotional/behavioral problems. DCFS has the responsibility to inspect, monitor, investigate and make licensing recommendations to the Child Welfare Agency Review Board. The Board licenses all non-exempt child welfare agencies (residential, foster care and adoption). DCFS is a member of the Child Welfare League of America.

DCO has responsibility for the administration of the DHS county offices. DCO determines eligibility for the Medicaid, Temporary Assistance to Needy Families (Transitional Employment Assistance [TEA] and WORK PAYS), and Supplemental Nutrition Assistance Program (SNAP, formerly Food Stamp) programs. DCO also provides Commodity Distribution, Community Services (which includes Community Services Block Grant services, Homeless services, Weatherization and Low Income Energy Assistance), and Emergency Food.

DDS is charged with development, funding, and licensing of program services for persons of all ages with a developmental disability. This includes the coordination of a continuum of services ranging from case management to residential placement. DDS provides technical assistance and program support functions to all service providers. The Board of Developmental Disabilities Services operates human development centers which offer residential care to persons with developmental disabilities at six locations in the state.

DSB provides services which aid blind and visually impaired persons in attaining self-sufficiency and self-support through training, counseling, and other supportive activities. DSB operates programs focusing on independent living and vocational counseling. In addition, DSB operates the State's blind vending facility program.

DYS provides overall management and administration of juvenile services for adjudicated delinquents and families in need of services and certain categories of non-adjudicated youth. **DYS** is responsible for funding, oversight and monitoring and for providing technical assistance to the Youth Services facility at Alexander, AR, to five contracted serious offender programs and to a statewide network of community-based programs. **DYS** also administers the Juvenile Justice and Delinquency Prevention Act formula grant funds for the development and implementation of juvenile justice education, prevention, diversion, treatment and rehabilitative programs. The Arkansas Coalition on Juvenile Justice, appointed by the Governor, provides policy direction and sub-grant approval.

OCC, through its sections of Legal Operations, County Operations, Quality Assurance (Fraud Investigations and Audit), and Appeals and Hearings, provides legal review and representation, fraud, and internal investigations, audit functions, and administrative hearings for all of DHS.

The following Arkansas State agencies, which are NOT within DHS, also utilize SSBG funding:

- Arkansas Department of Career Education, Arkansas Rehabilitation Services (ARS)
- Arkansas Spinal Cord Commission (SCC)

B. Non-discrimination Policy

DHS is in compliance with Titles VI and VII of the Civil Rights Act and is operated, is managed, and delivers services without regard to age, religion, disability, political affiliation, veteran status, sex, race, creed, color or national origin. DHS gives assurance that it will comply with the applicable nondiscrimination provisions of the Civil Rights Act of 1964, Sections 503 and 504 of the Rehabilitation Act of 1973, Title IX of the Education Amendments of 1972, the Age Discrimination Act of 1975, the Americans with Disabilities Act of 1990, and the provisions of 45 CFR, Part 92.

C. Certifications

In consideration of and for the purpose of obtaining the federal financial assistance requested through this Pre-expenditure Report, DHS certifies adherence to the following, copies of which can be found in the Appendices.

- Certification Regarding Debarment, Suspension and Other Responsibility Matters
- Certification Regarding Environmental Tobacco Smoke
- Certification Regarding Drug-free Workplace Requirements
- Certification Regarding Lobbying

D. Program Coordination and Utilization

The provision of social services under SSBG is coordinated with other programs providing related human services within the State. It is vital to continually coordinate these programs in order to appropriately utilize social service dollars and service

programs to meet the needs of the low income population. Some of the programs with which the provision of social services under SSBG is coordinated include:

1. Coordination with Economic Assistance Programs

Temporary Assistance to Needy Families (Title IV-A): The provision of financial assistance to low income persons is mandated under Title IV-A of the Social Security Act. Social Services are provided for TEA/WORK PAYS recipients through the SSBG program. The TEA/WORK PAYS program includes a work and training program for TEA/WORK PAYS recipients, has an integral part in the provision of supportive services, and requires coordination with SSBG programs.

Supplemental Security Income (SSI): The Social Security Administration determines eligibility and issues payments for the SSI program for the needy, blind, disabled and aged citizens of Arkansas.

2. Coordination with Medical Assistance Programs

Medicaid (Title XIX): Title XIX of the Social Security Act, the federal statutory basis for the Medical Assistance Program, allows the state to provide financial assistance for low income persons to assist them in securing certain necessary medical services. The cost of the medical services provided to social service clients is covered primarily through the Medical Assistance Program and in accordance with the Arkansas Title XIX Medical Assistance Plan which defines those medical services reimbursable under Title XIX. Services which are inherent responsibilities of a Title XIX facility and intrinsic to its purpose must be provided by the facility under its Title XIX program, not from SSBG funds. Any costs of services not reimbursable through other provisions of the Medical program must be paid from the Title XIX vendor payment. Activities or services which meet, duplicate, or substitute for a facility's service requirements under Title XIX may not be paid for under SSBG. The state may receive reimbursement on a case-by-case basis for some medical or remedial services under SSBG if the client is eligible, if the service is not covered in the Title XIX State Plan or by Medicare, and if the service provided is clearly an integral but subordinate part of a discrete social service specifically defined as such in this Pre-expenditure Report.

3. Coordination with Child Welfare Programs

Child Welfare Programs: Both federal and state law mandate a child welfare service delivery system directed at safety and child protection, preserving and strengthening family life, providing permanency for children who cannot remain or be reunited with their families, and support services for other youth until they reach the age of majority. Title IV-E and Title IV-B, parts I and II, fund the preponderance of the DCFS program budget for social services and foster care, adoptions, and child welfare training. SSBG funds a relatively smaller portion of the program budget for purchased services costs.

**ARKANSAS DEPARTMENT OF HUMAN SERVICES
SOCIAL SERVICES BLOCK GRANT PRE-EXPENDITURE REPORT**

III. FISCAL OPERATIONS OF THE ARKANSAS SSBG PROGRAM

A. Introduction

Federal funding is made available to states through SSBG which was established in October, 1981, and which continued the service program funding initially made available through Title XX of the Social Security Act, which was established in 1975.

At the outset of Title XX in 1975, the federal funding level was set at \$2.5 billion nationwide, available to states at a 75 percent rate with 25 percent matching required; an additional \$200 million nationwide was appropriated for day care programs, but without the matching requirement.

With the enacting of SSBG in 1981, the funding was combined into one allotment. The total of this federal funding has varied over the years of the program's operation.

For federal fiscal year 2012, Arkansas is anticipating an allotment of **\$15,910,587**.

Federal funding allotments to states are based on the federal fiscal year which is in effect from October 1 through September 30. The Arkansas SSBG program operates on the state fiscal year which runs from July 1 through June 30. This is done so that the program can be coordinated as closely as possible with the state budget cycle.

B. Planning Financial Data

Total funding for the Arkansas SSBG program is made up of funds from SSBG and state and local matching (donated and appropriated). The table below shows funding from each source and total estimated funding for state fiscal year 2012.

**ESTIMATED SSBG FUNDING FOR ARKANSAS
FOR STATE FISCAL YEAR 2012**

3,977,647 for 3 months of FFY 2011 ($\$15,910,587 \times 25\%$)	
11,932,940 for 9 months of FFY 2012 ($\$15,910,587 \times 75\%$)	
<u>15,910,587</u>	
SSBG Funding	15,910,587
State and Local Matching	\$2,078,756
	<u>17,989,343</u> TOTAL

Based upon historical data, funding availability, and anticipated needs, the DHS Director allocates funds to each program area within DHS and to ARS and Arkansas SCC. In turn, these agencies set funding levels for services, based upon

historical usage, public input, anticipated needs, and available resources, upon other things.

SSBG funding is utilized to purchase services from public and private community programs throughout the state (**purchased services**) and to pay for the cost of services delivered by staff of agencies within the state, i.e., DHS, ARS, and Arkansas SCC (**direct services**). Some of the costs incurred by the state in administering the program (**administrative costs**) are also funded through SSBG.

- **DIRECT:** Direct program costs are those specifically identified with the delivery of a particular service or activity to achieve one of the five statutory goals of the SSBG program. Direct program costs also include technical assistance and management expenditures related directly to the provision of any of those services; they include activities with administrative qualities that support the provision of a particular SSBG service, not general administration of the grant. Direct program support for SSBG goals and service categories is provided by seven program divisions and two offices of DHS, as well as by ARS and Arkansas SCC.

NOTE: For OFA, Contract Support Section, a support office to the seven program divisions, those costs that are not administrative in nature are allocated to costs of services purchased by the program divisions. Direct activities for OFA may include meeting with service providers and clients, developing and reviewing contractual documents for the purchase of services, and relevant travel for these activities.

- **ADMINISTRATIVE:** Only DBHS, DSB, OFA, and DCFS utilize SSBG funding for administrative costs. Administrative costs are those associated with central executive functions that do not directly support the provision of a specific project or service within the scope of coverage of SSBG. Administrative costs are those which cannot be attributed to service recipients and are incurred for common objectives that benefit multiple programs. Activities considered administrative include cost of overall program planning, policy development, budgeting, funds management, reporting, personnel activity, generalized training, and office management.

No more than 9% of the total expenditures of federal funds will be dedicated to administrative costs.

Historical data maintained by DBHS and OFA regarding their time and activities support their allocation of costs between direct and administrative. The only administrative cost DCFS plans to fund with SSBG is the purchase of child abuse and neglect training for their staff.

DHS has elected to fund all other SSBG administrative expenditures from other sources in order to have more SSBG funds available for the purchase or direct delivery of services. For those situations, only the costs funded by SSBG have been shown.

**DHS ALLOCATIONS
FOR SSBG FUNDING**

FOR STATE FISCAL YEAR 2012

Agency or Program Area	Match	Federal	Total
OFA (Contract Support Section)	\$0	\$1,295,723	\$1,295,723
OFA (Financial Management)ADMIN	\$0	\$139,733	\$139,733
OFA (Financial Management)SERVICES	\$0	\$120,000	\$120,000
DAAS	\$0	\$2,119,973	\$2,119,973
DCFS	\$0	\$1,986,770	\$1,986,770
DCO	\$3,439	\$66,554	\$69,993
DDS	\$192,729	\$2,833,984	\$3,026,713
DBHS (Mental Health)	\$275,291	\$1,383,365	\$1,658,656
DBHS (Alcohol and Drug)	\$10,003	\$537,814	\$547,817
DSB	\$0	\$17,943	\$17,943
DYS	\$1,274,523	\$3,823,570	\$5,098,093
OCC	\$0	\$616,846	\$616,846
ARS	\$287,436	\$862,307	\$1,149,743
SCC	\$35,335	\$106,005	\$141,340
TOTALS	\$2,078,756	\$15,910,587	\$17,989,343

C. Total Estimated Funding per Source by Division/Office

Division/Office	Federal \$	State \$	Local Donated \$	Local Appropriated \$	Total \$
OFA (CSS)*	\$1,295,723	\$0	\$0	\$0	\$1,295,723
OFA (Fin.Mng.) *	\$139,733	\$0	\$0	\$0	\$139,733
OFA (Fin.Mng.)	\$120,000	\$0	\$0	\$0	\$120,000
DAAS	\$2,119,973	\$0	\$0	\$0	\$2,119,973
DCFS*	\$1,986,770	\$0	\$0	\$0	\$1,986,770
DCO	\$66,554	\$3,439	\$0	\$0	\$69,993
DDS	\$2,833,984	\$0	\$192,729	\$0	\$3,026,713
DBHS*	\$1,921,179	\$10,003	\$127,636	\$147,655	\$2,206,473
DSB*	\$17,943	\$0	\$0	\$0	\$17,943
DYS	\$3,823,570	\$1,274,523	\$0	\$0	\$5,098,093
OCC*	\$616,846	\$0	\$0	\$0	\$616,846
ARS	\$862,307	\$154,834	\$132,602	\$0	\$1,149,743
SCC	\$106,005	\$35,335	\$0	\$0	\$141,340
TOTAL	\$15,910,587	\$1,478,134	\$452,967	\$147,655	\$17,989,343

* Of the planned federal amount, the following is dedicated for Administrative expenses:

OFA (Contract Support Section)	\$701,743
OFA (Financial Management)	\$139,733
DBHS	\$26,400
DCFS	\$35,000
DSB	\$17,943
OCC	\$45,000

TOTAL **\$965,819** 6.07% of planned federal allocation

D. Funding Percentages

Approximate funding percentages are as follows:

- 88.44% federal SSBG funding
- 8.22% State funding
- 2.52% Local Donated funding
- 0.82% Local Appropriated funding
- 100.00% Total Funding

E. Reporting

Arkansas has a reimbursement system that provides service delivery data to provide an accurate picture of service delivery patterns for the Arkansas SSBG program, which is instrumental in the planning process.

OFA prepares and compiles reports containing information about services delivered to clients and service expenditures. This Post-expenditure Report addresses expenditures by service, age range of recipients, and statutory goals.

F. Program Monitoring and Evaluation

Each DHS division and office is responsible for monitoring and evaluating (either directly or through contract) all services provided with its allocation of SSBG funds. This monitoring is crucial to determining the effectiveness of the SSBG-funded programs and, therefore, significant in future planning. Evaluations include on-site monitoring visits on a sampling basis.

The reviews are based on federal and state regulations, the contract agreement, licensing and certification standards, program criteria and guidelines, and social work practice. In addition to the monitoring and evaluation performed by the appropriate division or office, each contract provider is to utilize an internal monitoring and evaluation process. The monitoring component should insure that the services billed are delivered to eligible clients in accordance with the terms of the contract. The evaluation should indicate the degree of achievement attributable to the program in relation to stated program goals and objectives.

G. Other Funding for Services

DHS divisions and offices, as well as the two agencies which are not within DHS (ARS and SCC), utilize a variety of federal, state, and other funding along with SSBG funding in the programs for which they are responsible, to maximize service provision.

H. Cost Allocation

DHS Divisions/Offices: Costs are allocated to programs, including SSBG, in accordance with the DHS Cost Allocation Plan approved by the federal Department of Health and Human Services, Division of Cost Allocation. Expenditures are charged directly to the program(s) involved, through the Cost Center(s)/Internal Order(s) in which they incurred.

For ARS and SCC, similarly, expenditures are charged directly to the program(s) involved, through the cost Center(s)/Internal Order(s) in which they incurred.

**ARKANSAS DEPARTMENT OF HUMAN SERVICES
SOCIAL SERVICES BLOCK GRANT PRE-EXPENDITURE REPORT**

IV. PROGRAM OPERATIONS OF THE ARKANSAS SSBG PROGRAM

A. Statutory Goals

Each service provided to an individual must be directed at one of the following statutory goals:

1. Achieving or maintaining economic self-support to prevent, reduce, or eliminate dependency
2. Achieving or maintaining self-sufficiency, including reduction or prevention of dependency
3. Preventing or remedying neglect, abuse, or exploitation of children and adults unable to protect their own interest, or preserving, rehabilitating or reuniting families
4. Preventing or reducing inappropriate institutional care by providing for community-based care, home-based care, or other forms of less intensive care
5. Securing referral or admission for institutional care when other forms of care are not appropriate, or providing services to individuals in institutions

B. Eligibility Requirements

SSBG funded services are provided free of cost to those who are eligible.

In order to receive a service paid through SSBG funds, an individual must meet three basic requirements:

- The individual must need the service in order to attain or maintain one of the five statutory goals.
- The individual must be a legal resident of the State of Arkansas while receiving the service.
- The individual must meet the financial criteria peculiar to the service for which application is made.

The eligibility categories for financial criteria are defined as follows:

TEA/WORK PAYS: This category refers to recipients of TEA/WORK PAYS as well as essential persons and adult relatives whose needs were taken into account in determining the TEA/WORK PAYS grant.

SSI: This category refers to any aged, blind, or disabled individual receiving SSI benefits.

Income Eligible Recipients: This category refers to individuals whose income does not exceed the income levels shown below. Eligibility under this category is based on percentages of median income adjusted by family size. The income scale is based on the Estimated State Median Income for Federal Fiscal Year 1998 issued by the Administration for Children and Families, Department of Health and Human Services.

Without Regard to Income: This category refers to individuals for whom financial status is not considered.

Individuals receiving Protective Services for Adults or Protective Services for Children are eligible for SSBG services under this designation. When required by a protective service case plan, any service funded by SSBG and described in this Pre-expenditure Report may be provided without regard to income.

Services to DCFS clients may be provided without regard to income if they are needed as a result of a case plan for:

- family support/reunification,
- prevention or remedy of abuse, neglect or exploitation of children,
- crisis intervention with children and families, or
- helping adoptive and extended families at risk or in crisis.

Documentation supporting the use of this category for DCFS clients must be retained in the provider's case record.

Services to DDS clients that are needed as a result of a case plan for DDS may be provided without regard to income. The required documentation is an Individual Program Plan and DDS eligibility determination, which must be retained in the provider's case record.

Services by Special Olympics of Arkansas needed as a result of a determination of eligibility for Special Olympics services by an agency or a professional in any given local area may be provided without regard to income. The required documentation showing eligibility for Special Olympics services, legal Arkansas residency and need for service would be at the local level. These requirements would result in an exception to completing the DHS100 for the participants/guardians who would not have to complete the form.

Individuals who need services provided from ARS as a result of a case plan for services related to obtaining employment, independent living or supported employment. The documentation required to be retained in the client's record consists of the ARS Certification of Eligibility and the Individualized Plan for Employment, Independent Living or Supported Employment.

Status Eligible: This category can be used to establish eligibility for clients of DYS who fall into the priority target population of DYS. Youth in this category are eligible regardless of financial status; however, documentation must exist in the provider's case record that the youth is either a delinquent or family in need of services or at risk when referred by parent or guardian, law enforcement, mental health professional, or school.

Additional or substitute requirements to satisfy eligibility standards may only be established on an individual contract basis upon written approval by the DHS Chief Fiscal Officer or designee.

C. Application Process

Application for services may be made either by the applicant or the applicant's authorized representative in the office of a contract provider or in the DHS county office in the county in which the applicant resides.

D. Maximum Allowable Income

Under the direction of OFA, contract provider agencies generally assume responsibility for completion of application documents, determination of the client's residency and eligibility, and authorization for purchased services as appropriate.

Financial eligibility is determined on the basis of the applicants' statements (referred to as the Declaration Method). The staff shall inform the applicant that he or she has a right to a hearing if dissatisfied either with the handling of the application or the length of time between a favorable decision of eligibility and receipt of the service.

**MAXIMUM ALLOWABLE INCOME FOR SSBG ELIGIBILITY
FOR PROGRAM YEAR SFY 2012, SHOWN BY FAMILY SIZE**

**BASED ON GROSS 1998 MEDIAN INCOME SCALE
Sixty Percent Scale**

Family of 1	\$12,018	Family of 6	\$30,508
Family of 2	\$15,716	Family of 7	\$31,201
Family of 3	\$19,414	Family of 8	\$31,895
Family of 4	\$23,112	Family of 9	\$32,588
Family of 5	\$26,810	Family of 10	\$33,281

For over ten family members, add \$693 to the annual income for a family size of ten for each additional member.

A family is one or more adults and children, if any, related by blood or law and residing together in the same household. Spouses are legally responsible for each other and shall be considered as a part of the same family unit unless they reside in separate households (e.g., one spouse in a supervised living facility). If either spouse has legal responsibility for a child, then both spouses and the child are considered as a family unit. Where adults other than spouses reside together, each is considered a separate family by the State. Emancipated minors and children living under the care of individuals not legally responsible for their care are considered one-person families by the State.

**ARKANSAS DEPARTMENT OF HUMAN SERVICES
SOCIAL SERVICES BLOCK GRANT PRE-EXPENDITURE REPORT**

V. SERVICES AND ACTIVITIES OF THE ARKANSAS SSBG PROGRAM

A. Social Services Delivery in Arkansas

Federal SSBG legislation enables DHS to provide social services to eligible individuals and families throughout the State. These services are provided directly by agencies within DHS and through public or private community-based service providers. All services are available statewide. The following services are offered by DHS through SSBG, numerically by SSBG code:

SSBG Code and Title		DHS Code and Title	
01	Adoption Services	01	Adoption Services
02	Case Management	02	Case Management
03	Congregate Meals	36	Congregate Meals
04	Counseling Services	29	Mental Health Services
		43	Mental Health Services, Add'l Units
05	Day Care -- Adults	05	Day Care for Adults
06	Day Care - Children	30	Day Services for Developmentally Disabled Children
07	Education and Training Services	26	Training and Education Services
08	Employment Services	22	Supportive Services for the Blind
13	Home-Based Services	03	Chore Services
14	Home-Delivered Meals	12	Home-Delivered Meals
16	Independent/Transitional Living Svcs	52	Substitute Care for Youth, Add'l Units
18	Legal Services	35	Coordinated Court Services
20	Prevention & Intervention	38	Supportive Services for Children and Families
		54	Community Integration Services
		55	Supportive Services for Children and Families, Add'l Units
		56	Prevention/Intervention Services
21	Protective Services--Adults	17	Protective Services for Adults
22	Protective Services--Children	18	Protective Services for Children
23	Recreation Services	21	Socialization & Recreation Services
24	Residential Treatment	24	Substitute Care for Children
		42	Substitute Care for Youth
25	Special Services--Disabled	23	Special Services for the Disabled
		46	Developmentally Disabled Services
		50	Supported Living Services
		53	Developmentally Disabled Services, Add'l Units
26	Special Services--Youth at Risk	20	Non-residential Services for Youth
		33	Interstate Compact on Juveniles
		51	Non-residential Services for Youth, Add'l Units
27	Substance Abuse Services	25	Supervised Living Services
28	Transportation	27	Transportation Services

B. SSBG SERVICES SUMMARY OF DIVISION/OFFICE PARTICIPATION

SSBG Title	DHS Title, Alphabetically	Program Agency	Direct	Purchase
Adoption Services	Adoption Services	DCFS		X
Case Management	Case Management Services	DDS		X
Home-Based Services	Chore Services	DAAS		X
Prevention and Intervention	Community Integration Services	DDS		X
Congregate Meals	Congregate Meals	DAAS		X
Legal Services	Coordinated Court Services	DCFS		X
Day Care - Children	Day Services for DD Children	DDS		X
Special Services - Disabled	Developmentally Disabled Svcs	DDS		X
	Devel. Disabled Svcs, Add'l Units	DDS		X
Home-Delivered Meals	Home Delivered Meals	DAAS		X
Special Services Youth at Risk	Interstate Compact on Juveniles	DYS		X
Counseling Services	Mental Health Services	DBHS		X
		OFA(CSS)	X	
Special Services Youth at Risk	Non-residential Svcs for Youth	DBHS		X
		OFA(CSS)	X	
Special Services Youth at Risk	Non-residential Services for Youth, Add'l Units	DYS		X
		DYS		X
Prevention and Intervention	Prevention/Intervention Services	DBHS	X	X
Protective Services - Adults	Protective Services for Adults	DAAS		X
		OCC	X	
		OFA(CSS)	X	
Protective Services - Children	Protective Services for Children	OCC	X	
Recreation Services	Socialization/Recreation Services	DAAS		X
Special Services - Disabled	Special Services for the Disabled	DBHS		X
		ARS	X	
		DCO		X
		DDS		X
		OFA(CSS)	X	
		SCC	X	
Residential Treatment	Substitute Care for Children	OFA (FM)		X
	Substitute Care for Youth	DYS		X
Independent/Transitional Liv.Svcs	Substitute Care/ Youth, Add'l Units	DYS		X
Substance Abuse Services	Supervised Living Services	DBHS		X
		OFA(CSS)	X	
		ARS		X
		DCFS		X
Special Services - Disabled	Supported Living Services	DDS		X
Employment Services	Supportive Services for the Blind	OFA(CSS)	X	
Prevention and Intervention	Supportive Svcs/Children & Fam.	DBHS	X	X
		DCFS		X
		DCO		X
		OFA(CSS&FM)	X	

CONTINUED

SSBG Title	DHS Title, Alphabetically	Program Agency	Direct	Purchase
Prevention and Intervention	Supportive Svcs/Children & Fam., Add'l Units	DCFS		X
Education and Training	Training & Education	ARS	X	
Transportation	Transportation Services	DAAS		X
		DDS		X

C. INTRODUCTION TO SERVICE DEFINITIONS

Service definitions provide a general, overall picture of service activities and objectives. A particular service may be provided by one or more program agencies; regardless of which agency provides the service, the definition always remains the same. Services are tailored specifically to the client population served by a division or office through choices of goals, eligibility categories, and allowable activities. Detailed service pages for each program agency are located in the *Social Services Block Grant Program Manual*.

D. SERVICE DEFINITIONS

Adoption Services (corresponding federal name, **Adoption Services**):

Services or activities provided to assist in bringing about the adoption of a child. Component services and activities may include but are not limited to counseling the biological parent(s), recruitment of adoptive homes, and pre- and post-placement training and/or counseling.

Case Management Services (corresponding federal name, **Case Management Services**):

Services provided by a certified case manager chosen by the consumer whose role is to locate, coordinate and monitor a group of services. Services may include: (1) responsibility for ensuring the development, implementation, monitoring and modification of the Individual Service Plan through an interdisciplinary team process; (2) linkage with appropriate community resources; (3) coordination of service providers responsible for furnishing services needed; and (4) monitoring of progress towards the achievement of objectives specified in the Individual Service Plan.

Chore Services (corresponding federal name, **Home-Based Services**):

The performance of household chores such as running errands, preparing food, performing simple household tasks, doing heavy cleaning, and providing yard and walk maintenance which a client is unable to do alone and which do not require the services of a trained homemaker or other specialist. Chore services do not include medically-oriented Personal Care tasks or any household management tasks such as menu planning, bill paying, checking account management, etc.

Community Integration Services (corresponding federal name, **Prevention and Intervention**):

Services to children and their families and adults based upon a Multi-Agency Plan of Services. The services are designed to allow persons the supports needed for them to function in a community setting.

Congregate Meals (corresponding federal name, **Congregate Meals**):

Services to provide hot meals (or others, as appropriate) that contain at least 1/3 of the nutritional value of the Recommended Daily Allowance. Meals are served in a group setting such as a senior center or elderly housing facility.

Coordinated Court Services (corresponding federal name, **Legal Services**):

Services delivered at the request of a court which may include gathering information about a family or families and presentation of the information to the court in a written report. Testimony in court about the report may be required. Supervision of visitation and development of a written report resulting from the visitation may also be included.

Day Care for Adults (corresponding federal name, **Day Care – Adults**):

A group program designed to provide care and supervision to meet the needs of four or more functionally impaired adults for periods of less than twenty-four hours but more than two hours per day in a place other than the adult's home.

Day Services for Developmentally Disabled Children (corresponding federal name, **Day Care – Children**):

Services to children and families of children based on an individual family services plan. These services allow children and families to receive training to strengthen the child/family functioning in their home and community.

Developmentally Disabled Services (corresponding federal name, **Special Services - Disabled**):

Services necessary to maintain a person with a developmental disability in his/her community. Services are based on an individual service plan and include such services as adult development, vocational maintenance and personal care.

Home Delivered Meals (corresponding federal name **Home-Delivered Meals**):

Services to provide a hot meal (or other as appropriate) that contains at least 1/3 of the nutritional value of the Recommended Daily Allowance. Meals are delivered to the client's home.

Interstate Compact on Juveniles (corresponding federal name **Special Services Youth at Risk**):

Services provided for the out-of-state supervision of delinquent juveniles and the return of runaways who have not been adjudicated delinquent. This service provides authorized agreements for the cooperative institutionalization of certain juveniles and provides for the return of absconders and escapees.

Mental Health Services (corresponding federal name, **Counseling Services**):

Organized efforts performed by trained personnel in certified mental health facilities to help individuals to overcome mental, emotional, social, and psychological dysfunction.

Non-Residential Services for Youth (corresponding federal name, **Special Services – Youth at Risk**):

Services directed toward amelioration of behavioral and/or emotional problems in order to allow the juvenile to transition back into his or her home or community, and to prevent or reduce the need for re-institutionalization.

Non-Residential Services for Youth, Additional Units (corresponding federal name, **Special Services – Youth at Risk**):

Services directed toward amelioration of behavioral and/or emotional problems in order to allow the juvenile to transition back into his or her home or community, and to prevent or reduce the need for re-institutionalization.

Prevention/Intervention Services (corresponding federal name, **Prevention and Intervention**):

Services designed to provide early identification and/or timely intervention to support children/adolescents and their families and to prevent or ameliorate the consequences of abuse, neglect, or family violence, or to assist in making arrangement for alternate placements or living arrangements where necessary. Such services may also be provided to prevent the removal of a child from the home.

Protective Services for Adults (corresponding federal name, **Protective Services – Adults**):

Services to or on behalf of adults (age eighteen and over) who are threatened by harm through the action or inaction of another individual or through other hazardous circumstances.

Protective Services for Children (corresponding federal name, **Protective Services – Children**):

Services on behalf of neglected, abused, or exploited children (including runaways), which are designed to prevent or remedy that situation and include strengthening parental child care capacity, preserving family life, and providing a safe environment for the child.

Socialization/Recreation Services (corresponding federal name, **Recreation Services**):

Services to facilitate the client's involvement (as spectator or participant) in activities, sports, arts, crafts, and games for social interaction to promote personal enrichment, satisfying use of leisure time, development of new skills or knowledge, and/or reduction in social isolation.

Special Services for the Disabled (corresponding federal name, **Special Services – Disabled**):

Services designed to assist persons to function at their highest level of independence despite any limiting physical or mental conditions which may include drug and alcohol dependence.

Substitute Care for Children (corresponding federal name, **Residential Treatment**):

Services provide selective placement in an alternate living situation, such as a foster home, group home, or residential treatment facility for a planned period of time for a child who has to be separated from his natural or legal parents. This service includes casework and intervention services with the child, his parents/guardians, caregivers and community resources.

Substitute Care for Youth (corresponding federal name, **Residential Treatment**):

Services provide selective placement in a foster home, group home, or residential treatment facility for a planned period of time for delinquent youth committed to DYS by a Juvenile Chancery Court. This service includes casework and intervention services with the youth, parents/guardians, caregivers and community resources.

Substitute Care for Youth, Additional Units (corresponding federal name, **Independent/Transitional Living Services**):

Services provide selective placement in a foster home, group home, or residential treatment facility for a planned period of time for delinquent youth committed to DYS by a Juvenile Chancery Court. This service includes casework and intervention services with the youth, parents/guardians, caregivers and community resources.

Supervised Living Services (corresponding federal name, **Substance Abuse Services**):

The service is a provision of care in a group living facility for all or any part of a calendar day for individuals with socially diagnosed problems of functional dependency, alcoholism, or drug abuse, medically and/or psychologically diagnosed problems of emotional illness or mental retardation/developmental disabilities, and youth in need.

Supported Living Services (corresponding federal name, **Special Services – Disabled**):

A community residential service to provide supervision when necessary and coordinate support services to allow the individual to maintain an independent life style.

Supportive Services for the Blind (corresponding federal name, **Employment Services**):

Services uniquely required by blind and visually impaired persons. These services are designed to provide the client with personal training to overcome barriers to effective participation in community life skills activities.

Supportive Services for Children and Families (corresponding federal name, **Prevention and Intervention**):

Services designed to address a wide range of problems. This service is intended to help parents in their child-rearing role, promote healthy development and social functioning of children, prevent unnecessary removal of children from their homes, strengthen family functioning, and meet the needs of families in crisis.

Training and Education Services (corresponding federal name, **Education and Training Services**):

Those activities which, when not otherwise available, are planned with individuals in order that they may fulfill their intellectual potential for employment through education or training denied to them without positive intervention.

Transportation Services (corresponding federal name, **Transportation Services**):

Transporting a client from one location to another by public or private vehicle so that client has access to needed service, care or assistance. SSBG funding may be used for this service only when the service is not available through Title XVIII or XIX of the Social Security Act.

E. Pilot Projects

Certain aspects of purchased services may be initiated as pilot projects and may continue until sufficient data has been gathered and verified to determine the feasibility of incorporating the project into general use.

F. Service Summary Sheets

Summary Sheets for each division/office (and ARS and SCC) follow. Each sheet reflects the following:

- The services to be provided and whether that service is provided Directly by the division/office or is Purchased;
- The amount and source of funding for each service (federal, state, local donated, or local appropriated);
- Estimates of number of clients to be served and age range, for each service; and
- Statutory goal(s) applicable for each service.

**DIVISION OF AGING AND ADULT SERVICES
SUMMARY SHEET**

Services (Purchased, unless indicated DIRECT)	Federal	State	Local Donated	Local Appropriated	Total	Estimated Children	Estimated Adults Age 59 Years and Younger	Estimated Adults Age 60 years and Older	Estimated Adults Unknown Age	Statutory Goal(s)
Chore Services	\$116,315	\$0	\$0	\$0	\$116,315	0	0	132	0	2, 3, 4
Congregate Meals	\$461,273	\$0	\$0	\$0	\$461,273	0	0	1,337	0	2, 3, 4
Day Care for Adults	\$0	\$0	\$0	\$0	\$0	0	0	0	0	2, 3, 4
Home Delivered Meals	\$985,064	\$0	\$0	\$0	\$985,064	0	0	1,240	0	2, 3, 4
Protective Services for Adults	\$161,066	\$0	\$0	\$0	\$161,066	0	302	0	0	3
Socialization/Recreation Services	\$173,347	\$0	\$0	\$0	\$173,347	0	0	2,597	0	2, 3, 4
Transportation Services	\$222,908	\$0	\$0	\$0	\$222,908	0	0	887	0	2, 3, 4
TOTALS	\$2,119,973	\$0	\$0	\$0	\$2,119,973	0	302	6,193	0	

DIVISION OF BEHAVIORAL HEALTH SERVICES

SUMMARY SHEET

Services (Purchased, unless indicated DIRECT)	Federal	State	Local Donated	Local Appropriated	Total	Estimated Children	Estimated Adults Age 59 Years and Younger	Estimated Adults Age 60 years and Older	Estimated Adults Unknown Age	Statutory Goal(s)
Mental Health Services and Mental Health Services, Additional Units	\$825,872	\$0	\$127,636	\$147,655	\$1,101,163	700	8088	157	0	2,3,4
Special Services for the Disabled	\$30,010	\$10,003	\$0	\$0	\$40,013	30	50	10	0	2,3,4
Supervised Living Services	\$507,804	\$0	\$0	\$0	\$507,804	96	127	32	0	2,3,4,5
Supportive Services for Children and Families	\$150,000	\$0	\$0	\$0	\$150,000	100	0	0	0	2,3,4
Prevention/ Intervention Services	\$381,093	\$0	\$0	\$0	\$381,093	160	0	0	0	2,3,4
SUBTOTALS	\$1,894,779	\$10,003	\$127,636	\$147,655	\$2,180,073	1086	8265	0	0	
Administrative	\$26,400	\$0	\$0	\$0	\$26,400	0	0		0	2,3,4,5
TOTALS	\$1,921,179	\$10,003	\$127,636	\$147,655	\$2,206,473	1086	8265	199	0	

DIVISION OF CHILDREN AND FAMILY SERVICES

SUMMARY SHEET

Services (Purchased, unless indicated DIRECT)	Federal	State	(Local) Donated	(Local) Appropriated	Total	Estimated Children	Estimated Adults Age 59 Years and Younger	Estimated Adults Age 60 years and Older	Estimated Adults Unknown Age	Statutory Goal(s)
Adoption Services	\$469,000	\$0	\$0	\$0	\$469,000	775	700	0	0	2, 3, 4
Coordinated Court Services	\$320,000	\$0	\$0	\$0	\$320,000	0	4,100	0	0	3
Substitute Care for Children	\$0	\$0	\$0	\$0	\$0	0	0	0	0	2, 3, 4, 5
Supportive Services for Children and Families	\$852,559	\$0	\$0	\$0	\$852,559	750	4,075	0	0	2, 3, 4
Supervised Living	\$310,211	\$0	\$0	\$0	\$310,211	2,300	0	0	0	2, 3, 4
SUBTOTALS	\$1,951,770	\$0	\$0	\$0	\$1,951,770	3,825	8,875	0	0	
Administrative*	\$35,000	\$0	\$0	\$0	\$35,000	0	0	0	0	3
TOTALS	\$1,986,770	\$0	\$0	\$0	\$1,986,770	3,825	8,875	0	0	

* This represents the funding for the Child Abuse Commission, for the provision of child abuse and neglect training services for helping professionals.

DIVISION OF COUNTY OPERATIONS

SUMMARY SHEET

Services (Purchased, unless indicated DIRECT)	Federal	State	Local Donated	Local Appropriated	Total	Estimated Adults 59 Years and Younger	Estimated Adults Age 60 years and Older	Estimated Adults Unknown Age	Statutory Goal(s)
Special Services for the Disabled	\$28,681	\$0	\$0	\$0	\$28,681	0	0	650	1, 2, 3, 4
Supportive Services for Children and Families	\$37,873	\$3,439	\$0	\$0	\$41,312	1,475	0	6,400	1, 2, 3, 4
TOTALS	\$66,554	\$3,439	\$0	\$0	\$69,993	1,475	0	7,050	

DIVISION OF DEVELOPMENTAL DISABILITIES SERVICES

SUMMARY SHEET

Services (Purchased unless indicated DIRECT)	Federal	State	Local Donated	Local Appropriated	Total	Estimated Children	Estimated Adults Age 59 Years and Younger	Estimated Adults Age 60 years and Older	Estimated Adults Unknown Age	Statutory Goal(s)
Supportive Services for Children and Families	\$200,000	\$0	\$0	\$0	\$200,000	254	93	0	0	1, 2, 4
Community Integration Services	\$15,000	\$0	\$0	\$0	\$15,000	0	4	0	0	1, 2, 3, 4
Day Services for DD Children	\$60,000	\$0	\$3,400	\$0	\$63,400	52	0	0	0	3, 4
Developmentally Disabled Services and Developmentally Disabled Services, Additional Units	\$797,556	\$0	\$64,030	\$0	\$861,586	620	425	29	0	1, 2, 4
Special Services for the Disabled	\$997,141	\$0	\$110,279	\$0	\$1,107,420	21	689	37	0	1, 2, 4
Supported Living Services	\$757,964	\$0	\$14,800	\$0	\$772,764	64	21	8	0	1, 2, 3, 4
Transportation Services	\$6,323	\$0	\$220	\$0	\$6,543	1	2	0	0	1, 2, 4
TOTALS	\$2,833,984	\$0	\$192,729	\$0	\$3,026,713	1,012	1,234	74	0	

DIVISION OF SERVICES FOR THE BLIND

SUMMARY SHEET

Services (Purchased unless indicated DIRECT)	Federal	State	Local Donated	Local Appropriated	Total	Estimated Adults Age 59 Years and Younger	Estimated Adults Age 60 years and Older	Estimated Adults Unknown Age	Statutory Goal(s)
Administrative	\$17,943	\$0	\$0	\$0	\$17,943	NA	NA	NA	1, 2
TOTALS	\$17,943	\$0	\$0	\$0	\$17,943	NA	NA	NA	

DIVISION OF YOUTH SERVICES

SUMMARY SHEET

Services (Purchased, unless indicated DIRECT)	Federal	State	Local Donated	Local Appropriated	Total	Estimated Children	Estimated Adults 59 Years and Younger	Estimated Adults Age 60 years and Older	Estimated Adults Unknown Age	Statutory Goal(s)
Non-residential Services for Youth and Non-residential Services for Youth, Additional Units	\$ 3,005,063	\$ 1,001,688	\$ -	\$ -	\$ 4,006,751	8,364	-	-	-	2, 4
Substitute Care for Youth	\$ 797,848	\$ 265,948	\$ -	\$ -	\$ 1,063,796	298	-	-	-	2, 4, 5
Substitute Care for Youth, Additional Units	\$ 4,271	\$ 1,424	\$ -	\$ -	\$ 5,695	2	-	-	-	2, 4, 5
Interstate Compact on Juveniles	\$ 16,388	\$ 5,462	\$ -	\$ -	\$ 21,850	23	-	-	-	2, 4
TOTALS	\$3,823,570	\$1,274,522	\$0	\$0	\$5,098,092	8,687	0	0	0	

OFFICE OF FINANCE AND ADMINISTRATION, Contract Support Section

SUMMARY SHEET

Services (Purchased, unless indicated (DIRECT))	Federal	State	Local Donated	Local Appropriated	Total	Estimated Children	Estimated Adults Age 59 Years and Younger	Estimated Adults Age 60 years and Older	Estimated Adults Unknown Age	Statutory Goal(s)
Special Services for the Disabled (DIRECT) - (supporting DDS)	\$88,465	\$0	\$0	\$0	\$88,465	*	*	*	*	1,2,4
Supportive Services for Children and Families (DIRECT) - (supporting DCFS)	\$202,206	\$0	\$0	\$0	\$202,206	*	*	*	*	1,2,3
Protective Services for Adults (DIRECT) - (supporting DAAS)	\$12,638	\$0	\$0	\$0	\$12,638	*	*	*	*	3
Mental Health Services (DIRECT) - (supporting DBHS, MH)	\$63,189	\$0	\$0	\$0	\$63,189	*	*	*	*	1,2,3,4,5
Supervised Living Services (DIRECT) - (supporting DBHS, ADAP)	\$75,827	\$0	\$0	\$0	\$75,827	*	*	*	*	1,2,3,5
Supportive Services for Children and Families (DIRECT) - (supporting DCO)	\$12,638	\$0	\$0	\$0	\$12,638	*	*	*	*	1,2,3
Non-residential Services for Youth (DIRECT) - (supporting DYS)	\$126,379	\$0	\$0	\$0	\$126,379	*	*	*	*	1,2,4
Supportive Services for the Blind (DIRECT) - (supporting DSB)	\$12,638	\$0	\$0	\$0	\$12,638	*	*	*	*	1,2
SUBTOTALS	\$593,980	\$0	\$0	\$0	\$593,980	*	*	*	*	
Administrative	\$701,743	\$0	\$0	\$0	\$701,743	NA	NA	NA	NA	1,2,3
TOTALS	\$1,295,723	\$0	\$0	\$0	\$1,295,723	*	*	*	*	

* Client data are reported by the seven DHS program divisions supported by OFA (CSS).

** Allocation to services and to Administration based on percentage of time spent annually as of June 30, 2009

OFFICE OF FINANCE AND ADMINISTRATION, Financial Management

SUMMARY SHEET

Services (Purchased, unless indicated DIRECT)	Federal	State	Local Donated	Local Appropriated	Total	Estimated Children	Estimated Adults Age 59 Years and Younger	Estimated Adults Age 60 years and Older	Estimated Adults Unknown Age	Statutory Goal(s)
Substitute Care for Children (DIRECT)	\$60,000	\$0	\$0	\$0	\$60,000	*	*	*	*	2,3,4,5
Supportive Services for Children and Families (DIRECT)	\$60,000	\$0	\$0	\$0	\$60,000	*	*	*	*	2,3,4,5
SUBTOTALS	\$120,000	\$0	\$0	\$0	\$120,000	*	*	*	*	
Administrative	\$139,733	\$0	\$0	\$0	\$139,733	NA	NA	NA	NA	
TOTALS	\$259,733	\$0	\$0	\$0	\$259,733	*	*	*	*	

* Client data are reported by the DHS program division(s) to which this funding is diverted, if necessary

OFFICE OF CHIEF COUNSEL

SUMMARY SHEET

Services (Purchased unless indicated DIRECT)	Federal	State	Local Donated	Local Appropriated	Total	Estimated Children	Estimated Adults 59 Years and Younger	Estimated Adults Age 60 years and Older	Estimated Adults Unknown Age	Statutory Goal(s)
Protective Services for Adults (DIRECT)	\$16,000	\$0	\$0	\$0	\$16,000	0	*	*	*	1,2,3,4,5
Protective Services for Children (DIRECT)	\$555,846	\$0	\$0	\$0	\$555,846	1,150	0	0	0	1,2,3,4,5
SUBTOTALS	\$571,846	\$0	\$0	\$0	\$571,846	1,150	*	*	*	
Administrative	\$45,000	\$0	\$0	\$0	\$45,000	0	0	0	0	1,2,3,4,5
TOTALS	\$616,846	\$0	\$0	\$0	\$616,846	1150	*	*	*	

* Client data are reported by DAAS

ARKANSAS DEPARTMENT OF CAREER EDUCATION

ARKANSAS REHABILITATION SERVICES

SUMMARY SHEET

Services (Purchased, unless indicated DIRECT)	Federal	State	Local Donated	Local Appropriated	Total	Estimated Children	Estimated Adults Age 59 Years and Younger	Estimated Adults Age 60 years and Older	Estimated Adults Unknown Age	Statutory Goal(s)
Special Services for the Disabled (DIRECT)	\$307,339	\$102,446	\$0	\$0	\$409,785	25	183	408	15	1, 2, 3, 4, 5
Special Services for the Disabled	\$328,881	\$0	\$109,627	\$0	\$438,508	0	111	4	5	1, 2, 3, 4, 5
Supervised Living Services	\$68,923	\$0	\$22,975	\$0	\$91,898	0	21	4	0	1, 2
Training and Education (DIRECT)	\$157,164	\$52,388	\$0	\$0	\$209,552	0	222	1	5	1, 2
TOTALS	\$862,307	\$154,834	\$132,602	\$0	\$1,149,743	25	537	417	25	

ARKANSAS SPINAL CORD COMMISSION

SUMMARY SHEET

Services (Purchased, unless indicated DIRECT)	Federal	State	Local Donated	Local Appropriated	Total	Estimated Children	Estimated Adults Age 59 Years and Younger	Estimated Adults Age 60 years and Older	Estimated Adults Unknown Age	Statutory Goal(s)
Special Services for the Disabled (DIRECT)	\$106,005	\$35,335	\$0	\$0	\$141,340	36	466	76	0	1, 2, 3, 4, 5
TOTALS	\$106,005	\$35,335	\$0	\$0	\$141,340	36	466	76	0	

**ARKANSAS DEPARTMENT OF HUMAN SERVICES
SOCIAL SERVICES BLOCK GRANT PRE-EXPENDITURE REPORT**

VI. FEDERAL REPORTING FORM, OMB No. 0970-0234

A. Part A - Estimated Expenditures and Proposed Provision Method

B. Part B - Estimated Recipients

Part A. Estimated Expenditures and Proposed Provision Method

OMB NO.: 0970-0234

EXPIRATION DATE: 07/31/2011

STATE: Arkansas	FISCAL YEAR: State Fiscal Year 2012	REPORT PERIOD: 07/01/11 - 06/30/2012
Contact Person: Jan Young	Phone Number: 501-683-6319	
Title: Budget Analyst	E-Mail Address: jan.young@arkansas.gov	
Agency: Department of Human Services	Submission Date:	

	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	469,000	0	0	469,000		X
2	Case Management	0	0	0	0		X
3	Congregate Meals	461,273	0	0	461,273		X
4	Counseling Services	920,996	0	275,291	1,196,287	X	X
5	Day Care--Adults	0	0	0	0		
6	Day Care--Children	60,000	0	3,400	63,400		X
7	Education and Training Services	157,164	0	52,388	209,552	X	
8	Employment Services	12,638	0	0	12,638	X	
9	Family Planning Services	0	0	0	0		
10	Foster Care Services--Adults	0	0	0	0		
11	Foster Care Services--Children	0	0	0	0		
12	Health-Related Services	0	0	0	0		
13	Home-Based Services	116,315	0	0	116,315		X
14	Home-Delivered Meals	985,064	0	0	985,064		X
15	Housing Services	0	0	0	0		
16	Independent/Transitional Living Services	4,271	0	1,424	5,695		X
17	Information & Referral	0	0	0	0		
18	Legal Services	320,000	0	0	320,000		X
19	Pregnancy & Parenting	0	0	0	0		
20	Prevention & Intervention	1,911,369	0	3,439	1,914,808	X	X
21	Protective Services--Adults	189,704	0	0	189,704	X	X
22	Protective Services--Children	555,846	0	0	555,846	X	
23	Recreation Services	173,347	0	0	173,347		X
24	Residential Treatment	857,848	0	265,948	1,123,796		X
25	Special Services--Disabled	3,442,042	0	446,520	3,888,562	X	X
26	Special Services--Youth at Risk	3,147,830	0	1,007,151	4,154,981	X	X
27	Substance Abuse Services	962,765	0	22,975	985,740	X	X
28	Transportation	229,231	0	220	229,451		X
29	Other Services***	0	0	0	0		
30	SUM OF EXPENDITURES FOR SERVICES	14,976,703	0	2,078,756	17,055,459		
31	Administrative Costs	933,884	0				
32	SUM OF EXPENDITURES FOR SERVICES AND ADMINISTRATIVE COSTS	15,910,587	0				

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

** Please list the sources of these funds:

OMB NO.: 0970-0234

Part B. Estimated Recipients

EXPIRATION DATE: 07/31/2011

STATE: Arkansas
FISCAL YEAR: State Fiscal Year 2012

	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	775	700	-	-	700	1,475
2	Case Management	-	-	-	-	-	-
3	Congregate Meals	-	-	1,337	-	1,337	1,337
4	Counseling Services	700	8,088	157	-	8,245	8,945
5	Day Care--Adults	-	-	-	-	-	-
6	Day Care--Children	52	-	-	-	-	52
7	Education and Training Services	-	222	1	5	228	228
8	Employment Services	-	-	-	-	-	-
9	Family Planning Services	-	-	-	-	-	-
10	Foster Care Services--Adults	-	-	-	-	-	-
11	Foster Care Services--Children	-	-	-	-	-	-
12	Health-Related Services	-	-	-	-	-	-
13	Home-Based Services	-	-	132	-	132	132
14	Home-Delivered Meals	-	-	1,240	-	1,240	1,240
15	Housing Services	-	-	-	-	-	-
16	Independent/Transitional Living Services	2	-	-	-	-	2
17	Information & Referral	-	-	-	-	-	-
18	Legal Services	-	4,100	-	-	4,100	4,100
19	Pregnancy & Parenting	-	-	-	-	-	-
20	Prevention & Intervention	2,739	4,172	-	6,400	10,572	13,311
21	Protective Services--Adults	-	-	-	-	-	-

			302		-	302	302
22	Protective Services--Children	1,150	-	-	-	-	1,150
23	Recreation Services	-	-	2,597	-	2,597	2,597
24	Residential Treatment	298	-	-	-	-	298
25	Special Services--Disabled	796	1,945	572	670	3,187	3,983
26	Special Services--Youth at Risk	8,387	-	-	-	-	8,387
27	Substance Abuse Services	2,396	148	36	-	184	2,580
28	Transportation	1	2	887	-	889	890
29	Other Services***	-	-	-	-	-	-
30	SUM OF RECIPIENTS OF SERVICES	17,296	19,679	6,959	7,075	33,713	51,009

**ARKANSAS DEPARTMENT OF HUMAN SERVICES
SOCIAL SERVICES BLOCK GRANT PRE-EXPENDITURE REPORT**

VII. APPENDICES

- A. Documentation of Public Hearing**
- B. Proof of Audit**
- C. Certifications**

**ARKANSAS DEPARTMENT OF HUMAN SERVICES
SOCIAL SERVICES BLOCK GRANT PRE-EXPENDITURE REPORT**

(documentation of notification of public review period to be added when available)

ARKANSAS DEPARTMENT OF HUMAN SERVICES
SOCIAL SERVICES BLOCK GRANT PRE-EXPENDITURE REPORT

Sen. Bobby L. Glover
Senate Co-Chair
Rep. Johnny Hoyt
House Co-Chair
Sen. Bill Fritchard
Senate Co-Vice Chair
Rep. Beverly Pyle
House Co-Vice Chair

Arkansas



Robert A. Nussbaum, JD, CPA, CFE
Legislative Auditor

LEGISLATIVE JOINT AUDITING COMMITTEE
DIVISION OF LEGISLATIVE AUDIT

Independent Auditor's Report

The Honorable Mike Beebe, Governor
and Members of the Legislative Joint Auditing Committee
State of Arkansas:

We have audited the accompanying financial statements of the governmental activities, the business-type activities, the aggregate discretely presented component units, each major fund, and the aggregate remaining fund information of the State of Arkansas (the State), as of and for the year ended June 30, 2010, which collectively comprise the State's basic financial statements as listed in the table of contents. These financial statements are the responsibility of the State of Arkansas's management. Our responsibility is to express opinions on these financial statements based on our audit. We did not audit the financial statements of:

- The discretely presented component units, which represent 100% of the assets and revenues of the aggregate discretely presented component units opinion unit
- The University of Arkansas for Medical Sciences, a portion of the Higher Education Fund, which represents 17% of the assets and 27% of the revenues of the business-type activities opinion unit and 21% of the assets and 48% of the revenues of the Higher Education major enterprise fund opinion unit
- The Department of Workforce Services, a major enterprise fund, which represents 4% of the assets and 28% of the revenues of the business-type activities opinion unit and 100% of the assets and revenues of the Department of Workforce Services major enterprise fund opinion unit
- The Construction Assistance Revolving Loan Fund or the Other Revolving Loan Funds (non-major enterprise funds), which on a combined basis represent 8% of the assets and 1% of the revenues of the business-type activities opinion unit and 3% of the assets and 1% of the revenues of the aggregate remaining fund information opinion unit

Financial statements for the above were audited by other auditors whose reports thereon have been furnished to us, and our opinions, insofar as they relate to the amounts included for the aforementioned funds and entities, are based solely on the reports of the other auditors.

We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. The financial statements of the University of Arkansas Foundation, Inc. and the University of Arkansas Fayetteville Campus Foundation, Inc. (discretely presented component units) were not audited in accordance with Government Auditing Standards. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit and the reports of other auditors provide a reasonable basis for our opinions.

In our opinion, based on our audit and the reports of other auditors, the financial statements referred to previously present fairly, in all material respects, the respective financial position of the governmental activities, the business-type activities, the aggregate discretely presented component units, each major fund, and the aggregate remaining fund information of the State of Arkansas, as of June 30, 2010, and the respective changes in financial position and cash flows, where applicable, thereof for the year then ended in conformity with accounting principles generally accepted in the United States of America.

In accordance with *Government Auditing Standards*, we have also issued our report dated December 22, 2010 on our consideration of the State of Arkansas's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be considered in assessing the results of our audit.

The management's discussion and analysis and required supplementary information, listed in the accompanying table of contents, are not a required part of the basic financial statements but are supplementary information required by accounting principles generally accepted in the United States of America. We and the other auditors have applied certain limited procedures, which consisted principally of inquiries of management regarding the methods of measurement and presentation of the required supplementary information. However, we did not audit the information and express no opinion on it.

Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the State of Arkansas's basic financial statements. The introductory section, combining financial statements, and statistical section are presented for purposes of additional analysis and are not a required part of the basic financial statements. The combining financial statements have been subjected to the auditing procedures applied by us and the other auditors in the audit of the basic financial statements, and, in our opinion, based on our audit and the reports of other auditors, are fairly stated in all material respects in relation to the basic financial statements taken as a whole. The introductory section and statistical section have not been subjected to the auditing procedures applied by us and the other auditors in the audit of the basic financial statements, and accordingly, we express no opinion on them.

DIVISION OF LEGISLATIVE AUDIT - 1



Roger A. Norman, JD, CPA, CFE
Legislative Auditor

Little Rock, AR
December 22, 2010
CAFR00110

Arkansas Department of Health & Human Services

Administration for Children & Families

OFFICE OF COMMUNITY SERVICES

Increasing the Capacity of Individuals, Families and Communities

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)

700 S. Main St., Pulaski County
Little Rock, AR 72201

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 Rex Jones (Rex Jones)
Title Assistant Director, ADHS Office of Finance & Administration
Organization Arkansas Department of Human Services

Arkansas Department of Health & Human Services

Administration for Children & Families

OFFICE OF COMMUNITY SERVICES

Increasing the Capacity of Individuals, Families and Communities

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.

Rex Jones (Rex Jones)
Signature
Assistant Director, Office of Finance & Administration
Title
Arkansas Department of Human Services
Organization

Arkansas Department of Health & Human Services

Administration for Children & Families

Office of COMMUNITY SERVICES

Increasing the Capacity of Individuals, Families and Communities

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.

Rex Jones (Rex Jones)
Signature
Assistant Director, Office of Finance & Administration
Title
Arkansas Department of Human Services
Organization

Arkansas Department of Health & Human Services
Administration for Children & Families

OFFICE OF COMMUNITY SERVICES Increasing the Capacity of Individuals, Families and Communities

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

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

Instructions for Certification

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

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

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

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

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

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

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

lower tier covered transactions and in all solicitations for lower tier covered transactions.

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

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

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

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

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

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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

- 1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- 2. The certification in this clause is a material representation of fact upon which

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

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

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

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

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

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

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

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

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

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for

debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

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

Rex Jones (Rex Jones)
 Signature
Assistant Director, Office of Finance & Administration
 Title
Arkansas Department of Human Services
 Organization