
**SOCIAL SERVICES BLOCK
GRANT PROGRAM**

U.S. Department of Health and Human Services
Administration for Children and Families
Office of Community Services
Division of Social Services
330 C Street, S.W.
Washington, D.C. 20201
<http://www.acf.hhs.gov/programs/ocs/programs/ssbg>

Information Memorandum

Transmittal No. 03-2017

Date: May 11, 2017

TO: Social Services Block Grant (SSBG) State Officials and Program Contacts

SUBJECT: Application Model for Fiscal Year (FY) 2018 Social Services Block Grant Program (SSBG) **Based on the Availability of Funds.**

RELATED REFERENCES: The SSBG program is authorized under Title XX of the Social Security Act, as amended, and is codified at 42 USC 1397 through 1397e. The implementing regulations for this and other block grant programs authorized by Omnibus Budget Reconciliation Act of 1981 are published at 45 CFR Part 96. Those regulations include both specific requirements and general administrative requirements in lieu of 45 CFR Part 92 (the HHS implementation of the A-102 Common Rule) for the covered block grant programs. Requirements specific to SSBG are found in 45 CFR Sections 96.70 through 96.74.

PURPOSE: To share with States the requirements and provide guidance for the preparation of SSBG pre-expenditure and intended use plans reporting.

BACKGROUND: Each State is responsible for designing and implementing its own SSBG program, within very broad Federal guidelines. States must administer their SSBG program according to their approved plan, along with amendments, and in conformance with following rules, regulations, and policies. Each year States are required to submit a Pre-Expenditure Report and Intended Use Plan as prerequisites to receiving SSBG funds. These submissions outline the planned use of SSBG funds for the provision of services in each State.

PRE-EXPENDITURE REPORT DUE DATE: An annual Pre-Expenditure Report that describes how the State plans to administer its SSBG funds for the incoming year must be submitted prior to receipt of a SSBG allotment. This report must be submitted 30 days prior to the start of the fiscal year (June 1 if the state operates on a State Fiscal Year, or September 1 if the state operates on a Federal Fiscal Year).

Examples:

- **The report or plan covers State Fiscal Year 2018, which runs from July 1, 2017 to June 30, 2018.**

FY 2018 Pre-Expenditure Report and Intended Use Plan

Due date: *June 1, 2017*

- **The report or plan covers Federal Fiscal Year 2018, this runs from October 1, 2017 to September 30, 2018**

FY 2018 Pre-Expenditure Report and Intended Use Plan

Due date: *September 1, 2017*

**ONLINE
SUBMISSION:**

Each State must submit their annual Pre-Expenditure Report and Intended Use Plan in the [SSBG Online Data Portal](#). Additionally, ACF requires States to use the Online Data Collection (OLDC) system to submit data on the Application for Federal Assistance SF-424 - Mandatory (M). OCS will only consider applications to be official and complete once the SF-424M is submitted through the OLDC system and the Pre-Expenditure Report and Intended Use Plan are submitted through the [SSBG Online Data Portal](#).

At least one SSBG program contact should maintain an OLDC account in order to complete and submit the SF-424M. Accounts can be established and/or updated via the OLDC Access Form (see Attachment - Online Data Collection (OLDC) Access Form). The form should be completed, as necessary, and submitted to your Social Services Program Specialist. If you list more than one State contact person, be sure to designate which one will be the primary contact.

Additional fiscal reporting documents must be submitted as part of the mandatory submission: SF-425 and Form TANF ACF 196 to ensure accurate review of the applications in accordance with federal policies and statutes.

TANF TRANSFER:

FUNDS TRANSFER LIMIT: A State may transfer 10 percent of funds from TANF to the SSBG annually.

INCOME LIMIT FOR USE OF TRANSFERRED FUNDS:

Please note the following statutory requirement as it relates to the use of funds transferred from TANF to SSBG. [Section 404\(d\)\(3\)\(B\)](#) of the Personal Responsibility and Work Opportunity Reconciliation Act of

1996 requires that all (TANF) amounts that are used to carry out State programs pursuant to title XX shall be used only for programs and services to children or their families whose income is less than 200 percent of the income official poverty line applicable to a family of the size involved (as defined by the Office of Management and Budget, and revised annually in accordance with section 673(2) of the Omnibus Budget Reconciliation Act of 1981).

EXPENDITURE PERIOD:

Funds transferred into SSBG from TANF pursuant to section 404(d)(3)(A) shall not be subject to the requirements of TANF (except as required under 404(d)(3)(B)) but are subject to the rules and regulations pertaining to the SSBG program corresponding to the fiscal year when the funds are transferred. The transferred funds and regular SSBG funds granted the State during a fiscal year are subject to the two-year timely filing provisions contained in 45 CFR Part 95.1.

If TANF funds transferred pursuant to section 404(d)(3)(A) remain unliquidated by the end of the two-year expenditure time limit the State may transfer these funds back to TANF if the transfer back to TANF occurs before the end of the two-year expenditure period. The funds transferred back to TANF must be included in the prior year unobligated balances (corresponding to the year the funds were awarded the TANF agency) and expended on TANF assistance.

Example:

SSBG rules require that States must expend TANF funds transferred into the SSBG program by the end of the subsequent fiscal year for which the TANF funds were originally awarded and transferred. If a State transferred \$100 of fiscal year 2014 funds to the SSBG program. The funds transferred to SSBG must be liquidated or transferred back to TANF by September 30, 2016. The State must report the transfer on the ACF-196 and the SSBG SF-269 and Post Expenditure Reports.

CONTENT:

States must report on the intended or planned uses of SSBG funds, including the types of activities (or services) to be supported, and the categories and characteristics of individuals to be served (such as children, adults 59 and younger, adults 60 and older, and the disabled) (42 U.S.C. §1397c) (See [Link A, Section IVC](#)). While no specific outline is required for the Intended Use Plan, a narrative of the proposed activities and individuals to be served with this information by service area should be submitted through the [SSBG Online Data Portal](#). If the plan changes during the year, a revised Intended Use Plan and Pre-Expenditure Report must be submitted to the OCS for

approval.

The Pre-Expenditure Report is the reporting mechanism for providing information on the intended or planned use of SSBG funds. States are encouraged to include OMB Form No. 0970-0234 as the Pre-expenditure Reporting Form. This documentation will provide for a more accurate analysis of the intended use for which SSBG funds are spent by States. The reporting form should be completed in the section of the [SSBG Online Data Portal](#) with estimated expenditures and recipient data rather than actual expenditures and recipient data.

ADDITIONAL INFORMATION:

States receiving SSBG funds are also required to submit a Post-Expenditure Report annually. The Post-Expenditure Report for SSBG funds is due within six months of the close of each annual reporting period. States are reminded to track expenditures of SSBG funds from their SSBG allotments and submit accurate actual expenditure data.

Address inquiries

HHS Regions I, II, III, VII, and X:
Theresa Taylor
Social Services Program Specialist
Telephone: (202) 401-6972
Fax: (202) 401-5718
Email: Theresa.Taylor@acf.hhs.gov

HHS Regions IV, V, VI, VIII, AND IX:
Lynwood McDaniel, Jr.
Social Services Program Specialist
Telephone: (202) 401-4627
Fax: (202) 401-5718
Email: Lynwood.McDaniel@acf.hhs.gov

Office of Community Services
U.S. Department of Health and Human Services
330 C. Street, S.W.
Washington, D.C. 20201

_____/s/
J. Janelle George
Acting Director
Office of Community Services

_____/s/
Yolanda J. Butler, PhD
Director
Division of Social Services

Attachment:

[Model SSBG Pre-Expenditure Report](#)

Online Data Collection (OLDC) Access Form

Links to pre-expenditure and post-expenditure reports:

[SSBG Tool Pre-Expenditure Reports](#)

[SSBG Tool Post-Expenditure Reports](#)

Online Data Collection Systems:

[SSBG Online Data Collection System](#)

[Grant Solutions Online Data Collection \(OLDC\)](#)

**ATTACHMENT A: MODEL STATE
SOCIAL SERVICES BLOCK GRANT
PRE-EXPENDITURE REPORT
FISCAL YEAR 2018**

CONTENTS:

I. State/Federal Fiscal Year covered in Pre-expenditure Plan (REQUIRED)

II. Letter of Transmittal (Recommended)

III. Public Inspection (REQUIRED)

IV. Narrative

A. Administrative Operations (Recommended)

B. Fiscal Operations (Recommended)

C. Program Operations (REQUIRED)

V. Pre-Expenditure Reporting Form (*Recommended to be submitted
through the SSBG Data Portal*)

VI. Appendices

Appendix A: Documentation of Public Hearing (REQUIRED)

Appendix B: Certifications (REQUIRED)

Appendix C: Proof of Audit (REQUIRED)

Appendix D: TANF ACF-196-R (REQUIRED)

Appendix E: SF 424M (Scan copy must be uploaded with application)
(REQUIRED)

Appendix: Federal Financial Reporting (FFR) Form SF-425 (REQUIRED)

VII. Additional Information (as needed)

**I. State/Federal Fiscal Year covered in Pre-expenditure Plan
(REQUIRED)**

*Specify the fiscal year, including start and end dates, covered in the pre-
expenditure plan.*

Fiscal Year (*select one*):

State _____

Federal _____

Dates (*start and end date of state fiscal year*):
Start Date:07/01/17
End Date:06/30/18

II. Letter of Transmittal (Recommended)

Provide a letter of transmittal that includes contact information for the SSBG contact person and the State SSBG official receiving the SSBG Grant Award.

III. Public Inspection (REQUIRED)

Provide a description of how the State made the current pre-expenditure report available for public inspection and comment. Also provide documentation of public hearing (e.g., copies of public hearing notices, letters, newspaper articles, etc.) in Appendix A.

IV. Narrative

A. Administrative Operations (Recommended)

1. State Administrative Agency

Outline the mission and responsibilities, as well as the goal and objectives, of the agency designated to administer the State's SSBG program.

2. State Offices/Departments

Identify the State entities allocated SSBG funds and provide a brief description of the services supported by each of the entities.

B. Fiscal Operations (Recommended)

1. Criteria for Distribution

Describe the State's criteria for allocation of SSBG funds to State entities listed above in A2.

2. Planning Process for Use and Distribution of Funds:

Describe the planning process for determining the State's use and distribution of SSBG funds.

3. Financial Operations System:

Describe the State's process of assigning costs (e.g., cost allocation plan) and method of calculating costs.

C. Program Operations (REQUIRED)

1. SSBG Statutory Goals the State Plans to Achieve

Indicate which of the statutory goals the State plans to achieve.

2. Characteristics of Individuals to be Served

Describe the characteristics of individuals to be served, including:

definitions of child, adult, and family; eligibility criteria; and income guidelines.

3. Types of Activities to be Supported

Describe the types of activities to be provided using SSBG funds. Organize the services by the Uniform Definition of Services and the corresponding State service title, if different. For each service, also provide:

- *SSBG statutory goals supported;*
- *Method of delivery (i.e., public, private or both); and*
- *Geographic area/location where services will be provided (e.g., Statewide, county, city)*

V. Pre-Expenditure Reporting Form (recommended)

Attach completed pre-expenditure reporting form in Microsoft Excel (available on the SSBG Web site, <http://www.acf.hhs.gov/programs/ocs/resource/pre-expenditure>). This form should be used to estimate expenditures and the number of recipients by service category for the fiscal year. Moreover, the information should be input into the SSBG Data Portal Dropbox: <https://ssbgportal.net/>

VI. Appendices

Attach the following appendices:

Appendix A: Documentation of Public Hearing (REQUIRED)

Appendix B: Certifications (REQUIRED)

Appendix C: Proof of Audit (REQUIRED)

Appendix A: Documentation of Public Hearing (REQUIRED)

Attach documentation of public hearing, such as public hearing notices, letters, newspaper articles, etc.

Appendix B: Certifications (REQUIRED)

Attach signed copies of the following certifications (available on the SSBG Web site at <http://www.acf.hhs.gov/programs/ocs/programs/ssbg>):

1. Drug-Free Workplace Requirements
2. Environmental Tobacco Smoke
3. Lobbying
4. Debarment, Suspension and Other Responsibility Matters

Appendix C: Proof of Audit (REQUIRED)

Federal regulations state that: "Each State shall, not less often than every two years, audit its expenditures from amounts received (or transferred for use) under this title...Within 30 days following the completion of each audit, the State shall submit a copy of that audit to the legislature of the State and to the

Secretary." (Sec. 2006 [42 U.S.C. 1397a, Sec. 2006]).

Provide a copy or link to the most recent audit, or a description of the audit that specifies when the audit occurred and summarizes the results of the audit.

Appendix D: TANF ACF-196-R (REQUIRED)

Appendix E: SF 424M (Scan copy must be uploaded with application)
(REQUIRED)

Appendix: Federal Financial Reporting (FFR) Form SF-425 (REQUIRED)

VII. Additional Information (as needed)

Provide any additional information, as needed.

ATTACHMENT B: CRITICAL ELEMENTS OF THE PRE-EXPENDITURE REPORT

Following is a checklist for ensuring the State's pre-expenditure report is complete.

- Pre-expenditure Reporting Form, OMB No. 0970-0234—Use this form to estimate expenditures and recipients by service category.
- State Administrative Agency— Outline the mission and responsibilities of the agency designated to administer the SSBG program. Outline the goals and objectives of the agency that administers the SSBG program.
- State Offices/Departments—Identify the State entities allocated SSBG funds. Provide a brief description of the services supported by SSBG funds for each of these entities.
- Financial Operations— Include the planning process for distribution and use of SSBG funds, a description of the process for distribution of funds, and a description of the financial operations system.
- SSBG Statutory Goals— Describe how services funded by the SSBG will be directed at one or more of the five broad statutory goals.
- Characteristics of Individuals to be Served— Include the State's definition of children, adults, and eligibility, and income criteria for each service.
- Types of Activities to be Supported— Include a description of services to be provided with SSBG funds using the Uniform Definition of Services and corresponding State title(s). Also indicate the method of service delivery and the geographic area where services will be provided.
- TANF- Determine income eligibility for TANF transfers to SSBG program. Also, the TANF ACF-196R will track quarterly reporting that reflects expenditures cumulative through the quarter for the fiscal year.

- Appendices—Include the following in the appendices: (1) Documentation of public inspection (e.g. public hearing notices, letters, newspaper articles, etc.); (2) Certifications (Anti-Lobbying, Drug-free Work Requirements, Debarment and Suspension, Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994, P.L.103-227); and (3) Proof of Audit (as required not less than every two years (42. U.S.C. §1397e (b))).