
***SOCIAL SERVICES BLOCK
GRANT PROGRAM***

U.S. Department of Health and Human Services
Administration for Children and Families
Office of Community Services
Division of State Assistance
370 L'Enfant Promenade, S.W.
Washington, D.C. 20447
<http://www.acf.hhs.gov>

Information Memorandum

Transmittal No. 02-2012

Date: 06/21/2012

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

SUBJECT: Application for Fiscal Year (FY) 2013 Social Services Block Grant Program (SSBG) Funds 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 reports.

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 their own implementing rules and policies. Each year States are required to submit a pre-expenditure report or intended use plan as a prerequisite to receiving SSBG funds. This report helps to clarify the planned and actual use of SSBG funds for the provision of services in each State. The Office of Community Services (OCS) analyzes SSBG expenditure and recipient data reported through the pre-expenditure reporting in order to develop the SSBG Annual Report. This information also assists OCS in developing performance measures for the SSBG program.

**PRE-
EXPENDITURE
REPORT DUE
DATE:**

An annual pre-expenditure report that describes how the State plans to administer its SSBG funds for the coming 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 July-June fiscal year, or September 1 if the State operates on a Federal fiscal year).

Examples:

- **The report or plan covers State Fiscal year 2013, which runs from July 1, 2012 to June 30, 2013.**
- **The reports covers Federal fiscal year 2013, this runs from October 1, 2012 to September 30, 2013.**

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 sample [Attachment A](#)). While no specific outline is required for the pre-expenditure report, a narrative of the proposed activities and individuals to be served or a chart with this information by service area should be provided in PDF format. If the planned uses of SSBG funds change during the year, a revised pre-expenditure report must be submitted to the OCS.

The pre-expenditure report is the only reporting mechanism for providing information on the intended or planned use of SSBG funds. States are encouraged to include OMB Form No. 0970-0234 (Pre-expenditure Reporting Form) with the pre-expenditure report. This additional documentation will provide for a more accurate analysis of the extent to which SSBG funds are spent by States. The reporting form should be completed with estimated expenditures and recipient data rather than actual expenditures and recipient data.

**ADDITIONAL
INFORMATION:**

In order to ensure that the data are accurate, use the Microsoft Excel pre-expenditure reporting forms to provide estimates of expenditures and recipients. Use of the Microsoft Excel forms helps ensure the completeness and accuracy of the data, and increases the efficiency of the data validation process. The narrative section of the pre-expenditure report and any additional documentation should be submitted in PDF format.

Address inquiries for:

HHS Regions I, II, III, IV, VI, and VII to:
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Jeannie Chaffin
Director
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Attachment:

[A. Model SSBG Pre-Expenditure Report](#)

Links to pre-expenditure reports:

<http://www.acf.hhs.gov/programs/ocs/resource/pre-expenditure>

**ATTACHMENT A: MODEL STATE
SOCIAL SERVICES BLOCK GRANT
PRE-EXPENDITURE REPORT
FISCAL YEAR 2013**

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)
- VI. Appendices
 - Appendix A: Documentation of Public Hearing (REQUIRED)
 - Appendix B: Certifications (REQUIRED)
 - Appendix C: Proof of Audit (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:07/01/12

End Date:06/30/13

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>

, under "Guidance, Policies and Procedures"). This form should be used to estimate expenditures and the number of recipients by service category for the fiscal year.

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.

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.
- 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))).