

**FISCAL 101**

**A BUDGET GUIDE FOR DSS  
DIRECTORS**



**Prepared by**

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**DIVISION OF SOCIAL SERVICES  
BUDGET OFFICE**

**February 4, 2011**

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## **A Budget Guide for Division of Social Services Directors**

Prepared by the Local Business Liaisons  
NC Division of Social Services, Budget Office

**Purpose:** To provide a basic overview of fiscal information that will be helpful for new Directors and Senior Management, including general fiscal guidance and information for specific program areas. Even if a manager has responsibility for only one area of the agency, it is good to grasp a basic knowledge of all aspects of fiscal impact on the agency. All program areas are interrelated and linked through the cost allocation process, and all areas are sometimes “competing” for diminishing funding. Learning to find the best balance in providing services and in being fiscally responsible is an ongoing challenge for social services administrators. In order to start thinking about areas of fiscal impact that a Director or Administrator should be aware of, review the checklist in **Attachment A, Page 13.**

### **ADMINISTRATIVE COSTS**

#### **I. General Fiscal Information:**

- A. **County Budget Process** begins by establishing line items for expenditures, revenues and developing written justifications.
  1. Follow your county’s procedures. See County DSS Business Cycle, **Attachment B, page 14.**
  2. Refer to State Budget Estimates for capped amounts and uncapped percentages, and Budget Narrative for program explanations  
On Line Budget Narrative Outline and Budget Estimates are located at:  
<http://www.dhhs.state.nc.us/dss/budget/estimates.htm> A list of mandated and optional programs and services with General Statute References can be found at the following web address:  
<http://www.ncdhhs.gov/dss/dcdl/programcompliance/PC-01-2010a.pdf>
  3. Remember some funds are capped and some are uncapped. See List of Capped Fund Sources, **Attachment C, page 15.**
  4. Some programs will require the budget and revenues to be established up front and other programs will only require the county’s share to be budgeted. It should be noted the State will draft the county’s share of cost. These programs are listed in **Attachment D, page 16.**
  5. Counties should budget revenue based on the Cost Allocation principles and process; the State Budget Template is an excellent means for calculating administrative revenues and projecting changes quickly. It will also provide an accurate picture of the total budget, Federal, State, and County dollars on the DSS-1047. View the template file and instructions at <http://www.dhhs.state.nc.us/dss/budget/estimates.htm> . For a list of budget issues to consider during this process please see **Attachment E, pages 17;** for a lists of guidelines to follow for preparing a budget, please see **Attachment F, page 20;** and **Attachment G, pages 21-22,** provides a sample of a Maximus report entitled “Average Percent of Time”. This report tracks history of workers coding

throughout the fiscal year and can be used to enter percentages into the budget template.

6. Strive to maintain consistency with similar type of expenditures that must either be cost allocated or direct charged within a fiscal year. For capital expenditures note whether to budget full reimbursement or whether the item purchased will have to be depreciated over several years for reporting purposes. Request permission from Controller's Office for a direct program charge, or for expensing an item in excess of the limit, as shown in **Attachment H1-2, pages 23-24**
  7. A list of acronyms, **Attachment I, pages 25-27** and their definitions are provided.
- B. County Management of Funding** requires the tracking of expenditures and revenues on a monthly basis to ensure maximization of revenues. Review county line items and compare budgeted vs. actual in expenditures and revenues. Follow up on reasons for deviations, and make budget amendments if needed.
1. Discuss with Services staff regularly how to prioritize choice of day sheet Program Codes based on available funds, reimbursement percentage, and client eligibility (more information included in **Chapter XIII: Child Welfare Funding Manual** posted at: <http://info.dhhs.state.nc.us/olm/manuals/dss/csm-78/man/> . More information is in section **II. Family Services and Child Welfare (FSCW)**.
  2. Be sure fiscal staff balances the county ledger to the 1571 monthly before uploading. Only report expenditures for services that have been provided and documented. If a county provides up front payment for a service, that cost is 100% county cost until the service has been provided.
  3. Use TEC and QuIC software to view 1571 revenues on the QuIC 335 and 411 prior to uploading the 1571; make any needed adjustments to maximize revenues. This software helps show effects of cost allocation on capped fund sources; this is your in-house preview that mirrors how state reimbursement will occur based on reported costs and full-time equivalencies. If your county is not balancing QuIC and using it as a management tool, contact your LBL and/or Maximus.
  4. View State Fiscal Reports and compare to line items. There are several ways to view management reports on line:
    - a. XPTR, State system – Mainframe access
    - b. XTND, can view XPTR reports in a windows environment
    - c. XNET, can View XPTR reports on the Internet
    - d. see web site: <http://www.state.nc.us/sysware/>
    - e. To gain access to management reports, contact your agency's security officer and/or the Help Desk at 919-855-3200.
    - f. Some key XPTR Report Names for Administrative Costs, and information they provide, are in **Attachment I-1, page 28**.
  5. Look at EFT notices from Controller's Office, either hard copies or view them on line at <http://dhhs32d.dhhs.state.nc.us/dhhs/control/eftdocs/launch.htm>, and compare drafts and deposits to XPTR reports, as well as to budgeted and actual expenditures and revenues on the county ledger. A list of EFT descriptions and corresponding XPTR reports are in **Attachments J 1-2 pages 29-31**.

## **PROGRAM COSTS (includes Public Assistance and Services)**

Please note this list is not all-inclusive and there may be other grants or funding sources that are unique to your county.

**Note: For all program costs, be sure to document client eligibility in records for all fund sources used which require eligibility determination.**

### **I. Food & Nutrition Services and Energy Programs**

- A. Capped allocations to watch on XS411 report: Energy Admin (Day Sheet Code “E”), Crisis Intervention payments, CP&L (Project Share)
- B. Food & Nutrition Services caseload size will determine EBT draft cost; vendor up fronts the cost and your share is drafted through EFT. Review Food & Nutrition Expenditure Report in XPTR:  
  
DHREBT EBT827-01-AU YTD BY MONTH (report in directory - DHR/SLA)
- C. Program Integrity – watch collections, incentives earned; balance EPICS, FRD reports to County Admin reports and to Medicaid reports. Management Report in XPTR: DHRFRD FRD428Y YTD CNTY COLLECTN.
- D. **Attachment M-2, page 38**, is a partial listing of Public Assistance Reports.

### **II. Family Services and Child Welfare (FSCW)**

- A. Work First Block Grant, Capped allocations to watch on XS411 and WC373 report: WFBG MOE, TANF 100% Federal:
  - 1. Meeting MOE and not going over? Meeting Program Goals?
  - 2. Drawing down all your TANF and not going over? If overspending, requirements must be met to qualify for any available reallocation, should it be available.
  - 3. Balance spending between MOE and TANF, switch codes back and forth if needed (be aware of eligibility documentation requirement).
  - 4. Balance WFBG spending between Work First and Child Welfare programs
- B. XPTR report showing Public Assistance costs, TANF and TANF-Unemployed Parents: DHRWFA SAAP ASSISTNC EXP/AVG PMT
- C. TANF Domestic Violence is a capped allocation. DSS must have an agreement with local DV agency, DSS staff time no longer allowed.
- D. Children's Services, Capped allocations to watch on XS411 report are: SSBG Federal & State, Adoption/Foster Care State, Special Perm. Planning, Child

Protective Services (50% federal continues uncapped), TANF to SSBG, TANF CPS & Foster Care/Adoption (use this before WFBG TANF), WFBG TANF 100% Federal, WFBG MOE (balance with WF costs - both programs use WFBG funds), and LINKS,.. **Attachment K, pages 32-35**, is a sample 411 Report that tracks an agency's revenue allocations and can be used to better track your revenues. **Attachment L, page 36**, suggests a way to prioritize day sheet coding; priority may vary depending on your particular agency's available funding.

E. Foster Care and Adoption Assistance, Budgeting and Tracking; various funding streams and percentage of county match; budget payments for children in care by age group and placement type, anticipate for changes.

1. Foster Care - are facilities licensed properly for the children in care? Rates are set by the state, and agencies may receive maximization under IV-E, TEA, and At Risk whenever possible. Reconciling county ledger to what's entered in CPPS to PQA reports, both expenditure and revenue? Using TEA Foster Care rather than SFHF for eligible cases when TANF is available? Using SFHF if WFBG TANF is on track to over-spend?
2. Adoption Assistance – reconcile county ledger to what's entered in CPPS to PQA reports, expenditures and revenues (only vendor payments receive revenue; cash is a sight draft)
3. Trust Accounts – who is monitoring the balances to assure that foster children remain eligible for Medicaid?
4. Contact Tina Bumgarner, Financial Resource/SMF Coordinator for questions and information regarding Money Matters training. Tina can be contacted at (828) 397-3901 or [Tina.Bumgarner@dhhs.nc.gov](mailto:Tina.Bumgarner@dhhs.nc.gov)

Your assigned LBL is also available for assistance. Good management reports in XPTR for Foster Care and Adoptions (more are listed in **Attachment M1, page 37, XPTR Report Names for Foster Care, Adoption Assistance, and Public Assistance**)

DHRPQFC PMT RPT PQA020  
 DHRPQ FC ADJ REG PQA025 (Adjustment report for 020)  
 DHRPQ FC MAXIMIZATION PQA022  
 DHRPQ FC MAXIM ADJ PQA225 (Adjustment report for 022)  
 DHRPQ FC LEVEL IV MH PQA220  
 DHRPQ FC SAAP PQA026  
 DHRPQ VENDOR SAAP PQA036  
 DHRPQ ADOPT AST CASH SAAP PQA046

### III. Child Support Enforcement (CSE)

- A. Staff in DSS draw revenue, including overhead, at 66% federal uncapped. Counties should budget and track collections and incentives earned.
- B. Dear County Director letter dated September 8, 2010, The American Recovery and Reinvestment Act allowed counties to match their Incentive Funds for a

limited time period of October 1, 2008 through September 30, 2010. Therefore, effective October 1, 2010, the incentive funds can no longer be utilized as match to draw federal dollars. Incentive money passed through to the local agencies must be used as 100% county funds. These funds when spent must be claimed on the DSS-1571 form under the non-reimbursable IV-D incentive fund code. If you have any questions, please contact your CSE consultant or Michele Tart at (919-255-3803). Your assigned LBL is also available.

C. Encourage good communication with Public Assistance and Foster Care staff for maximizing collections and for accurate distribution of those collections.

D. Some management reports in XPTR:

DHRFKK COLLECTIONS BY PAY SOURCE  
DHRFKK IVD COLLECTIONS REPORT  
DHRFKK PYMTS DISTRIBUTED PER CTY

#### **IV. Adult Services – now with Division of Aging and Adult Services (DAAS)**

A. Capped allocations to watch on XS411 report: SSBG Federal and State, Adult Care Home Case Management (50% federal continues uncapped), Adult Home Specialist (50% federal continues uncapped), Adult Protective Services, State In-Home, and Adult Day Care. Adult Services revenues not on the 411 report but significant to watch include Home & Community Care Block Grant, CAP DA, Personal Care Service, At Risk Case Management, and Title XIX Medicaid Transportation. **Attachment N, pages 39-41** lists some fund sources and information for Adult Services programs.

B. Monitor Special Assistance county cost; try to use in-home services where possible, more cost-efficient. XPTR report showing SA costs: DHRWFA SAAP ASSISTNC EXP/AVG PMT

C. Track and reconcile guardianship and payee trust accounts by reconciling with monthly bank account statements.

#### **V. Division of Medical Assistance (DMA) - Medicaid**

A. Capped allocations to watch on XS411 report:

1. MA Expansion (50% federal continues uncapped),
2. NC Health Choice (federal reimbursement continues uncapped at the current FFP rate and the percentage changes at the beginning of each federal fiscal year – October 1).

B. At Risk Case Management (ARCM) for Adults, Personal Care Services (PCS), Community Alternatives Program (CAP):

1. Bill Medicaid via CMS 1500 or electronically via web-based software at:  
<https://webclaims.ncmedicaid.com/ncecs/>  
 (Try Internet Explorer if encounter problems accessing site)
2. Reconcile billed claims to the Remittance Advice (RA). The RA is a document sent to the agency from DMA showing processed claims and whether they were processed for reimbursement or denied. Determine why any claims were denied and then reclaim them. This process insures all claims are reimbursed to the agency.
3. Review HIPAA Guidelines to insure compliance when dealing with medical information.

C. Medicaid Program costs:

1. There is no longer a county share of Medicaid costs.

D. Transportation:

1. The most cost-efficient means should be used. These costs are claimed on the DMA-2055. Vendor payments are reimbursed at 100% and direct to client costs are reimbursed at 50%.
2. Staff time should be reported separately for arranging vs. providing transportation due to the difference in reimbursement rates between the two.
3. Document and track reimbursement.

E. Management Reports in XPTR:

Medicaid Cost Calculation:

DHRWDA MS666SAM WARRANT CNTY and  
 DHRWDA WD667 COUNTY AND STATE

Expenditures, by service and by provider:

DHRRLA PER ANNUAL  
 DHRRLA PER MONTHLY YEAR-TO-DATE  
 DHRRLA PER COMPARISON CURR/PRIOR  
 DHRRLA PROVIDER EARNINGS RPT CY  
 DHRRLA PROVIDER EARNINGS RPT SFY

Health Choice reporting:

DHRWDB SUMMARY NCHC VS MEDICAID  
 DHRDHREHC NCHC PREMIUM RECON



## DHREHC NCHC DETAIL PREMIUM RECON

### **VI. Division of Child Development (DCD): Child Care Development Fund (CCDF), Smart Start**

- A. Capped allocations to watch on XS411 report:
  - 1. Smart Start Reimbursement (Admin portion)
  - 2. Child Care Dev (Admin portion)
- B. Monitor program payments in both CCDF and Smart Start
- C. Review expenditure reports sent out by DCD
  - 1. Check spending coefficient
  - 2. Monitor waiting list
- D. WFCBG - Both MOE and TANF can be used for eligible clients when needed based on each individual county's availability of these funds.
- E. SEEK – Subsidized Early Education for Kids – How will this affect DSS staff as this system is implemented.

### **VII. Division of Services for the Blind (DSB)**

- A. Special Assistance for the Blind, monitor county share in budget and monthly sight drafts.
- B. Budget for staff costs according to annual agreement with DSB. Negotiate for cost of space, supplies, equipment, etc. Treat similar costs consistently on 1571.

### **VIII. Conclusion: Importance of attention to detail by fiscal staff, back-up plan developed and strong management emphasis on fiscal accountability**

One of the best things a director can do for his/her agency and for management teams/managers is to invest in recruiting and retaining high-quality fiscal staff. In addition, backup support is critical in all major areas that impact a county's reimbursement and places them at audit risk. The internal control environment set by management is important for managers to consistently place a strong emphasis on good fiscal practice.

### **IX. Fiscal and Administrative Resources**

**Web Site, NC Division of Social Services - <http://www.ncdhhs.gov/dss/>**

**Dear County Director and Administrative letters**

Keep up with new policy issued in program and fiscal letters; some helpful web sites:

**DSS: Dear County Director letters - <http://www.dhhs.state.nc.us/dss/dcdl/index.htm>**

**DHHS Office of the Controller:**

<http://www.dhhs.state.nc.us/control/socserv/reccorr.htm>

<http://www.dhhs.state.nc.us/control/socserv/reccorr2.htm>

**DMA: Adult Medicaid Admin. Letters -**

<http://info.dhhs.state.nc.us/olm/manuals/dma/abd/adm/index.htm>

**EIS Admin. Letters - <http://info.dhhs.state.nc.us/olm/manuals/dma/eis/adm/index.htm>**

**Family & Children's MA Admin. Letters. -**

<http://info.dhhs.state.nc.us/olm/manuals/dma/fcm/adm/index.htm>

**Dear County Director Letters - <http://www.ncdhhs.gov/dma/dcdss/>**

**Medicaid Bulletins – <http://www.ncdhhs.gov/dma/bulletin.htm>**

**DSS Local Support Staff County Assignments and/or Schedules**

<http://www.dhhs.state.nc.us/dss/team/>

Site includes contact information, county assignments, and/or schedules for:  
Local Business Liaisons, County Operation Liaison, Children's Services Program  
Representatives, Work First/Food and Nutrition Services & Energy Programs  
Representatives, and Child Support Enforcement.

Adult Program Services Representatives –

<http://www.ncdhhs.gov/aging/adultsvcs/aprlist.htm>

**Division of Social Services Budget Office**

Kathy Sommese, Budget Officer, 919-334-1023

Vacant , Assistant Budget Officer, 919-334-1023

Pat Jeter, Budget Analyst, 919-334-1023

Marcia Silvers, Budget Analyst, 919-334-1023

Alycia Gaither, Budget Analyst, 919-334-1023

Jack Griffin, Budget Analyst – 919-334-1023

Kimberly Harrell, Budget Analyst, 919-334-1023

Sandra Weathers, Accounting Technician, 919-334-1023

James Clark, Local Business Liaison Supervisor, 910-754-6431

County Operation Liaisons, <http://www.dhhs.state.nc.us/dss/team/OLLlist.htm>

Local Business Liaisons, <http://www.dhhs.state.nc.us/dss/team/LBLLlist.htm>

**Budget Narrative Outline, Budget Estimates, and Budget Template -**

<http://www.dhhs.state.nc.us/dss/budget/estimates.htm>

**Monitoring - <http://www.dhhs.state.nc.us/dss/Monitoring/sa.htm>**

**Facility Inspections: 10 NCAC 24A .0504 and Form DSS-1414**

LBL and/or COL will review county DSS agencies for compliance with the standards set forth in 10 NCAC 67A .0103, using guidelines in 10 NCAC 67A .0103 and Form DSS-1414 to determine compliance. Efficiency of work flow, adequacy of environment to perform required functions, and privacy of client information will be the primary considerations in determining compliance.

**Division of Social Services Program Compliance Section**

Vacant, Contracts

Carlotta Dixon, HIPAA, 919-334-1005

**Contract Information**

State Contract templates, which meet federal guidelines, are posted at:

<http://www.dhhs.state.nc.us/dss/budget/forms.htm>

**HIPAA**

<http://hipaa.dhhs.state.nc.us/>

<http://hipaa.dhhs.state.nc.us/hipaa2002/local/socialservices.html>

**Division of Social Services Performance Reporting/Automation (Services Information System)**

Hank Bowers, Chief, 919-334-1012

**SIS manual**

<http://info.dhhs.state.nc.us/olm/manuals/dss/rim-01/man/index.htm>

**SIS updates**

<http://info.dhhs.state.nc.us/olm/manuals/dss/rim-01/chg/index.htm>

**Web Site, DHHS Office of the Controller**

<http://www.dhhs.state.nc.us/control/>

**DHHS Office of the Controller**

Laketha Miller, Controller

Jack Chappell, Section Chief, Program/Benefit Payments, 919-733-0169

[Debbie.Hawkins@dhhs.nc.gov](mailto:Debbie.Hawkins@dhhs.nc.gov) Head, DSS/DOA/DMA/DFS Branch, 919-733-4640

[Myra.Dixon@dhhs.nc.gov](mailto:Myra.Dixon@dhhs.nc.gov) Supervisor, County Administration Accounting Unit, 919-733-2306

Don.[McLamb@dhhs.nc.gov](mailto:McLamb@dhhs.nc.gov) Financial Analyst and Audit Resolution Coordinator for Governmental Audits, 919-855-3743

**DSS Fiscal Manual, maintained by DHHS Office of the Controller**

<http://info.dhhs.state.nc.us/olm/manuals/ooc/fsc/man/>

**Maximus 1571 software (TEC, QuIC, PET, PAC)**

Email support: [help@maximussupport.com](mailto:help@maximussupport.com)

Web Site: <http://www.maximussupport.com/>

**DIRM electronic 1571 upload and Part IV Preparation Program**

<http://www.dhhs.state.nc.us/control/socserv/1571proj.htm>

**EFTs (Electronic Fund Transfers), Deposits and Drafts, Explanations**

Controller's web site has EFTs on line, track deposits and drafts back to each program; compare to line items and to XPTR reports. Controller's Office has issued a chart linking EFTs to XPTR report titles.

**PA/CSE EFT Notices**

<http://www.dhhs.state.nc.us/control/socserv/socserv.htm>

**Child Placement and Payment System**

<http://info.dhhs.state.nc.us/olm/manuals/dss/csm-80/man/index.htm>

**Chapter XIII Child Welfare Funding Manual**

<http://info.dhhs.state.nc.us/olm/manuals/manuals.aspx?dc=dss>

<http://info.dhhs.state.nc.us/olm/manuals/dss/csm-78/man/>

**Background and federal guidelines for IVE, the ACF web site**

<http://www.acf.hhs.gov/>

**Mental Health Bulletins are posted at (treatment needs of children):**

<http://www.dhhs.state.nc.us/mhddsas/announce/index.htm>

**Foster Care Rate-Setting**

<http://www.dhhs.state.nc.us/control/>

Residential Treatment and Foster Care Facilities

<http://www.ncdhhs.gov/control/fcf/fcfac.htm>

**Audit Information**

<http://www.dhhs.state.nc.us/control/>

Scroll down for Audit Confirmation Reports

**Audit Compliance Supplements are developed by the Division of Social Services.**

They are on line at: <http://www.treasurer.state.nc.us/>

Agency Matrix of Crosscutting Requirements (Click on state/local government, Single Audit Resources, Single Audit Hot Links (Including Compliance Supplements), click latest State Compliance Supplements (2010 as of this update), Section D – Agency Matrix of Crosscutting Requirements, scroll down list for DSS) – tells auditors what to check for compliance in Single County Audit

**Local Government Commission gives guidance to counties per NC General Statutes:**

(Local Government Budget and Fiscal Control Act at

<http://www.nctreasurer.com/dsthome/StateAndLocalGov>

**Chapter 159. Local Government Finance)**

<http://www.ncga.state.nc.us/gascripts/statutes/Statutes.asp> (can enter what you are looking for)

See Chapter 159 at below link:

<http://www.ncga.state.nc.us/gascripts/statutes/statutelookup.pl?statute=159>

**Record Retention**

**Department of Cultural Resources Schedule for Department of Social Services**

[http://www.ah.dcr.state.nc.us/records/local/SocialServices/2006\\_SocialServicesRecRetention.pdf](http://www.ah.dcr.state.nc.us/records/local/SocialServices/2006_SocialServicesRecRetention.pdf)

**Local Records Management Analysts**

<http://www.ah.dcr.state.nc.us/records/counties.htm>

**DHHS Controller's Office memorandum and spreadsheet on web at**

<http://www.dhhs.state.nc.us/control/>

"Letters/reports/forms for ALL Agencies"

"Records Retention and Disposition Schedule Memorandum" and

"Records Retention and Disposition Schedule Spreadsheet"

**Personnel**

<http://www.osp.state.nc.us/ExternalHome/Group5/LocalGovmt/index.html>

**Contact List for Counties and Local Jurisdictions**

<http://www.osp.state.nc.us/ExternalHome/Group5/LocalGovmt/Local%20Government%20Contacts.xls>

**NC General Statutes Chapter 108A, Social Services**

<http://www.ncga.state.nc.us/gascripts/statutes/Statutes.asp>

<http://www.ncga.state.nc.us/gascripts/statutes/statutelookup.pl?statute=108A>

**Federal Guidance**

**OMB Circular A-87**

[http://www.whitehouse.gov/omb/circulars\\_default/](http://www.whitehouse.gov/omb/circulars_default/)

Scroll down list for OMB Circular A-87

Cost Principles for State, Local and Indian Tribal Governments

**OMB Circular A-133 -**

[http://www.whitehouse.gov/omb/circulars\\_default/](http://www.whitehouse.gov/omb/circulars_default/)

Scroll down list for OMB Circular A-133

Audits of States, Local Governments, and Non-Profit Organizations

**Code of Federal Regulations, Title 45 – Public Welfare and Human Services**

[http://www.access.gpo.gov/nara/cfr/waisidx\\_02/45cfrv1\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/45cfrv1_02.html)

**Email lists:**

**NC State Government Employee Directory:**

<http://www.nc.gov/directory.aspx>

To be added to the NCACDSS fiscal list serve: Email Jessica Averhart,  
[jesica@ncacdss.org](mailto:jesica@ncacdss.org)

To receive email notices of SIS updates: Email Hank Bowers,  
[Hank.Bowers@dhhs.nc.gov](mailto:Hank.Bowers@dhhs.nc.gov)

To receive email notices of Medicaid Cost Calculation: Email John R. Moody,  
[John.R.Moody@dhhs.nc.gov](mailto:John.R.Moody@dhhs.nc.gov)

To receive email notices of Medicaid/EPICS Collections and Incentives: Email  
[Angela.Saddler@dhhs.nc.gov](mailto:Angela.Saddler@dhhs.nc.gov) Regions I & II and [Susan.Castle@dhhs.nc.gov](mailto:Susan.Castle@dhhs.nc.gov) for Regions  
III & IV

To receive email notices of Day Care Expenditures: Email John Winstead,  
[John.Winstead@dhhs.nc.gov](mailto:John.Winstead@dhhs.nc.gov)

## **Attachment A          Director's Fiscal Checklist**

### **DO YOU KNOW? (As it relates to the County DSS Office)**

1. Who completes the 1571?
2. Do several people complete parts of the DSS 1571  
<http://info.dhhs.state.nc.us/olm/manuals/dss/csm-78/man/> ?
3. Who is the trained back up person(s) for the 1571?
4. Who is responsible for reconciling revenues and expenditures?
5. As part of proper internal control procedures, does a separate person reconcile the receipt book to deposits?
6. How are cash payments, returned checks, Medicaid cards, and Food and Nutrition Services handled? Who is responsible? Is the policy in writing? Auditors will ask for this information as a part of the county single audit?
7. Who orders supplies and approves purchases?
8. Who maintains and updates fixed asset inventory log?
9. What are policy and procedures for agency trust accounts?
10. What were the results of the most recent single audit?
11. In your (director's) absence, who has written authorization to sign your name, utilize signature stamp, or electronic signature? What is the county policy?
12. Who approves staff travel under current county policy?
13. If checks are written in the agency, what is the county policy on the who, how, and when of tracking?
14. Does a separate person reconcile the bank statement?
15. What are county policy and procedures for handling budget amendments as they relate to the DSS Board, County Finance, and County Commissioner Board?
16. For purchases, what are the county limits for supplies versus capital outlay? What is county policy regarding requirements on bidding for purchases? Best practice contract documents are located: <http://www.ncdhhs.gov/dss/budget/contracts.htm>.
17. Who maintains, updates, and logs contracts for the agency?
18. Do you know the procedures and policies of your county finance officer and county manager as they relate to DSS?
19. How does the agency budget work? Find out when the budget is due to the county to allow preparation time and presentation to the DSS Board.
20. What are the current record retention guidelines? (Reference page 10 for web address).
21. How to access and review current Crosscutting Compliance Supplements requirements? (Reference page 10 for web address).
22. Review the agency's most recent Self Assessment and Facility Inspection Reports for any problems or issues.

## **Attachment B            COUNTY DSS BUSINESS CYCLE**

- July 1: New Fiscal Year begins
- July-September: State Budget Certified
- July-May: Controller issues funding authorizations, based on allocations by DSS and other Divisions
- October-December: Audit for prior year rendered; submitted to Local Government Commission for review.
- December-June: Controller's office works to resolve audit findings
- December: first 6 months payments processed, WC302 report produced; used as basis for February 15 estimates.
- January-May: Counties preparing budget for subsequent fiscal year for submission to County Finance and Board of Commissioners.
- February 15: per G.S. 108A-88, initial County Budget estimates due to counties.
- February-March: Controller's office submits DHHS portion of Compliance Supplement to Local Government Commission
- March-May: Compliance Supplement for current year issued by Local Government Commission
- April-May: Auditors arrive to begin fieldwork
- June 1: Per G.S. 159, County Budget must be presented for next fiscal year.
- The cycle starts again.



## Attachment C      List of Capped Funding Sources from Budget Estimates

In order as shown on XS 411 Report:

Line #; Allocation Name; (Name as printed on XS411 Report)

1. Social Services Block Grant (SSBG FEDERAL)
2. State In-Home Services (STATE IN HOME)
3. State Share of Foster Care & Adoptions (IV-E) Admin. (ADOPT/FC STATE)  
(Federal is uncapped)
4. Permanency Planning Special (SP PERM PLAN)
5. Adult Day Care - Federal (SPEC FEDERAL ADC)
6. LIEAP and CIP Administration (ENERGY ADMIN) – staff time coded here
7. Crisis Intervention Payments-CIP (CRISIS) – checks to CIP vendors
8. Energy Neighbors (formerly Project Share-Carolina Power & Light (CP&L))
9. State Share of Child Protective Services - IV-E (IV-E CPS)  
(Federal is uncapped)
10. TANF Domestic Violence (TANF DOM VIOL)
11. SSBG STATE (SSBG STATE)
12. JOB BOOST federal limited time funds to enhance employment opportunities.
13. CIP STATE (CIP STATE) – not currently in use as of this update
14. State Share of Medicaid Expansion (Federal is uncapped) (MA EXPANSION)
15. Smart Start Services Support (SMART START REIM)
16. Child Protective Services – State (CPS EXPANSION) CPS staff for Counties
17. Child Care Services Support (CHILD CARE DEV)
18. State Share of Adult Care Home Case Management (ADULT CARE HOME)  
(Federal is uncapped)
19. Work First County Block Grant Federal Allocation (WF FEDERAL)
20. Share the Warmth (SHARE THE WARMTH)
21. Adult Day Care - State (SPEC STATE ADC)
22. Monthly Caseworker Visits (FC CASE WKR VISIT)
23. TANF Transferred to SSBG (TANF TO SSBG)
24. Adult Protective Services – State (STATE APS)
25. TANF Child Welfare Workers – Local DSS (TANF CPS&FC/ADOPT)
26. LINKS (LINKS)
27. CONTINGENCY FNS Federal to expand admin effort by Counties
28. State Share of Adult Home Specialist (ADULT HOME SPEC) (Federal is uncapped)
29. State Share of NC Health Choice (NC HEALTH CHOICE) (Federal is uncapped)

Other Programs not tracked on XS 411 Report:

- Energy Assistance Payments      \*Special Assistance (SA)
- LINKS Special Funds - Housing & Transitional Funds; Education/Training Voucher  
\*Foster Care & Adoption Assistance
- Day Care Subsidy Payments - CCDF and Smart Start
- Medicaid and Medicaid Transportation

**Attachment D Budget Total Expenditure or County Share**

<b>Budget Total Expenditure, and Federal/State Revenue (You write the Checks and Report for Reimbursement)</b>	<b>Budget County Share Only (Your Share is Drafted from your Bank Account)</b>
<b>Public Assistance</b> (if applicable)	<b>Public Assistance</b>
A portion of Work First Family Assistance (Reg. & UP) ONLY if you need to write the check up front	Medicaid Program Costs
Title IV-B NAS Adoption Vendor Payments	Special Assistance for the Blind
Title IV-B NAG Adoption Vendor Payments	Work First Family Assistance (Reg. & UP)
Title IV-E Adoption Vendor Payments; Non-Recurring	State/County Special Asst. for Adults
Title IV-E Foster Care	Title IV-B NAS Adoption Assistance Payments
Title IV-E Maximization	Title IV-B NAG Adoption Assistance Payments
State Foster Care Benefits Program	Title IV-E Adoption Assistance Payments
Crisis Intervention Payments	
Project Share	
<b>Services</b>	<b>Services</b>
SSBG Services @ 75%	N/A
TANF Transferred to SSBG	
<b>LINKS</b>	
Child Protective Services - IV-E	
Permanency Planning Regular	
Permanency Planning Special	
Family Preservation	
Refugee Assistance Administration	
Food Stamp Workfare	
Food Stamp Employment & Training	
Work First County Block Grant – Total (Includes TANF 100% Federal, and State/County MOE)	
Adult Care Home Case Management	
Adult Protective Services - State	
Adult Home Specialist	
TANF Domestic Violence	
State In-Home Services	
Adult Day Care	
Adolescent Parenting	
Quality Improvement Pilot Program	
<b>Public Assistance Administration</b>	<b>Public Assistance Administration</b>
Medicaid Expansion	EBT Administration (Fee per Household)
State/Co. Special Asst. for Adults Admin. (no revenue)	
LIEAP and CIP Administration	
Food Assistance Administration	
Foster Care & Adoptions (IV-E) Admin.	
Foster Care, Adoptions & CPS - TANF	
Day Care Subsidy Payments	
Services Support	
Medicaid (Title XIX) Administration	
NC Health Choice	
NC Health Choice Fees Collected	
<b>NO NEED TO BUDGET COUNTY FUNDS</b>	<b>BUDGET AS REVENUE</b>
Food Stamp Allotments	IV D Fees, annual 25 and NPA application fees
Energy Assistance Payments	Offset - IV-D Incentive
Refugee Assistance Payments	Offset - Fraud Collections

## Attachment E

## Current Budget Issues:

The following is a list of Budget issues for FY 2011-2012. This may help in planning your county Budget for FY 2011-2012.

1. Review what you plan to budget for Foster Care Board payments and any additional cost you may incur such as county only expenditures. Counties should review where children are placed, cost of those placements and how many children you plan to include in the budget. A Foster Care budgeting template is available to assist in budgeting expenditures and revenues.
2. Effective July 2009, counties will no longer be responsible for the county share of Medicaid benefits. You will be drafted for EPICS adjustments, direct Medicaid Transportation cost and possible other adjustments, need to review how these will be handled in your county. .
3. Enhanced funding will be available for Interpreters or staff who does eligibility for Medicaid and Health Choice.
4. The new Standard Board rate effective January 2009 for Foster children will also apply to Adoption Assistance. Budget enough funds for Adoption Assistance Vendor Payments? Review what you are approving for Vendor payments under Adoption Assistance.
5. Review costs and fees for providing Adoption Intermediary Services.
6. Child Support: How are you planning to budget and report Child Support Incentives? How will you budget the NPA Fees collections as revenues, when received in your county. How will you budget and report the \$25 fee paid by clients in your agency for Child Support? Any changes in your Child Support Contract? Counties will be responsible for paying for all Paternity Testing effective July 2011 and claiming reimbursement. Do you have this budgeted?
7. EBT cost will be \$.55 per-case-per-month; county share will be\$ .275. Cost for operating the Call Center are 50% Federal and 50% County.. The method for how the cost is calculated has changed to an annual projected cost with adjustments. You need to review your Food and Nutrition Services (Food Stamp) Caseload for increases and possible decreases. Please review your drafts to help determine what you will need to budget. Do you need to budget an amount in the event of a Disaster Food Stamp Program?
8. What are your potential expenses for the various employment programs operated by Food and Nutrition Services? Does your county plan to offer the Employment and Training Program?
9. Travel expense for staff- Review all programs including Child Welfare Core Training. Will your county increase/lower mileage and/or per diem rates? If you operate county cars how will the increase/decrease in the cost of fuel impact your budget? Contracts for transportation cost, be aware of rising fuel cost.
10. Automation - How old is your hardware (PC's, LANs, Servers)? Is there a plan for replacement/repair? Include printer and cartridge cost (may be considered supplies). Copiers - How are they working? Can you find something cheaper? Is it time to renew the lease? What are software needs for licensure, encryption or other costs?
11. Leasing Equipment- determine what type of lease you have (capital or operating) - do you need approval from the Controllers Office? Do you lease a postage machine?
12. Telephone, Internet, Cell Phones - Have you looked at rates, group purchase of cell phone minutes, and cheaper Internet provider? Who needs a cell phone?

13. Supplies - Do you have enough budgeted to provide staff with supplies? Have supply needs increased? Review postage needs/costs? Watch for fuel surcharges on deliveries.
14. Discuss plans to replace office furniture, repairs and maintenance on building?
15. Review service contracts on cost for repairs/replacements on computers, copiers, telephone, beepers, cell phones, pest control, heating/ cooling systems maintenance.
16. MAXIMUS contract cost for TEC, QUIC, PET and PAC - It should be \$1675 for TEC,QUIC and the Part IV, \$800 for PET and \$400 for PAC.
17. Does the agency plan to contract with someone to assist with Personnel issues?
18. Contracts for attorney fees and planned expenses - Write to the DSS Budget Officer for FY-2011-2012 for permission to exceed the \$125/hour rate. You will need to include documentation why you are requesting a waiver from the established rate.
19. Review agency file room space? How are you applying the record retention policy?
20. Employee recruitment cost for advertising- How will vacancies be covered? Does your agency contract for staff? If you contract for temporary staff will they be housed on-site, off-site? What kind of expenses may they incur?
21. Employee cost- Consider such increases as higher Medical insurance and salary increases (merits, cost of living, etc.)?
22. Medicaid Transportation - Is budgeting based on current expenditures and projected need? Counties will continue to pay for Medicaid Transportation and be reimbursed. Are other transportations funds available, i.e. EDTAP, RGP?
23. Special Assistance county dollars budgeted - How does your spending compare to the budget estimates? Do you have any new adult care homes in your county?
24. Child Day Care expenditures and allocations - How do they compare? How does current year spending compare with next year's allocation?
25. CAP-DA - Have you looked at staffing, caseload, revenue and expenditures? How will the three hour limit for case management impact your budget?
26. Are you planning to use Medicaid at Risk as a funding source for Adult Services? Is staff aware of documentation and billing requirements?
27. Do Work First expenditures match what you projected in your Work First Plan and what staff actually code on the day sheets?
28. Will your county receive the Special Adoption incentive? If so, budget expenditures and revenues?
29. Does your county plan to use the special LINKS funding? If so, budget expenditures and revenues?
30. Watch Indirect Cost Plans, because you will not have next year's final plan at the same time you are doing next year's budget. You will probably be using your current indirect cost plan cost for next year's budget.
31. You will need to have new contracts in place effective July 1, 2011
32. The possibility of changes in funding from the General Assembly - How will these impact services and funding provided by your county? What are your plans if funding changes during the budget process or after your budget is adopted?
33. Can you explain changes in your budget i.e. increase in County Dollar, decrease in revenue?
34. If during a monitoring/audit you have a payback due to overpayments, how will this be handled in your county? Counties may need to budget funds for County Responsible Overpayments.

This list is not all-inclusive. Revised 1-7-2011

## **Attachment F**

### **How to Prepare for a DSS Budget Using the Budget Template**

1. Gather past history of expenditures, future planning for staff, equipment and contracts.
2. Compile averages for FTE's spent in programs for all services. This can be done by using the Maximus TEC Report Wizard. Open TEC, click Reports, All Reports, and choose Avg Percent of Time Report. There is the option of getting averages on a YTD, quarterly, or any other time frame you wish by entering the "From" and "To" period. Be sure to include any vacant positions (if not listed on the Avg Percent of Time Report) and any new staff positions that may be proposed in the current budget request.
3. Compile a list of each individual's annualized salary – consider work against status, probation increases, etc. that may occur during the coming year.
4. Obtain the monthly figure for hospital insurance, retirement percentage, 401K, cost of living. Merit increases, etc.
5. If possible, obtain the new 310 and 311 Indirect Cost figures and cost of space for the year. If new figures are not available, use current figures and adjust when the new figures are received.
6. You will need annualized 349, 359, 361 cost allocation expenditures (travel/training for Services, Income Maintenance and Child Support)
7. You will need an annualized 310 expenditures (county line item expenditures i.e. telephone/postage, admin. travel, capital outlay, etc.). 310 expenses are usually the DSS operating costs.
8. Compile figures for what YOUR County will be budgeting for program areas (Foster Care, Adoption Assistance, Medicaid, food stamp issuance, etc.) See Attachment E on pages 17-18.
9. Other items needed are the State Estimates, Budget Narrative, and Mid Year XS337 and WC302 reports.
10. When gathering your data remember after you complete the template, information will have to be posted and balanced to the county general ledger.

Budgeting for staff performing Work First with Eligibility and Income Maintenance Services requiring the white day sheet:

IM Caseworkers performing Work First Eligibility are considered a function in Services. This is why they do the 4263 green days sheets when performing case management (522 SIS code) and administration (545 SIS code) and is keyed into the SIS system. For template entry, a split entry will be required. The time spent doing Work First with and without Eligibility will be budgeted in the Service area of the Template. Hand calculations will need to be done before entering into the Template.

Example:

IM Caseworker total salary	\$20,000
30% of time spent in WF Case Management	x .30% = \$ 6,000
70% of time spent in Income Maintenance	x .70% = \$ 14,000

\$6,000 would be total salary in Services with .30 equivalent. Insurance would be:  
12 months X 30% = 3.6 or 4 months for insurance.

\$14,000 would be total salary in IM with .70 equivalent. The 70% equivalent balance of 1.00 FTE split between – 40% Food & Nutrition Services and 30% Medicaid Eligibility (30% MA would be split between MA and NCHC based on % from NCXPTR report DHRWDB SUMMARY NCHC VS MEDICAID). This will also require a split entry within the IM section due to a different Function Code for NCHC. Insurance would be:  
12 months X 70% = 8.4 or 8 months for insurance.

██████████ Dss  
 TEC for the DSS Fund  
 Summarized - Average Percentage of Time by Employee  
 Period 7/2004 to 7/2004

Last Name >= Abbott and Last Name <= Yount

Func	Col	Part	Position	Job Class	Salary	Benefits	Total Comp	Fnc/Col Equiv	Avg Equiv %		
EMPLOYEE: ██████████	83	00	A	Service Clerical/support	01182	CACD	3,484.72	435.26	3,919.98	0.00	0.00
							<u>3,484.72</u>	<u>435.26</u>	<u>3,919.98</u>	<u>0.00</u>	<u>0.00</u>
EMPLOYEE: ██████████	83	00	A	Service Clerical/support	00664	Attrn	7,577.43	1,422.34	8,999.77	1.00	100.00%
							<u>7,577.43</u>	<u>1,422.34</u>	<u>8,999.77</u>	<u>1.00</u>	<u>100.00%</u>
EMPLOYEE: ██████████	34	11	A	Other Mental Health	00629	CLINICI	1,739.54	446.53	2,186.07	1.00	100.00%
							<u>1,739.54</u>	<u>446.53</u>	<u>2,186.07</u>	<u>1.00</u>	<u>100.00%</u>
EMPLOYEE: ██████████	34	09	A	County Program 34	00883	NSS	1,313.10	176.63	1,489.73	0.50	100.00%
							<u>1,313.10</u>	<u>176.63</u>	<u>1,489.73</u>	<u>0.50</u>	<u>100.00%</u>
EMPLOYEE: ██████████	83	00	A	Service Clerical/support	00655	ADSS/S	3,324.21	895.06	4,219.27	1.00	100.00%
							<u>3,324.21</u>	<u>895.06</u>	<u>4,219.27</u>	<u>1.00</u>	<u>100.00%</u>
EMPLOYEE: ██████████	98	00	B	Administration Super. &	00637	OOS/A	3,655.83	933.82	4,589.65	1.00	100.00%
							<u>3,655.83</u>	<u>933.82</u>	<u>4,589.65</u>	<u>1.00</u>	<u>100.00%</u>
EMPLOYEE: ██████████	79	09	C	Child Support Worker	01207	CSA	3,506.76	921.86	4,428.62	1.00	100.00%
							<u>3,506.76</u>	<u>921.86</u>	<u>4,428.62</u>	<u>1.00</u>	<u>100.00%</u>
EMPLOYEE: ██████████	34	11	A	Other Mental Health	00598	CLINICI	1,974.22	430.16	2,404.38	1.00	100.00%
							<u>1,974.22</u>	<u>430.16</u>	<u>2,404.38</u>	<u>1.00</u>	<u>100.00%</u>

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██████████ Dss  
 TEC for the DSS Fund  
 Summarized - Average Percentage of Time by Employee  
 Period 7/2004 to 7/2004

Last Name >= Abbott and Last Name <= Yount

Func	Col	Part	Position	Job Class	Salary	Benefits	Total Comp	Fnc/Col Equiv	Avg Equiv %		
EMPLOYEE: ██████████	31	18	A	County Program 31	00890	TP	0.00	313.96	313.96	0.00	0.00
							<u>0.00</u>	<u>313.96</u>	<u>313.96</u>	<u>0.00</u>	<u>0.00</u>
EMPLOYEE: ██████████	98	00	B	Administration Super. &	01181	TCOORD	4,296.24	1,020.17	5,316.41	1.00	100.00%
							<u>4,296.24</u>	<u>1,020.17</u>	<u>5,316.41</u>	<u>1.00</u>	<u>100.00%</u>
EMPLOYEE: ██████████	79	09	C	Child Support Worker	00823	CSA	4,288.33	1,009.39	5,297.72	1.00	100.00%
							<u>4,288.33</u>	<u>1,009.39</u>	<u>5,297.72</u>	<u>1.00</u>	<u>100.00%</u>
EMPLOYEE: ██████████	33	09	A	Smart Start	01186	CLINICI	1,514.14	383.67	1,897.81	1.00	100.00%
							<u>1,514.14</u>	<u>383.67</u>	<u>1,897.81</u>	<u>1.00</u>	<u>100.00%</u>
EMPLOYEE: ██████████	86	00	C	iv-sup. And Clerical/support	00814	ADMSS/	2,650.88	1,008.71	3,659.59	1.00	100.00%
							<u>2,650.88</u>	<u>1,008.71</u>	<u>3,659.59</u>	<u>1.00</u>	<u>100.00%</u>
EMPLOYEE: ██████████	01	09	A	Service Worker Ssbq	00752	SWIII	2,455.37	506.51	2,961.88	0.41	41.00%
	01	14	A	Permanency Planning	00752	SWIII	793.11	163.61	956.72	0.13	13.00%
	38	09	A	iv-e Optional	00752	SWIII	2,787.34	574.99	3,362.33	0.46	46.00%
							<u>6,035.82</u>	<u>1,245.11</u>	<u>7,280.93</u>	<u>1.00</u>	<u>100.00%</u>
EMPLOYEE: ██████████	34	11	A	Other Mental Health	01223	CLINICI	1,707.35	447.94	2,155.29	1.00	100.00%
							<u>1,707.35</u>	<u>447.94</u>	<u>2,155.29</u>	<u>1.00</u>	<u>100.00%</u>

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██████████ DSS  
 TEC for the DSS Fund  
 Summarized - Average Percentage of Time by Employee  
 Period 7/2004 to 7/2004

Last Name >= Abbott and Last Name <= Yount

Func	Col	Part	Position	Job Class	Salary	Benefits	Total Comp	Fnc/Col Equiv	Avg Equiv %	
EMPLOYEE: ██████████ ██████████										
32	10	A	Individual/family Therapy	00617	CLINICI	1,143.49	277.93	1,421.42	0.69	69.00%
32	11	A	Group Therapy (family Net)	00617	CLINICI	295.13	71.73	366.86	0.18	18.00%
34	10	A	C. Eval/intake/screening	00617	CLINICI	176.98	43.02	220.00	0.11	11.00%
34	11	A	Other Mental Health	00617	CLINICI	36.85	6.96	45.81	0.02	2.00%
					<u>1,652.45</u>	<u>401.64</u>	<u>2,054.09</u>	<u>1.00</u>	<u>100.00%</u>	
EMPLOYEE: ██████████ ██████████										
64	14	B	Eligibility Specialist-food St	00788	IMC	3,053.17	862.87	3,916.04	1.00	100.00%
					<u>3,053.17</u>	<u>862.87</u>	<u>3,916.04</u>	<u>1.00</u>	<u>100.00%</u>	
EMPLOYEE: ██████████ ██████████										
01	09	A	Service Worker Ssbg	00694	SWIII	1,606.25	332.66	1,938.91	0.26	26.00%
09	18	A	Medicaid At Risk Case	00694	SWIII	4,526.83	937.53	5,464.36	0.74	74.00%
					<u>6,133.08</u>	<u>1,270.19</u>	<u>7,403.27</u>	<u>1.00</u>	<u>100.00%</u>	
EMPLOYEE: ██████████ ██████████										
01	09	A	Service Worker Ssbg	00683	FCSW	89.97	20.60	110.57	0.02	2.00%
09	18	A	Medicaid At Risk Case	00683	FCSW	494.13	113.13	607.26	0.10	10.00%
38	09	A	Iv-e Optional	00683	FCSW	4,070.32	931.92	5,002.24	0.87	87.00%
54	10	A	Tanf	00683	FCSW	56.05	12.83	68.88	0.01	1.00%
					<u>4,710.47</u>	<u>1,078.48</u>	<u>5,788.95</u>	<u>1.00</u>	<u>100.00%</u>	
EMPLOYEE: ██████████ ██████████										
01	09	A	Service Worker Ssbg	01204	SWIII	3,099.33	675.07	3,774.40	0.65	65.00%
38	09	A	Iv-e Optional	01204	SWIII	1,552.06	359.84	2,011.90	0.35	35.00%
					<u>4,751.39</u>	<u>1,034.91</u>	<u>5,786.30</u>	<u>1.00</u>	<u>100.00%</u>	
EMPLOYEE: ██████████ ██████████										
63	09	B	Nchealth Choice	01201	IMC	145.65	33.69	179.34	0.10	10.00%
64	10	B	Eligibility Specialist-ma	01201	IMC	1,327.06	306.96	1,634.02	0.90	90.00%
					<u>1,472.71</u>	<u>340.65</u>	<u>1,813.36</u>	<u>1.00</u>	<u>100.00%</u>	





## Attachment H-1      Direct Charging and Expensing of Equipment

From NC DHHS Controller's Office, letter dated 4/28/03

<http://www.ncdhhs.gov/control/socserv/direct.doc>

### General guidelines to follow when direct charging or expensing equipment are:

1. Equipment with a unit cost of \$5,000 or less may be expensed without prior State approval if it is being cost-allocated to a code such as 310-General Administrative Support.
2. Equipment with a unit cost of \$5,000 or less may be direct charged to a particular funding source with the approval of the State (both Division Director and DHHS Controller).
3. For equipment (except ADP) with a unit cost over \$5,000 that the county wants to direct charge and/or expense to a particular funding source, the county must have prior State approval (both Division Director and DHHS Controller).
4. Items of ADP equipment with a unit cost over \$5,000 may be direct charged to a particular funding source with prior State approval but must be depreciated. For further clarification on depreciation, please contact your local business liaison or County Administration.
5. Items of ADP equipment with a unit cost over \$5,000 may be direct charged to a code such as 310-General Administrative Support with prior State approval but must be **depreciated**. Items of ADP equipment with a unit cost of \$5,000 or less may be expensed without prior State approval if it is being cost-allocated to a code such as 310-General Administrative Support.
6. When State approval is required to either expense or direct charge, you must send a written request explaining your request. Please be aware that these requests must be reviewed by both program and fiscal staff, thus lengthening the approval process.  
***Effective July 1, 2004 for FY 04-05, it is no longer required that the original signature of the county director on the request to direct charge and/or expense equipment letter be mailed to the Controller's Office; it may be faxed to the Controller's office. Electronic signatures and signature stamps are permitted. However, it is the responsibility of the county to establish procedures assuring that only authorized persons have access to facsimile signatures. Regardless of whether a copy of the document is faxed or mailed, counties are required to retain a copy of the document submitted for retention and audit purposes.***

The written requests must include the following:

- a). A detailed list of the number and cost of the various units of equipment. The attached form must be completed.
- b). An explanation detailing how the equipment will be used and by whom. It should also explain how the equipment will benefit the local agency and/or the particular program.
- c). If request is to direct charge equipment for particular staff, a description of work performed by the staff and their title. If the position is determining eligibility for more than one funding source or if their time is supervisory and/or clerical, the request to direct charge cannot be approved.
- d). The person in the county that may be contacted if more information or explanation is needed.
- e). A statement that the equipment will be used only for the particular funding source to which it is being charged during its useful life and that you accept responsibility for appropriate records.

**Attachment H-2      REQUEST TO DIRECT CHARGE, EXPENSE OR DEPRECIATE  
EQUIPMENT**

County: \_\_\_\_\_ Date of Request: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Telephone No.: \_\_\_\_\_

This request is to:     Direct Charge     Expense     Depreciate

If direct charging:

The item(s) of equipment outlined below will be used solely by (check one or both):     Staff     Clients

We request approval to direct charge these items to the \_\_\_\_\_ funding source.  
We agree, as the basis for making this request, to ensure that this equipment will be used solely for the benefit of the funding program throughout its useful life. We further agree to maintain appropriate records to demonstrate compliance with this requirement. \*Please attach a separate sheet showing what positions will be using the equipment, what parts of the 1571 are they reported on, and function & column.

Quantity	Item Description	Unit Price	Total Price	Explanation/Justification

Additional information to justify the request, including information on how approval of the request will benefit the county department or its clients:

## Attachment I COMMONLY USED ACRONYMS & TERMS

1571	State Reimbursement System/ Report County uses to get reimbursement
AA	Aid to the Aged
AB	Aid to the Blind
ABAWD	Able-bodied Adult without Dependent
ACHCM	Adult Care Home Case Management
AD	Aid to the Disabled
A/R	Applicant/Recipient
AGING	Division of Aging
AHS	Adult Home Specialist
AOC	Administrative Office of the Court
AP	Absent Parent
APA	Administrative Procedures Act
APR	Adult Programs Representative
APS	Adult Protective Services
ARCM	At Risk Case Management
BUDGET ESTIMATES	Provided by State by February 15 or earlier to help you prepare your budget for the next fiscal year
CAA	Community Action Agency
CAP	Community Alternative Program
CCBG	Community Care Block Grant.
CCDF	Child Care Development Fund
CCPT	Community Child Protection Team
CFR	Child Fatality Review
CFSR	Child and Family Services Review
CIP	Crisis Intervention Program
COMPLIANCE SUPPLEMENTS	Tells auditors what to check for in Single County Audit
CPPS	Child Placement and Payment System
CPR	Children Program Representative
CROSSCUTTING REQUIREMENTS	Tells auditors what to check for in Single County Audit
CPS	Child Protective Services
CSE	Child Support Enforcement
CSE Rep.	Child Support Consultant
DAAS	Division of Aging and Adult Services
DCD	Division Of Child Development
DC Rep.	Day Care Subsidy Services Consultants
DFS	Division of Facility Services
DHHS	Department of Health & Human Services
DOT	Department of Transportation
DIRM	Division of Information Resources Management
DIVISION	State Division of Social Services
DMA	Division of Medical Assistance

DPH	Division Of Public Health
DPI	Department of Public Instruction
DSB	Division Of Services For The Blind
DSS	Local Department of Social Services
DSS	State Division of Social Services
DV	Domestic Violence
E & T	Employment and Training
EBT	Electronic Benefits Transfer
EFT	Electronic Funds Transfer
EPICS	Enterprise Program Integrity Control System
FAEP Rep	Food Assistance and Energy Program Consultant
FC	Foster Care
FCHC	Family and Children Health Choice
FEMA	Federal Emergency Management Act
FFP	Federal Financial Participation
FNS	Food & Nutrition Services
FSCWS	Family Support and Child Welfare Services Section
FSIS	Food Stamp Information System
FTE	Full Time Equivalent
GA	General Assistance
GS	General Statues
HAPP COUNCIL	Human Services Automation Policy and Planning
HC	Health Choice
HIPPA	The Health Insurance Portability and Accountability Act of 1996
ICCA	Individual Child Care Arrangement
ICF	Intermediate Care Facility
IV-D	Child Support Enforcement
IV-E	WFFA Foster Care and Adoption Assistance
LBL	Local Business Liaison
LBR	Leading By Results
LGC	Local Government Commission
LIEAP	Low Income Energy Assistance Program (State title)
LIHEAP	Low Income Home Energy Assistance Program (Federal title)
LINKS	LINKS Letters do not Stand for Anything. It is a IV-E Program That is Designed to Help Adolescents age 13 thru 20 who are in Foster Care be Connected with Resources to Help Them be Self Sufficient.
LME	Local Management Entity
LTC	Long Term Care
MAXIMUS	Software Co that Developed Software that Counties use to claim Reimbursement for Admin Expenses via DSS 1571
MOE	Maintenance Of Effort
MRS	Multiple Response System
NC FAST	NC Families Accessing Services Through Technology
NCAC	North Carolina Administrative Code
NCACDSS	NC Association Of County Directors Of Social Services
NCAS	NC Accounting System
NCDSS	State Division of Social Services

NCGS	NC General Statutes
NCNG	North Carolina Natural Gas
OSBM	Office of State Budget and Management
PA	Public Assistance
PAC	Budget Software Part IV, 1571 Reporting
PCM	Program Compliance Monitor
PCR	Program Compliance Representative
PCS	Personal Care Services
PET	Part II of 1571 reporting
PIP	Program Improvement Plan
PIR	Program Integrity Representative
PQA	Foster Care and Adoption Assistance Reports
QSAP	Qualified Substance Abuse Professional
QuIC	Budget Software used by Counties to Cost Allocation Monthly 1571 Costs
RA	Remittance Advice
SA	State County Special Assistance for Adults
SAIT	Special Assistance and Improvement Team
SFHF	State Foster Home Fund
SEEK	Subsidized Early Education for Kids
SINGLE AUDIT	Counties Contract to Have a Single Audit Done Each Year for all Financial Activities
SIS	Services Information System
SNAP	Simplified Nutritional Assistance Program
SSA	Social Security Administration
SSBG	Social Services Block Grant
SSI	Supplemental Security Income
TANF	Temporary Assistance for Needy Families
TAR	Transportation
TEA	Temporary Emergency Assistance
TEC	Budget Software- See Maximus
WC302	Report That Shows Total Expenditure by Share for Entire Year. Used by Auditors for Year End.
WC373	Year to Date and Monthly TANF/Work First Block Grant Expenditure Report
WF	Work First
WFBG (WFCBG)	Work First Block Grant (Work First County Block Grant)
WFR	Work First Representative
XPTR (NCXPTR)	NC State Computer Network/Access to Reports
XS411	Shows Monthly Federal/State Allocation Expenditures
XTND/XNET	Windows Based NC State Computer Network/Access to Reports

**The above list is not all inclusive**

**Attachment I-1 County Administration XPTR Report Names and Information**

**These are the most commonly used reports.**

XPTR Access Code	What the Report Shows
DHRWCA WCA450 NOTIFICATIONS RPT	Monthly Closing Notification Report, tells you whether the previous month's data has been completely processed, and if the system is ready for you to transmit 1571 data for the new month.
DHRWCA DAILY XS305/BX EDIT REPORT	Edit errors for the Part IV, I, and II; tells whether part of the 1571 did not process and reason
DHRWCA DAILY XS315 PART I/II REPORT	Good transactions of Part I & II; shows actual 1571 Part I and II data that you uploaded successfully from TEC and QUIC.
DHRWCA DAILY XS319 PART IV REPORT	Good transactions of Part IV; shows actual 1571 Part IV data that you uploaded successfully, either through the DIRM software or through Maximus' PAC software.
DHRWCA WCA305 XS307 DATA POSTED	County Transmittal Tracking, tells whether the most recent 1571 for your county has been received by the state, and what time it was processed.
DHRWCA COUNTY TRANSMITTAL BAL RPT	Parts I, II, & IV Balance Control Report (compares file total with "Certification") If not transmitted and balanced by 20 <sup>th</sup> of month, your 1571 is considered late and you will not be eligible for an interim payment the following month
DHRWCA WCA335 XS325 SUM & DIST	Resulting costs from the 1571 you upload, after allocated overhead is distributed based on FTE's by program (you can print your own XS325 from QuIC prior to uploading)
DHRWCA WCA335 XS335 REM. CO. WEL	Reimbursement of Expenditures for month; pulls from XS325 and breaks costs into Federal, State, and County. Note any manual adjustments by the state and reasons, e.g. you ran out of an allocation and the expenditure was re-coded to 100% county (you can print your own XS335 from QuIC prior to uploading)
DHRWCA WCA375 XS337 CTY SUM REP	Reimbursement of Expenditures, same as XS335 except this is cumulative Year To Date for the fiscal year.
DHRWCA WCA410 XS411C CTY MTH ALL	Allocation balances (Spending of Capped Fund Sources). <b>Manage carefully to maximize revenues (you can print your own XS411 from QuIC prior to uploading)</b>
DHRWCA WCA410 WC373 MTH WF RPT	Work First Monthly Expenditures; shows Work First Block Grant Expenditures for the month. Track TANF in the Federal Share column (also on 411 report) and County MOE in the county share column (you can set up QuIC 411 to track county MOE as well, and view prior to uploading)
DHRWCA WCA410 WC373 YTD WF RPT	Work First Year-To-Date Expenditures; shows Work First Block Grant Expenditures cumulatively for the fiscal year. Track TANF in the Federal Share column (also on 411 report) and County MOE in the county share column (you can set up QuIC 411 to track county MOE as well, and view prior to loading)
DHRWCA 302 BUDGETED CTY EXP. RPT	Participation in Budgeted County Expenditures; shows County Admin and Services, as well as Public Assistance Costs. Auditors use this report to reconcile to county ledger.

**Attachment J-1 EFT Description/Balancing Procedure List**

SUBSYSTEM/ DESCRIPTION	PROGRAM/ BILLING INFO	SHORT EXPLANATION	BALANCING PROCEDURE
ADOPT. ASST.	IV-B	Adoption assistance payments	PQA059 (Child Placement Cash Payment Warrant Calculation Report): Regular Run, Daily: County column
ADOPT. ASST.	IV-E	Adoption assistance payments	PQA059 (Child Placement Cash Payment Warrant Calculation Report): Regular Run, Daily: County column
ADOPT. ASST.	IVEW	Adoption assistance payments	PQA059 (Child Placement Cash Payment Warrant Calculation Report): Regular Run, Daily: County column
ADOPT. ASST.	STAT	Adoption assistance payments	PQA059 (Child Placement Cash Payment Warrant Calculation Report): Regular Run, Daily: County column
ADOPT. ASST.	IVBW	Adoption assistance payments	PQA059 (Child Placement Cash Payment Warrant Calculation Report): Regular Run, Daily: County column
ADOPT. ASST.	FWGO	Adoption assistance payments	PQA059 (Child Placement Cash Payment Warrant Calculation Report): Regular Run, Daily: County column
COUNTY ADMIN.	NAM-I	Interim payment	This amount is shown only as the total for Application Code "446" on the last page of the final "WCA335XS335" County Admin report for a month. (for counties that <u>DO</u> report Indian related expenditures)
COUNTY ADMIN.	WCA-I	Interim payment	This amount is shown only as the total for Application Code "446" on the last page of the final "WCA335XS335" County Admin report for a month. (for counties that <u>DO NOT</u> report Indian related expenditures)
COUNTY ADMIN.	NAM-S	Settlement payment	This amount is shown as "Warrant Amt" on the last page of the final "WCA335XS335" County Admin report for a month. (for counties that <u>DO</u> report Indian related expenditures)
COUNTY ADMIN.	WCA-S	Settlement payment	This amount is shown as "Warrant Amt" on the last page of the final "WCA335XS335" County Admin report for a month. (for counties that <u>DO NOT</u> report Indian related expenditures)
COUNTY ADMIN.	IVD-S	Settlement payment	This amount is shown as "Warrant Amt" on the last page of the final "WCA334XS335" County Admin report for a month. (for counties that have a separate IV-D offices, listed as 4XX county)
CSE-BLOOD TEST	BTFE	Child Support Distributions	DHRFCK Payments distributed per county, regular run, monthly, (column title identifies category)
CSE-LEGAL FEES	CTFE	Child Support Distributions	DHRFCK Payments distributed per county, regular run, monthly, (column title identifies category)
CSE-NPA FEES	NFEE	Child Support Distributions	Quarterly distribution of county share of collected fees for NPA, MAO or "never assistance" cases
CSE-INCENTIVE	REG.	Quarterly Incentive Payments	DHRFCK Payments distributed per county, regular run, monthly, (column title identifies category)
CSE-INCENTIVE	SET.	Incentive Payments	Federal Incentive Payments distributed per county, when received (column title identifies category)
CSE-SETOFF-FEES	FED.	Child Support Distributions	DHRFCK Payments distributed per county, regular run, monthly, (column title identifies category)
CSE-SHARES	AFDC	Child Support Distributions	DHRFCK Payments distributed per county, regular run, monthly, (column title identifies category)
CSE-SHARES	IVE	Child Support Distributions	DHRFCK Payments distributed per county, regular run, monthly, (column title identifies category)
CSE-SHARES	SFHF	Child Support Distributions	DHRFCK Payments distributed per county, regular run, monthly, (column title identifies category)
ELIGIBILITY	AAF	Adjustments of PA payments	WARRANT CALCULATION: Regular Run: County column
ELIGIBILITY	AAF-UP	Adjustments of PA payments	WARRANT CALCULATION: Regular Run: County column
ELIGIBILITY	RRF	Public Assistance payments	WARRANT CALCULATION: Regular Run, 10 Day Accumulative, Second Accumulative: County column
ELIGIBILITY	SAA	Public Assistance payments	WARRANT CALCULATION: Regular Run, 10 Day Accumulative, Second Accumulative: County column
ELIGIBILITY	SAD	Public Assistance payments	WARRANT CALCULATION: Regular Run, 10 Day Accumulative, Second Accumulative: County column
ELIGIBILITY	SCD	Public Assistance payments	WARRANT CALCULATION: Regular Run, 10 Day Accumulative, Second Accumulative: County column
ELIGIBILITY	WFB	Public Assistance payments	WARRANT CALCULATION: Regular Run, 10 Day Accumulative, Second Accumulative: County column
ELIGIBILITY	TNF	Public Assistance payments	WARRANT CALCULATION: Regular Run, 10 Day Accumulative, Second Accumulative: County column; County issued: Total of Federal and State columns

ELIGIBILITY	TNF-UP	Public Assistance payments	WARRANT CALCULATION: Regular Run, 10 Day Accumulative, Second Accumulative: County column; County issued: Total of Federal and State columns
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SUBSYSTEM/ DESCRIPTION	PROGRAM/ BILLING INFO	SHORT EXPLANATION	BALANCING PROCEDURE
FOSTER CARE	AT RISK	Foster care reimbursement	PQA029 (Child Placement Foster Care Warrant Calculation Report): Monthly run: cover check/sight draft amount
FOSTER CARE	IV-E	Foster care reimbursement	PQA029 (Child Placement Foster Care Warrant Calculation Report): Monthly run: cover check/sight draft amount
FOSTER CARE	IV-W	Foster care reimbursement	PQA029 (Child Placement Foster Care Warrant Calculation Report): Monthly run: cover check/sight draft amount
FOSTER CARE	R&B	Foster care reimbursement	PQA029 (Child Placement Foster Care Warrant Calculation Report): Monthly run: cover check/sight draft amount
FOSTER CARE	SFHF	Foster care reimbursement	PQA029 (Child Placement Foster Care Warrant Calculation Report): Monthly run: cover check/sight draft amount
FOSTER CARE	TEA	Foster care reimbursement	PQA029 (Child Placement Foster Care Warrant Calculation Report): Monthly run: cover check/sight draft amount
LIEAP	EPA	Public Assistance payments	WARRANT CALCULATION: End of Month run: County column
MAXIMIZATION	AT RISK	Foster care reimbursement	PQA029 (Child Placement Foster Care Warrant Calculation Report): Monthly run: cover check/sight draft amount
MAXIMIZATION	IV-E	Foster care reimbursement	PQA029 (Child Placement Foster Care Warrant Calculation Report): Monthly run: cover check/sight draft amount
MAXIMIZATION	R&B	Foster care reimbursement	PQA029 (Child Placement Foster Care Warrant Calculation Report): Monthly run: cover check/sight draft amount
MAXIMIZATION	TEA	Foster care reimbursement	PQA029 (Child Placement Foster Care Warrant Calculation Report): Monthly run: cover check/sight draft amount
MAXIMIZATION	FFE	Foster care reimbursement	PQA029 (Child Placement Foster Care Warrant Calculation Report): Monthly run: cover check/sight draft amount
MAXIMIZATION	FAE	Foster care reimbursement	PQA029 (Child Placement Foster Care Warrant Calculation Report): Monthly run: cover check/sight draft amount
MAXIMIZATION	FLE	Foster care reimbursement	PQA029 (Child Placement Foster Care Warrant Calculation Report): Monthly run: cover check/sight draft amount
MAXIMIZATION	SFHF	Foster care reimbursement	PQA029 (Child Placement Foster Care Warrant Calculation Report): Monthly run: cover check/sight draft amount
VENDOR	IV-B	Foster care reimbursement	PQA039 (Child Placement Vendor Payment Warrant Calculation Report): Monthly run: cover check/sight draft amount
VENDOR	IV-E	Foster care reimbursement	PQA039 (Child Placement Vendor Payment Warrant Calculation Report): Monthly run: cover check/sight draft amount
VENDOR	STAT	Foster care reimbursement	PQA039 (Child Placement Vendor Payment Warrant Calculation Report): Monthly run: cover check/sight draft amount
XX/CCYY SVS	COBILL	County billing DSB	Division Services for Blind (DSB) Monthly Invoice, Total amount due

SUBSYSTEM/ DESCRIPTION	PROGRAM/ BILLING INFO	SHORT EXPLANATION	BALANCING PROCEDURE
1656 RETURNS	VARIOUS		FORMS/LETTERS SENT AS BACK UP
ADMIN MAXIMIZATION	IV-E		CO SHARE OF ADMIN PAYMENTS TO CCIS
PURCHASE SERVICE ADOPT	XXX AA		LETTER FROM ADOPTION UNIT-DSS
Retroactive Adoption	IV-B		LETTER FROM ADOPTION UNIT-DSS
Retroactive Adoption	IV-E		LETTER FROM ADOPTION UNIT-DSS
Retroactive Adoption	STATE		LETTER FROM ADOPTION UNIT-DSS
BANK BLOCK/BANK PROBLEM	REDRAFT		PREVIOUS DRAFT REFUSED BY BANK, REDRAFT AFTER COUNTY NOTIFIED
CO SH ANNUAL SVS FEES	CHILD SUPP		County share of the \$25 fees collected prior federal fiscal year, one time payment subsequently through CSE EFT
SAB PROGRAM XX/10	CO SHARE		For months July-September 2010, Special Assistance to Blind Payments manually billed until payments are moved into the Eligibility Information System beginning October 2010.
MM/YYYY EQUAL PAY	Call Ctr		County share of the average Call Center costs paid by the DHHS Controller's office
FOSTER CARE MM/YY	HIV		REIMBURSEMENT FOR HIV FOSTERCARE REQUESTED BY COUNTIES



FOSTER CARE	HIV ST		ADJUSTMENT NOTIFICATION from DSS
CPPS HOLD HARMLESS	XX/XX SVS		SPECIAL PROVISION (HOLD HARMLESS) REPORT PROVIDED BY DSS
HIV FC	OVERPAYMENT		DRAFT FOR OVERPAYMENT FOR HIV FOSTER CARE PAYMENTS
XXXXX	OVERCOLLECT		REPAYMENT OF OVERCOLLECTION FOR PROGRAMS
IND LIV LINKS	TRANS HOUSING		REPORTED EXPENDITURES TO INDEPENDENT LIVING UNIT-DSS
IND LIV LINKS	TRANSITIONAL		REPORTED EXPENDITURES TO INDEPENDENT LIVING UNIT-DSS
ARRA CA MEDICAID	PY-TRANSPORT		COUNTY ADMIN (1571) MEDICAID TRANSPORTATION EXPENSE: COUNTY SHARE OF ARRA (STIMULUS) ADDITIONAL FEDERAL FUNDS RECEIVED (PRIOR YEAR)
ARRA CA MEDICAID	PY-VEHICLE EXP		COUNTY ADMIN (1571) MEDICAID VEHICLE EXPENSE: COUNTY SHARE OF ARRA (STIMULUS) ADDITIONAL FEDERAL FUNDS RECEIVED (PRIOR YEAR)
ARRA MM/YY	CO SHARE-FC		COUNTY SHARE OF ARRA IVE ADDITIONAL FUNDS RECEIVED FOR FOSTER CARE
ARRA MM/YY	CO SHARE-AA		COUNTY SHARE OF ARRA IVE ADDITIONAL FUNDS RECEIVED FOR ADOPTION ASSISTANCE
REPATRIATION	EMERG		BILLING RECEIVED FROM COUNTY FOR REPATRIATION EXPENSES-DSS
SPECIAL CHILD ADOPTION	“FUNDING”		NOTIFICATION FROM DSS
SP CHILD INCENTIVE-XXX XX	ADOPTION		COUNTY SHARE OF SPECIAL CHILDREN INCENTIVE PAYMENTS
MM/YYYY EBT	Call Ctr		COUNTY SHARE OF CALL CENTER COSTS WORKSHEET from Controller’s office
MM/YYYY EBT	eFunds		PAYMENTS TO EFUNDS WORKSHEET from Controller’s office
DEMO GRANTS	TNF		TNF Demo Grant Advances and Drafts/ Reports from DSS Budget

NOTES:

MM DENOTES A MONTH

MM/YY DENOTES MONTH/YEAR

YYYY AND CCYY DENOTES A YEAR

MM-MM/YY DENOTES FROM-THROUGH MONTH/YEAR

INACTIVE WILL BE REMOVED NEXT UPDATE

Attachment K

XS411 Report – Tracking Allocations (not all inclusive)

XS411-CTY SEQ

NORTH CAROLINA DEPARTMENT OF HEALTH AND HUMAN SERVICES  
 DIVISION OF SOCIAL SERVICES  
 YEAR-TO-DATE ALLOCATIONS EXPENDITURES  
 F.Y. 07/01/2007 - 06/30/2008

RUN ON 12/28/2007 PAGE 285

COUNTY Sample County

on target spending would be 50%

	SSBG FEDERAL		STATE IN HOME		ADOPT/FC STATE		PERM PLAN		SP PERM PLAN	
	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE
ANNUAL ALLOCATION	21,236.00		938.00		0.00		3,659.00		815.00	
EXPENDITURES -JUL	2,865.14	13	130.94	13	0.00		0.00	0	0.00	0
-AUG	2,546.97	11	59.36	6	0.00		0.00	0	0.00	0
-SEP	2,439.15	11	0.00	0	0.00		0.00	0	0.00	0
-OCT	5,243.54	24	124.78	13	0.00		0.00	0	0.00	0
-NOV	3,568.11	16	313.34	33	0.00		0.00	0	0.00	0
-DEC	4,680.06	22	0.00	0	0.00		0.00	0	0.00	0
Y-T-D EXPENDITURES	21,342.97	100	628.42	66	0.00		0.00	0	0.00	0
UNEXPENDED BALANCE	106.97-		309.58		0.00		3,659.00		815.00	

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<b>SPEC FEDERAL ADC</b>	<b>ENERGY ADMIN</b>	<b>CRISIS</b>	<b>ENERGY NEIGHBORS</b>	<b>IV-E CPS</b>
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<b>Div. of Aging funds Purchased Services Reported on 1571-IV Federal portion</b>	<b>Day Sheet Code E Services or IM staff authorizing CIP and LIEAP</b>	<b>CIP Payments Reported on 1571-II Reconcile to Automated CIP system</b>	<b>CP&amp;L Payments Reported on 1571-II</b>	<b>Day Sheet Code 215-Z CPCM not low risk When this is gone 50% Federal continues</b>
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	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE
ANNUAL ALLOCATION	0.00		4,404.00		26,476.00		0.00		7,040.00	
EXPENDITURES -JUL	0.00		0.00	0	0.00	0	0.00		319.70	4
-AUG	0.00		110.84	2	172.50	0	0.00		306.47	4
-SEP	0.00		352.40	8	1,000.22	3	0.00		355.45	5
-OCT	0.00		329.55	7	850.67	3	0.00		75.30	1
-NOV	0.00		384.69	8	0.00	0	0.00		294.51	4
-DEC	0.00		3,226.52	73	696.94	2	0.00		58.27	0
Y-T-D EXPENDITURES	0.00		4,404.00	100	2,720.33	10	0.00		1,409.70	20
UNEXPENDED BALANCE	0.00		0.00		23,755.67		0.00		5,630.30	

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<b>TANF DOM VIOL</b>	<b>SSBG STATE</b>	<b>CIP STATE</b>	<b>ADOL PARENTING</b>	<b>WF DEMO</b>
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<b>Contract with Shelter Purchased Services Reported on 1571-IV</b>	<b>Day Sheet Code X or Purchased SSBG services</b>	<b>Not currently in use</b>	<b>Day Sheet Codes A, Y or Purchased APP svcs. Federal 50% continues For A (Medicaid)</b>	<b>Demonstration Grant in 52 counties Day Sheet code 12 Time Limited</b>
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	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE
ANNUAL ALLOCATION	8,095.00		5,229.00		0.00		0.00		0.00	
EXPENDITURES -JUL	0.00	0	0.00	0	0.00	0	0.00		0.00	0
-AUG	0.00	0	0.00	0	0.00	0	0.00		0.00	0
-SEP	0.00	0	0.00	0	0.00	0	0.00		0.00	0
-OCT	8,095.00	100	170.98	3	0.00	0	0.00		0.00	0
-NOV	0.00	0	1,337.49	25	0.00	0	0.00		0.00	0
-DEC	0.00	0	1,187.88	22	0.00	0	0.00		0.00	0
Y-T-D EXPENDITURES	8,095.00	100	2,696.35	51	0.00	0	0.00		0.00	0

UNEXPENDED BALANCE 0.00 2,532.65 0.00 0.00 0.00

**MA EXPANSION SMART START REIM CPS EXPANSION CHILD CARE DEV ADULT CARE HOME**

Code Medicaid Staff if Positions established After 1/1/1989 Federal 50% continues	Day Sheet Code 4 Can authorize CCDF and Smart Start subsidy Per DCD staff	Fiscal Officer converts Certain SIS codes to expansion funds –when Funds are exhausted Regular coding is used	Day Sheet Code L Can authorize CCDF and Smart Start subsidy Per DCD staff	Day Sheet Code 396-2 When this is gone Federal 50% continues
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	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE
ANNUAL ALLOCATION	19,000.00		0.00		0.00		60,000.00		0.00	
EXPENDITURES -JUL	1,834.22	9	0.00		0.00		6,550.97	10	0.00	
-AUG	208.07	1	0.00		0.00		6,591.96	10	0.00	
-SEP	0.00	0	0.00		0.00		7,223.53	12	0.00	
-OCT	0.00	0	0.00		0.00		6,557.55	10	0.00	
-NOV	2,962.25	15	0.00		0.00		7,040.55	11	0.00	
-DEC	2,485.57	13	0.00		0.00		6,166.27	10	0.00	
Y-T-D EXPENDITURES	7,490.11	39	0.00		0.00		40,130.83	66	0.00	
UNEXPENDED BALANCE	11,509.89		0.00		0.00		19,869.17		0.00	

**WF FEDERAL WF STATE SHARE THE WARMTH SPEC STATE ADC FC CASE WKR VISIT**

Day Sheet Code R Wk.First staff & purch. Child Welfare 210,211 Other CW if eligible	Day Sheet Code 9 Wk.First staff & purch. Child Welfare 211 Other CW if eligible	Funds for Piedmont Natural Gas customers	Div. of Aging funds Purchased Services Reported on 1571-IV State portion	Funds to support monthly Caseworker visits to Foster children
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	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE
ANNUAL ALLOCATION	90,745.00		0.00		50.00		0.00		1,150.00	
EXPENDITURES -JUL	6,781.91	7	0.00		0.00	0	0.00		0.00	0
-AUG	4,714.36	5	0.00		0.00	0	0.00		0.00	0
-SEP	4,381.89	4	0.00		0.00	0	0.00		0.00	0
-OCT	0.00	0	0.00		0.00	0	0.00		0.00	0
-NOV	4,144.79	4	0.00		0.00	0	0.00		0.00	0
-DEC	18,423.93	20	0.00		0.00	0	0.00		0.00	0
Y-T-D EXPENDITURES	38,446.88	42	0.00		0.00	0	0.00		0.00	0
UNEXPENDED BALANCE	52,298.12		0.00		50.00		0.00		1,150.00	

**TANF TO SSBG**                      **STATE APS**                      **TANF CPS&FC/ADOPT**                      **LINKS**                      **ADULT HOME SPEC**

Day Sheet Code V or purch. Foster Care & Adoption Child is Family of 1 <200% poverty (MA,HC)	Day Sheet Code J or Purchased APS services	Day Sheet Code 0 (zero) Child Welfare 210,211 Other TANF if client eligible Use before R for Child Welfare	Day Sheet Code K Purchased LINKS serv. Not including LINKS Special funds	Day Sheet Code O (alpha) 63.42% here, rest to X When this is gone 50% Federal continues
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	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE	AMOUNT	PCT SPEND RATE
ANNUAL ALLOCATION	7,843.00		8,750.00		6,164.00		100.00		4,392.00	
EXPENDITURES -JUL	0.00	0	2,714.20	31	0.00	0	0.00	0	146.65	3
-AUG	0.00	0	3,752.19	42	0.00	0	0.00	0	0.00	0
-SEP	0.00	0	4,564.25	52	0.00	0	0.00	0	0.00	0
-OCT	0.00	0	2,280.64-	26	2,951.68	47	0.00	0	0.00	0
-NOV	44.17	0	0.00	0	2,194.69	35	0.00	0	511.52	11
-DEC	104.65	1	0.00	0	62.85	1	0.00	0	0.00	0
Y-T-D EXPENDITURES	148.82	1	8,750.00	100	5,209.22	84	0.00	0	658.17	14
UNEXPENDED BALANCE	7,694.18		0.00		954.78		100.00		3,733.83	

**NC HEALTH CHOICE**

Use XPTR report to split  
 FTE for FCHC into MA&HC  
 When this is gone  
 Current Federal % continues

	AMOUNT	PCT SPEND RATE
ANNUAL ALLOCATION	2,288.00	
EXPENDITURES -JUL	1,935.97	84
-AUG	2,310.97	101
-SEP	940.86	41
-OCT	2,899.80-	126
-NOV	500.00-	21
-DEC	50.00-	2
Y-T-D EXPENDITURES	1,738.00	75
UNEXPENDED BALANCE	550.00	

**Attachment L Day Sheet Codes for Children’s Services**

Consider when choosing the best code:

1. What activity are you doing? (refer to definitions in SIS manual) = SIS service code
2. Which program codes (funds) is allowable with that service code? (refer to SIS manual, Appendix B, Section I. Children’s Services)
3. Of the allowable codes, which does your agency receive funding for? Refer to State Budget Estimates, Funding Authorizations, and fiscal report XS411.
4. Of these codes, which is the client eligible for? (May be eligible for more than one; document eligibility in case record for all program codes used, when required)
5. If client is eligible for more than one program code, prioritize them in this way:
  - a. Use Z if child is IV-E eligible
  - b. If non-IV-E, which code has the greatest % revenue that the client is eligible?
  - c. Which funds are capped? (When you run out, switch to another available program code that the client is eligible)
  - d. Does your agency need to prioritize use of code 9 in order to meet MOE? For example 211/9.

**Funds (Program Codes) for Children’s Services: % Revenue Capped? Eligibility**

Z. IV-E Administration Activities	Foster Care/Adoption	50%	No	Document IV-E eligibility
Z. IV-E CPS/Case Management	CPS	75% or 50%	Yes-State	Risk Assessment for moderate, high, or intensive
0. TANF CPS & FC/Adopt (Zero)		100%	Yes	Child Welfare Funding Manual Chapter XIII
R. TANF 100% Federal Funding until allocation spent		100%	Yes	Child Welfare Funding Manual Chapter XIII
K. LINKS (formerly Independent Living Program)		100%	Yes	age 13-21, in DSS custody
P. Special Permanency Planning		75%	Yes	Broad, see Budget Narrative
V. TANF transferred to SSBG		75%	Yes	200% of poverty, child (can be family of 1)
X. SSBG		75%	Yes	Broad, non-IV-E, in need of services
9. Work First Block Grant		0% MOE	Yes	Child Welfare Funding Manual Chapter XIII
N. Non-DSS Reimbursable (100% county funds)		0%	No	N/A

**NOTE: Adoption/Foster Care State** 100% Yes Document according to code used on day sheet

If those who have this funding source, coding will be done by the fiscal staff at time of 1571 preparation. The 1571 preparer will re-code one of the above foster care codes and report as function code 38 col. 10 (IV-E children) or function code 38 col. 11 (non-IV-E children). Consider funding options and whether to target the non-IVE children depending on other available funding options.

## Attachment M-1 Foster Care and Adoption Assistance Reports

### FOSTER CARE AND ADOPTION ASSISTANCE REPORTS

#### REPORT NAME (PQA)

Adoption Assistance **Daily** Check Register  
Adoption Assistance **Regular Run** Check Register  
Adoption Assistance Warrant Calculation-Daily Issues Accumulative  
Adoption Assistance Warrant Calculation-Regular Run  
Adoption Assistance Adjustment Register  
FC Final Payment Report-Level IV Mental Health Facilities  
Final Foster Care Payment Report  
Foster Care Adjustment Register (Maximization)  
Foster Care Adjustment Register (Standard Board Rate)  
Foster Care IV-E Child Institution Administrative Costs  
Foster Care Maximization Payment Reports  
Foster Care Warrant Calculation Worksheet  
Summary of Assistance Expenditures and Average Payment-Adopt. Asst.  
Summary of Assistance Expenditures and Average Payment-Foster Care  
Summary of Assistance Expenditures and Average Payment-Vendor  
CPPS Summary of Year-to-Date Expenditures  
FC Vendor Summary of Assistance Expenditures by County  
Vendor Payment Adjustment Register  
Vendor Payment Report  
Vendor Payment Warrant Calculation Worksheet

#### XPTR REPORT NAME

DHRPQ ADOPT ASST DAILY PQA044  
DHRPQ ADOPT ASST CK REG PQA044  
DHRPQ ADOP AST CA WAR CAL PQA059  
DHRPQ ADOP AST CA WAR CAL PQA059  
DHRPQ ADOPT ASST ADJ REG PQA045  
DHRPQ FC LEVEL IV MH PQA220  
DHRPQ FC PMT RPT PQA020  
DHRPQ FC MAXIM ADJ PQA225  
DHRPQ FC ADJ REG PQA025  
DHRPQA PQA151 CCI ADMIN COUNTY  
DHRPQ FC MAXIMIZATION PQA022  
DHRPQ FC WARRANT CALC PQA029  
DHRPQ ADOPT AST CASH SAAP PQA046  
DHRPQ FC SAAP PQA026  
DHRPQ VENDOR SAAP PQA036  
DHRPQ PQA050 YTD EXPEND.SUMMARY  
DHRPQA PQA138 COUNTY EXPENDITUR  
DHRPQ VENDOR PMT ADJ REG PQA035  
DHRPQ VENDOR PMT PQA030  
DHRPQ VENDOR WARRANT CALC PQA039

## Attachment M-2 Public Assistance Reports

### PUBLIC ASSISTANCE REPORTS

#### REPORT NAME (EIS)

Daily Straggler-State Issued Checks  
Daily Accumulative Check Register  
County Issued Accumulative Check Register  
Regular Run Payment Schedule  
Regular Run Check Register  
Regular Run Warrant Calculation  
Monthly Adjustment Register  
1st Accumulative Check Register  
1st Accumulative Warrant Calculation Worksheet  
2nd Accumulative Check Register  
2nd Accumulative Warrant Calculation Worksheet  
1st County Issued Check Register  
1st County Issued Warrant Calculation Worksheet  
2nd County Issued Check Register  
2nd County Issued Warrant Calculation Worksheet  
Summary of Assistance Expenditures and Average Payment  
EPICS County Collection Report-Monthly  
EPICS County Collection Report-Quarter  
EPICS County Collection Report-Year-to-Date  
EPICS AFDC/TANF CROP Report

#### XPTR REPORT NAME

DHREJ DAILY - STRAGGLER  
DHREJ DAILY ACCUMULATIVE  
DHREJ DAILY - CTY ISSUED  
DHREJ RECIPIENT PAYMENT SCHEDULE  
DHRWFA RECIPIENT CK REGISTER RUN  
DHREJ WARRANT CALC WORKSHEET  
DHRWFA MONTHLY ADJ REGISTER  
DHRWFA CHECK REGISTER-1ST ACCUM  
DHRWFA WARRANT WRKSHEET-1ST ACCU  
DHRWFA CHECK REGISTER-2ND ACCUM  
DHRWFA WARRANT WRKSHEET-2ND ACC  
DHRWFA CHECK REGISTER-1ST COUNTY  
DHRWFA WARRANT WRKSHEET-1ST CTY  
DHRWFA CHECK REGISTER-2ND COUNTY  
DHRWFA WARRANT WRKSHEET-2ND CTY  
DHRWFA SAAP ASSISTNC EXP/AVG PMT  
DHRFRD FRD428M MTH CNTY COLLECTN  
DHRFRD FRD428Q QTR CNTY COLLECTN  
DHRFRD FRD428Y YTD CNTY COLLECTN  
DHRFRD FRD418 AFDC TANF CROP RPT



## **Attachment N            Funding For County DSS Adult Services Programs**

### **Social Services Block Grant – Day Sheet Code X – Quarterly Allocation**

Funding is for a variety of services provided by the county DSS to elderly and disabled adults (very little for children’s services). There are two pots of money under program code “X”

1.     SSBG Federal (XS411)       75% Federal capped, 25% County
2.     SSBG State (XS411) (can be used for children’s services “V” or “P” coding)   75% State capped, 25% County

### **State Adult Protective Services – Day Sheet Code J – Quarterly Allocation**

Funding is for APS social workers in counties demonstrating additional APS needs.  
100% State Funds capped

### **Adult Care Home Case Management (ACHCM) – Day Sheet Code 2 – Quarterly Allocation**

Medicaid administrative reimbursement and State match, for county DSS social workers who assess SA recipients in order to give prior approval for enhanced personal care services; to identify community-based health and social services needed by the residents; and to provide case management to these residents to assure that care needs are adequately met by the facility and other providers.

50% Federal uncapped, 25% State capped, 25% County

### **At-Risk Case Management (ARCM) – Day Sheet Code 2**

Medicaid reimbursement is available for county DSS social workers who provide this service to adults and or children at risk of abuse, neglect or exploitation and in substantiated cases.

Reimbursement is will be based on current year Medicaid FMAP See Medicaid Bulletin

<http://www.ncdhhs.gov/dma/medicaid/index.htm>

### **CAP/DA Program/PCS Program – Day Sheet Code N**

The Community Alternatives Program for Disabled Adults (CAP/DA) and Personal Care Service programs provide a package of services to allow adults who qualify for nursing facility care to remain in their private residences. These programs provide care that is cost-effective in comparison to the Medicaid cost for nursing facility care.

See Medicaid Bulletin <http://www.ncdhhs.gov/dma/medicaid/index.htm>

### **State Adult Home Specialist Fund (AHS) – Day Sheet Code O (alpha) – Quarterly Allocation**

Adult Home Specialists in counties to increase the time and effort by County DSSs to monitor adult care homes.

50% Federal uncapped, 25% State capped, 25% County

(State Medicaid penetration rate 63.42% applied to “O” with remainder charged to SSBG “X”)

### **State/County Special Assistance for Adults (SAA/SAD)**

Pays for care in licensed adult care homes for individuals who need this level of care and do not have sufficient income to pay for the care themselves.

50% State uncapped, 50% County

### **State/County Special Assistance for Adult Administration**

Special Assistance eligibility workers take applications and determine eligibility for SA initially and for annual re-determinations.

100% County

**State In-Home Funds – Day Sheet Codes B, C, I – Quarterly Allocation**

County DSS’s can provide or purchase in-home services for elderly and disabled adults. Used primarily for in-home aide services.

Program codes	B	18 years – 59 years
	C	17 years and under
	I	60 years and over

87.5% Federal capped, 12.5% County

**Adult Day Care Fund – Quarterly Allocation**

County DSS’s can purchase adult day care for elderly and disabled adults. This allocation is broken into two separate parts. One is a federal/county split and the other is a state/county split. The percentages are as follows:

87.5% Federal capped, 12.5% County (1571 Part IV Fund ID A & M)

87.5% State capped, 12.5% County (1571 Part IV Fund ID D & F)

**TANF Domestic Violence– Part IV Program Code T**

County DSS’s can provide services directly or contract with a local domestic violence agency. County DSS administrative time is not reimbursable via this code. If client is eligible WFBG Administration can be used.

100% Federal capped

**In-Home Aide Services – HCCBG Option A Reporting– Day Sheet Code H**

Funds are from the Division of Aging and Community Care Block Grant for In-Home Aide services.

90% Federal capped, 10% County

**In-Home Aide Services – HCCBG Option B Reporting– Day Sheet Code U**

Funds are from the Division of Aging and Community Care Block Grant for In-Home Aide services.

90% Federal capped, 10% County

**Title XIX Medical Transportation (MA Services) – Day Sheet Code T**

Medicaid funds to provide transportation for medical services to authorized Medicaid recipients.

100% federally funded.

**Title XIX Medical Transportation Administration (MA Admin) – Day Sheet Code T**

Medicaid funds to arrange or authorize transportation for medical services to authorized Medicaid recipients.

50% Federal uncapped, 50% County

**Home and Community Care Block Grant**

Funds are from the Division of Aging and Community Care Block Grant Title III-C and B for Congregate Meals, Home Delivered Meals, and Transportation and Supportive services.  
90% Federal capped, 10% County

**Elderly and Disabled Transportation Assistance Program (EDTAP)**

A State funded program administered by NCDOT is designed to supplement human service funds that are used to meet the transportation needs of the elderly and the disabled.

100% State funds

**Refer to Appendix C of the SIS Manual for a list of program code definitions.**