



*Effective Date: July 1, 2010*

## **GUIDELINES FOR FILING REQUESTS FOR A SUPPLEMENTAL ALLOCATION**

### **INTRODUCTION**

The 2010 Appropriations Act, Chapter 874, Item 274, B.2.a allows funds to be set aside to pay for supplemental requests from localities that have exceeded their state allocation for mandated services. Consistent with the 2010 Appropriations Act, the FY11 Supplemental Allocation Request form has been modified to remove the \$200,000 Hold Harmless on Residential funds. In addition, the numbered rows for all mandated reporting categories now agree with the CSA Pool Reimbursement Request Report. Non-Mandated reporting categories are still captured on page 2 of the report; however, references have been added to remind the user of the corresponding CSA Pool Reimbursement Request Report row number.

Any local government requiring supplemental funding must submit their requests electronically utilizing the newly revised two page request and certification form ([FY11 Request for Supplemental Allocation Form](#)). The new form requires aggregate year-to-date census along with actual expenditure information for the FY11 program year as well as a determination of the additional mandated funding need. These two pages are the only two required documents to request supplemental funds. Locality data previously submitted through the CSA Data Set will serve as the basic verification source of information analyzed and reviewed for a determination regarding a locality's need for supplemental funds. Additionally, localities may also communicate comments regarding their funding request, providing any additional information necessary to support their funding needs. Reports will be evaluated and prioritized based on funding need. Additionally, any locality that's projected spending in Fiscal Year 2011 will exceed their Fiscal Year 2010 expenses by more than 10% will be required to include a statement in the "Comments" portion of the supplement indicating the reason(s) for the increase. These comments should provide the State with insight into the reasons for the increase in spending that would not otherwise be apparent from Data Set or Pool Fund Reporting for the locality.

Local governments will continue to have access to an EXCEL spreadsheet with their localities' most recent data set information. As before, this report may be obtained by going to "Local Government Reporting" on the CSA Website, [www.csa.state.va.us/reports/default.cfm](http://www.csa.state.va.us/reports/default.cfm), entering in their USER ID and PASSWORD and clicking "CSA Supplemental Allocation Request", and then "Excel Supplemental Worksheet". An updated spreadsheet is not required for submission to the State office; however, local governments are expected to maintain adequate records and supporting documentation regarding their supplemental funding request.

**PLEASE BE AWARE THAT:**

- Local governments are required to complete the revised 2 page Supplemental Request Form.
- On pages 1 and 2, Gray Shaded fields are calculated fields and will be populated once all required information is entered and the “Calculate Report” button is selected.
- Local Governments should not submit a signed hard copy of the supplement to OCS. All supplements must be filed electronically.

## FY 11 SUPPLEMENTAL REQUEST ALLOCATION FORM

When requesting a supplemental allocation, please complete the CSA Supplemental Allocation Request Form located on the website under Local Government Reporting. As in previous years, the CPMT fiscal agent will need to electronically submit (by approving the request) the form.

- Local governments will still be responsible for maintaining the original form with all original signatures on file in the local CSA office.

The following table details the steps for preparing a Request for Supplemental Allocation.

<b>Page 1 Instructions: Census and Expenditure Information</b>	
<b>Step</b>	<b>Action</b>
1	<p>Rows 1(a-c and e) and 2 (a-i) represent the census and expenditure reporting categories. They are the same mandated reporting categories contained on the CSA Pool Reimbursement Request Report. As supplemental funding is permitted only on mandated cases, the non-mandated categories are excluded from this page.</p> <p>In order to complete the supplemental request, you will need to be able to provide both actual and projected expenditures by reporting category. There are two reports available on the local government reporting page of the OCS web site to aid in obtaining the year-to-date or “actual” expenditures submitted by your locality. Under the “CSA Pool Reimbursement Request Reports” link, scroll to the bottom of the page to access both reports. The <b>first</b> is titled “FY11 Pool Summary Report”. This report will provide you with a year-to-date summary of all expenditures submitted by your locality by expenditure category. These figures can then be transferred into the “Actual Expenditures” column of the Request for Supplemental Allocation. Please note the “number of preparer approved reports” field at the top right of the report to make sure that all of your submitted Pool Reimbursement Request Reports have been included in this total. Pool Reimbursement Request Reports in “pending” or “awaiting fiscal agent approval” status will not be included. The <b>second</b> report is titled “FY11 Transaction History Report”. The Transaction History Report provides access to all of your locality’s Pool Reimbursement Request Reports submitted during the specified fiscal year, including those waiting for local Fiscal Agent approval. To view each report in detail, click on the status code listed to the left of the report.</p> <p><b>WHEN COMPLETING THE REQUEST FOR SUPPLEMENTAL ALLOCATION PLEASE NOTE:</b></p> <ul style="list-style-type: none"> <li>• ALL NON-SHADED FIELDS MUST HAVE A VALUE. If there are no expenditures for a particular category, leave as 0.00</li> <li>• Do not use commas or dollar signs (\$).</li> <li>• Amounts should be in 99999.99 format.</li> <li>• Indicate negative numbers with a minus sign. e.g. -500.00</li> </ul>

2	Row 1 (a-c and e) Column a – <i>Case Count</i> : Input the total number of unduplicated children served year to date in the respective reporting category.
3	Row 1 (a-c and e) Column b – <i>Actual FY11 Expenditures</i> : Input the total <u>actual</u> FY11 expenditures by reporting category for all services provided during the entire current fiscal year. (See Step 1 for hints on where to locate this information on the OCS web site.)
4	Row 1 (a-c and e) Column c – <i>Projected FY11 Expenditures</i> : Input the remaining <u>projected</u> FY11 expenditures by reporting category for all services provided during the entire current fiscal year.
5	Row I – <i>Mandated Services Residential Subtotal</i> : represents the subtotal of all Mandated Services Residential expenditure entries for columns a, b and c above. The subtotal will be calculated automatically; no action is required.
6	Row 2 (a-i) Column a – <i>Case Count</i> : Input the total number of children served year to date in the respective reporting category
7	Row 2 (a-i) Column b – <i>Actual FY11 Expenditures</i> : Input the total <u>actual</u> FY11 expenditures by reporting category for all services provided during the entire current fiscal year. (See Step 1 for hints on where to locate this information on the OCS web site.)
8	Row 2 (a-i) Column c – <i>Projected FY11 Expenditures</i> : Input the remaining <u>projected</u> FY11 expenditures by reporting category for all services provided during the entire current fiscal year.
9	Row II – <i>Subtotal</i> : represents the subtotal of all data entries for columns a, b and c, census and expenditure information. The subtotal will be calculated automatically; no action is required.
10	Row III – <i>Refunds</i> : Input the total refunds (actual plus estimated) for the current fiscal year.
11	Row IV – <i>Net Estimated Mandated Expenditures for the Fiscal Year</i> : will be calculated automatically; no action is required.
12	<i>Comments</i> : In this area, localities should input any reasoning they can provide for overall increases in costs. This section <b>may be completed</b> by any locality wishing to provide additional information regarding their supplemental request, but <b>must be completed</b> by any locality whose net FY11 reported expenditures will increase more than 10% over their FY10 reported expenditures. Comments should not be a mere restatement of financial information indicated in the body of this report, but should provide information on locality specific trends that are affecting costs.
<b>Page 2 Instructions: Supplemental Calculation</b>	
13	Row A: No entry is required. This row will populate when the “Calculate Report” button is selected.
14	Row B – <i>Current Non-Mandated Protected Amount</i> : Input the current non-mandated protected amount desired for your locality. The amount chosen may not exceed the Office of Comprehensive Services (OCS) authorized amount. Should your locality desire to protect less than the authorized amount, that figure should be listed here. Please update these amounts as appropriate.
15	Row C – <i>FY11 Non-Mandated Costs (Residential/Congregate Care)</i> : Input the amount of non-mandated Residential/Congregate Care expenses (actual plus estimated) for your locality.

16	Row C1. – <i>FY11 Non-Mandated Costs (Community Based)</i> : Input the amount of non-mandated Community Based expenses (actual plus estimated) for your locality.
17	Rows D – F: No entry is necessary on these rows. These rows will populate when the “Calculate Report” button is selected.
18	Rows G, H and I: No entry is required on these rows. These rows will populate with reported expenditures from page 1 when the “Calculate Report” button is selected.
19	Rows J, K and L: No entry is required on these rows. These rows will populate when the “Calculate Report” button is selected.
20	When you have completed steps 1 – 19, click the “Calculate Report” button at the bottom of the page to populate your supplemental request. Should you need to make a correction you will be able to go back into the original areas to correct your data. <b>After doing so, you must select the “Calculate Report” button again prior to choosing “Pend” or “Submit”.</b>
21	Contact your local Fiscal Agent to inform them that you have a supplemental request ready for their approval. Fiscal Agent approval will cause the supplement to be electronically submitted to OCS for processing.

It is anticipated that each locality will review its data and use its findings as a basis for its request for supplemental funds. OCS will also base its examination on locality information extracted and reviewed from the CSA Data Base as well as prior reviews, to make a determination regarding approval and the release of supplemental funds.

For supplements approved by OCS prior to May 31st, 75% of the approved amount will be allocated to the locality. If your reimbursements necessitate further supplemental funds prior to the end of the fiscal year, you may request the balance 25% by sending an email request to the CSA Business Manager, Chuck Savage at [Charles.Savage@csa.virginia.gov](mailto:Charles.Savage@csa.virginia.gov).