

New Mexico Human Services Department
Medical Assistance Division
Medicaid Administrative Claiming (MAC) Guide
For Functions Delegated to
Children, Youth and Families Department

September 30, 2013

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I. Introduction

The Human Services Department (HSD) is the single state agency designated to administer or supervise the administration of the Medicaid Program under Title XIX of the Social Security Act for the State of New Mexico. HSD has the authority to delegate administrative functions set forth in Title XIX in order to employ methods of administration necessary for the proper and efficient operation of the State Plan. HSD has chosen to exercise this right by delegating certain functions to the New Mexico Children, Youth and Families Department (CYFD) as summarized herein. CYFD has the qualified personnel classified under the New Mexico State Personnel to perform the functions required of the delegated activities, per §1902(a)(33)(B) of the Social Security Act.

HSD retains its sole responsibility for exercising administrative discretion in the administration and supervision of the Title XIX State Plan. Nothing in the Joint Powers agreements (JPAs) or the Governmental Services Agreements (GSAs) with CYFD that are summarized herein delegates any of HSD's responsibility for exercising administrative discretion in the administration or supervision of the Title XIX State Plan, including program matters or the issuance of policies, rules, and regulations. In the performance of CYFD's functions under the agreements, CYFD does not have any responsibility to review, change or disapprove any administrative decision of HSD, or otherwise substitute its judgment for that of HSD as to the application of Title XIX policies, rules and regulations promulgated by HSD.

The federal government permits state Medicaid agencies to claim reimbursement for activities necessary for the "proper and efficient administration" of the Medicaid State Plan, in accordance with Medicaid statute §1903(a)(7) of the Social Security Act and the implementing regulations of 42 Code of Federal Regulation (CFR) 431.1 and 42 CFR 431.15, 45 CFR Part 74 and 95.

The Center for Medicaid/Medicare Services (CMS) has identified a series of activities that must be claimed administratively through Medicaid Administrative Claiming (MAC). Among these are outreach, utilization review, eligibility determination and activities that determine a consumer's need for care.

II. Regulatory Guidance

Title XIX of the Social Security Act (the Act) authorizes federal grants to states for a proportion of expenditures for medical assistance under the approved Medicaid state plan, and for expenditures necessary for administration of the state plan. This joint federal-state financing of expenditures is described in section 1903(a) of the Act, which sets forth the rates of federal financing for different types of expenditures.

Under §1903(a)(7) of the Act, federal payment is available at a rate of 50% for amounts expended by a state “as found necessary by the Secretary for the proper and efficient administration of the state plan,” per 42 Code of Federal Regulations (CFR) 433.15(b)(7). The Secretary is the final arbiter of which administrative activities are eligible for funding. Certain administrative costs may be matched at higher federal financial participation (FFP) rates, for example:

- Family planning services – 90%
- Design, development, or installation of claims processing and information retrieval systems – 90%
- Operation of claims processing and information retrieval systems – 75%
- Compensation and training of skilled professional medical personnel and staff directly supporting those personnel if the criteria specified in § 432.50 (c) and (d) are met – 75%
- Funds expended for the performance of medical and utilization review by a Quality Improvement Organization (QIO) under a contract entered into under section 1902(d) of the Act – 75%

In addition, Office of Management and Budget (OMB) Circular A-87, which contains the cost principles for the administration of federal awards to state, local and Indian tribal governments, states that “Governmental units are responsible for the efficient and effective administration of Federal awards.” Under either of these provisions, administrative expenditures must be reasonable and necessary for the performance of functions funded by the Federal award.

Claims for FFP must come directly from the single state Medicaid agency. In addition, the state must ensure that permissible, non-federal funding sources are used to match federal dollars. States sometimes contract with outside entities to conduct certain Medicaid administrative activities on their behalf. In order for these costs to be claimable, the state Medicaid agency is required to have an interagency or other contractual agreement in place with any entity which performs Medicaid administrative activities on its behalf. These contractual agreements are designed to define and

describe the relationship between the state Medicaid agency and the entities with which it partners to perform Medicaid administrative activities.

In order for Medicaid administrative expenditures to be claimed for federal matching funds, the following requirements must be met:

- Costs must be “proper and efficient” for the state’s administration of its Medicaid state plan (§ 1903(a)(7) of the Act).
- Costs related to multiple programs must be allocated in accordance with the benefits received by each participating program (OMB A-87). This is accomplished by developing a method to assign costs based on the relative benefit to the Medicaid program and the other government or non-government programs.
- Costs must be supported by an allocation methodology that appears in the state’s approved Public Assistance Cost Allocation Plan (42 CFR 433.34).
- Costs must not include funding for a portion of general public health initiatives that are made available to all persons, such as public health education campaigns.
- Costs must not include the overhead costs of operating a provider facility.
- Costs must not duplicate payment for activities that are already being offered or should be provided by other entities, or paid through other programs.
- Costs may not supplant funding obligations from other federal sources.
- Costs must be supported by adequate source documentation.

III. Participation Requirements

To participate in this MAC, the Children, Youth and Families Department must first enter into a contract with the New Mexico HSD. The agreement between the CYFD and the HSD must be in effect the first day of the quarter in which the initial time study is initiated. A time study is a tool which is an accepted method of objectively allocating staff time to the various activities that are measured. CYFD uses a Random Moment Time Study (RMTS) methodology. RMTS is a federally approved, statistical sampling technique and is recognized as an accepted alternative to 100 percent time reporting. In addition, CYFD also uses a Time Study to supplement the RTMS.

The agreement summarized in Section IV below, between the HSD and the CYFD, includes a description of the functions delegated to CYFD, the Public Assistance Cost Allocation Plan (PACAP) along with the time study methodology used by CYFD.

IV. Interagency Agreements Subject to This MAC

The purpose of this Joint Power Agreement (JPA) is to set forth the terms and conditions of the transfer of certain program functions for children from HSD-MAD to CYFD. It is also the purpose of this JPA to designate specific administrative and programmatic responsibilities for services following the transfer between the two agencies in accordance with the State Plan.

CYFD is to perform the following administration functions necessary for the proper and efficient operations of the State Plan:

- To determine and update Medicaid eligibility for all children or adolescents who are the full or partial financial responsibility of Child Protective Services at CYFD, designated, pursuant to the Medical Assistance Manual and the State Plan as 1) Category 066 (Title IV-E of the Social Security Act) and Category 006 (Non-Title IV-E of the Social Security Act); 2) Juvenile Justice children designated, pursuant to the Medical Assistance Program Manual and the State Plan as Category 061 (Title IV-E of the Social Security Act), and Category 060 (Non-Title IV-E of the Social Security Act); and 3) children in substitute care, designated, pursuant to the Medical Assistance Manual and the State Plan as Category 046 (Title IV-E of the Social Security Act in the custody of New Mexico but placed out-of-state), Category 086 (Title IVE of the Social Security Act in the custody of another state but placed in New Mexico), Category 037 (Title IV-E of the Social Security Act who receive adoption Subsidy), and Category 047 (Title IV-E of the Social Security Act who receive adoption subsidies but are placed out-of-state);
- Responsible for the computer system maintaining eligibility information for the above-described children, and shall oversee application on the interface of current eligibility information to the HSD-MAD fiscal agent for purposes of claims payment.
- Responsible for the training of CYFD staff involved in the eligibility determination process, computer systems and interface;
- Collect, document and transfer all required Third Party Liability (TPL) information to HSD-MAD and perform all required TPL-related functions. CYFD shall explain to applicants the ramifications of the assignment of rights to medical support and payment. CYFD shall advise clients of the correct utilization of third party resources, including insurance and managed care plans.
- Develop and implement, in coordination with HSD-MAD, a single point of entry and control data system for residential and nonresidential mental health treatment services for children and adolescents with serious emotional disorders. The single point of entry system shall include: a uniform assessment process; a requirement for an early and periodic screening, diagnosis, and treatment (EPSDT) procedure or the verification that a current screen is on record for each child in the program; a decentralized assessment process; and a triage

mechanism for processing placement requests. These systems will conform to the State Plan that HSD shall submit to CMS;

- Design and operate a tracking system for all children accessing services, maintaining records of services provided, recording client progress, results, and service costs, capturing demographic data on children referred for services and children receiving services, and tracking trends in utilization of services provided to children in residential or community settings.
- Establish and provide necessary staff support for a residential and non-residential treatment panel which will have the responsibility of reviewing case records of children or adolescents referred for residential or non-residential placement; review, modify, approve/disapprove the individual treatment plans; determine needed level of care; perform on-going review of all children or adolescents placed in a residential or non-residential program and prioritize placement requests.
- Prepare referrals for children or adolescents in need of residential treatment. The referral includes consultation with JPPO, review of the referral packet, consultation with the child or adolescent and his or her family, as needed. The referral packet shall be forwarded to the placement panel. Upon approval of placement, CYFD shall verify placement of the child or adolescent in the designated residential program.
- Implement a utilization review and referral process for services delivered to children and adolescents with serious emotional disorders and at high risk for out of home placements, based on each child's needs and in accordance with an Assessment and a Treatment Plan. These services include, but are not limited to, inpatient psychiatric services, partial hospitalization, Non JCAHO accredited Residential Treatment Centers, Group Homes, JCAHO accredited Residential Treatment Centers, Treatment Foster Care, Behavior Management, and Day Treatment.
- Certify for Medicaid participation those providers who furnish non-JCAHO accredited residential and non-residential rehabilitation services, treatment foster care, behavior management, day treatment services, and additional mutually agreed upon provider certifications, in accordance with promulgated regulations and standards.

V. Children, Youth and Family Department

This section contains the entire Publication Assistance Cost Allocation Plan (PACAP) as approved by the Division of Cost Allocation of the U.S. Department of Health and Human Services on November 1, 2012. This plan has an effective date of January 1, 2012.

This plan is provided in its entirety due to its comprehensive descriptions of CYFD, the functions it performed, and the cost allocation process utilizing Random Moment Sampling (RMS) and a Time Study.

CERTIFICATION

PUBLIC ASSISTANCE COST ALLOCATION PLAN

Date Plan / Amendment Submitted: 12/29/2011

Proposed Effective Date: 1/1/2012

In accordance with 45 CFR 95.507(b)(8), I certify that:

1. The information contained in the New Mexico Children, Youth and Families effective January 1, 2012 is prepared in compliance with Office of Management and Budget Circular A-87 (2 CFR Part 225).
2. The costs are accorded consistent treatment through the application of generally accepted accounting principles appropriate to the circumstances.
3. An adequate accounting and statistical system exists to support claims that will be made under the Cost Allocation Plan.
4. The information provided in support of the proposed cost allocation plan is accurate.

Signature: Renada L. Peery-Galon

Date: 12/29/11

Name: Renada L. Peery-Galon

Title: ASD Director/CFO

A. Overview And Introduction

The New Mexico Children, Youth and Families Department (CYFD) became a Cabinet Department effective July 1, 1992. Substantial modifications to CYFD occurred on July 1, 1993, that increased CYFD's responsibilities and scope. These modifications involved the movement of various segments from other cabinet departments to consolidate the focus on children, youth and families into one department.

CYFD is dedicated to enhancing the safety, dignity and well-being of children, youth and families in New Mexico. CYFD protects children from abuse and neglect. CYFD operates the juvenile corrections' system; and CYFD seeks to prevent abuse, reduce juvenile crime, rehabilitate juvenile offenders, promote quality child care, and support healthy families.

This Public Assistance Cost Allocation Plan (PACAP) has been prepared for the U.S. Department of Health and Human Services (USDHHS) pursuant to the following documents:

- Title 7 Code of Federal Regulations
- Title 42 Code of Federal Regulations
- Title 45 Code of Federal Regulations
- DHHS Grants Administration Manual and
- Implementation Guide for OMB Circular A-87 (ASMB C-10)

The purpose of this PACAP is to document both the Federal programs administered by CYFD and the procedures by which the administrative costs of CYFD are allocated to these programs.

The CYFD PACAP consists of the following sections:

Section A: Presents the overall description of CYFD and the methodology used to allocate the major components of CYFD.

Section B: Presents the narrative description of the structure and functions of CYFD.

Section I. Office of the Secretary

Section II. Administrative Services

Section III. Information Technology Services

Section IV. Juvenile Justice Services

Section V. Early Childhood Services

Section VI. Protective Services

Section C: Presents the Allocation Methods referenced in the narrative description.

Section D: Presents a description of the costs identified in the plan.

The appendices to the PACAP provide documentation for the narrative information presented in the plan and will be referenced, as appropriate, in the narrative plan. Also, included, as an appendix, is a listing of all of the Federal programs administered by CYFD.

This Plan is effective January 1, 2012, and will be kept current by CYFD and will be revised to reflect major changes in CYFD's organization or programs.

Recommendations for corrections or questions concerning this plan should be directed to:

Renada L. Peery-Galon, Director

Administrative Services Division

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B. Organizational Unit And Allocation Description

This section of the cost allocation plan describes the functions of each major component of CYFD's organization, the method by which the costs of those components are allocated, and the allocation statistic used to make that allocation.

Section I. Office Of The Secretary

The Office of the Secretary (OTS) provides leadership and direction to the programs and services operated and administered by each Program Area. The following executive officers report directly to the Department Secretary:

- Deputy Secretary for Programs,
- Early Childhood Services Director,
- Protective Services Director,
- Administrative Services Director,
- Chief Information Officer,
- General Counsel,
- Inspector General, and
- Chief of Staff.

The functions of each of the organizational components headed by these executives are described below. An organizational chart for CYFD, including the Office of the Secretary and all other major components of CYFD is provided in Appendix A.

1. Department Secretary

The Department Secretary and staff are responsible for establishing the strategic direction for CYFD, implementing departmental policy and procedures, and the overall administration and support of the programs operated by CYFD.

Allocation Method: Department Allocation

Allocation Statistic: Actual Number of Employees Paid

1.1 Deputy Secretary for Programs

The Deputy Secretary for Programs is responsible for overseeing the following program service areas within CYFD:

- Juvenile Justice Services,
- Office of Community Outreach and Behavioral Health Programs, and
- Native American Liaison.

Allocation Method: Deputy Cabinet Allocation

Allocation Statistic: Actual Number of Employees Paid

1.1.1 Juvenile Justice Services (JJS)

A description of the organization of this component and how its costs are allocated is presented in Section IV, below.

1.1.2 Office of Community Outreach and Behavioral Health Programs

The Behavioral Health Manager is responsible for the oversight and management of the Office, including the Behavioral Health/Residential Treatment Center, Licensing and Certification and the Community and Behavioral Health Services Bureau.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

1.1.2.1 Behavioral Health / Residential Treatment Center Licensing and Certification

The Behavioral Health/Residential Treatment Center Licensing Certification Unit certifies vendor programs as eligible to be providers of the mental health services. Only certified providers may receive reimbursement for services by the Medicaid program or through State General Fund. Authorization to certify Medicaid providers is pursuant to the Joint Powers Agreement with NM Human Services Department Medical Assistance Division.

Allocation Method: Facilities licensed as Medicaid eligible and non-Medicaid eligible.

1.1.2.2 Community and Behavioral Health Service Bureau

The goal of the Community Based Services program is to provide mental health and community based services including counseling, case management early childhood mental health services, shelter care and other services.

Allocation Method: State funded

1.1.2.3 Behavioral Health Coordinator

CYFD is a participant in the Behavioral Health Collaborative (BHC). The BHC is a legal entity with the authority to contract for mental health services and to make decisions regarding the administration, direction and management of the state funded behavioral health services and care. As the Behavioral Health Coordinator, this position represents the Department at the BHC Administrative Committee and workgroups. This position also functions as the Program Manager for the funding for the statewide behavioral health entity contract by monitoring the contract for compliance to state guidelines and ensures the contract is utilized to its fullest potential. This position serves as the liaison between the statewide entity and their providers as well as

between CYFD and the statewide entity on any contractual problems or issues.

Allocation Method: State funded

1.1.2.4 Entitlement Unit for Juvenile Justice Services

The Entitlement Unit (EU) provides a variety of services to CYFD clients. The unit generates revenue for CYFD, assures compliance with Federal standards, performs audits and in general is a resource to CYFD for all State and Federal entitlement programs, including Medicaid.

The EU also works closely with all JJS facilities to assure that any eligible CYFD client released from our facilities receive Medicaid upon release, thus facilitating appropriate transition into the community and the availability of services for our clients once they are released. In this capacity, EU works closely with the facilities Release Panel and the JJS Transitional Unit.

The EU also provides essential billing services for the two CYFD Medicaid certified group homes: Carlsbad and Albuquerque Reintegration Centers. The EU also assists CYFD clients in the application for Social Security benefits thru the Supplemental Security Insurance (SSI) program.

The EU also performs a variety of functions regarding Medicaid, managed care, staff training, eligibility verification and other critical functions.

Allocation Method: State funded

1.1.2.5 New Mexico Commission for Community Volunteerism

The New Mexico Commission for Community Volunteerism provides funding to nonprofit groups to respond to local needs that address the state's human, educational, environmental, public safety, health, housing and other needs through volunteerism and community service (civic engagement). The members recruit, train and supervise community volunteers, tutor and mentor youth, build affordable housing, teach computer skills, clean parks and streams, run after-school programs, help communities respond to disasters, and build the capacity of nonprofit groups to become self-sustaining, among many other activities.

Allocation Method: Direct Charge, AmeriCorps Grants

1.1.3 Native American Liaison

The Liaison works with each program area within CYFD to assure that the needs and interests of Native Americans are represented. The Liaison has lead responsibility for CYFD to assure that its services are culturally appropriate to the Native American community. Where appropriate, the Liaison works with programs within CYFD that have a special relationship with the Native American population (e.g., the Indian Child Welfare Act and child care centers on tribal lands). The

Liaison is also a focal point for communications between CYFD and Native American individuals and tribal organizations.

Allocation Method: Department Allocation

Allocation Statistic: Actual Number of Employees Paid

1.2 Early Childhood Services

A description of the organization of this component and how its costs are allocated is presented in Section V, below.

1.3 Protective Services

A description of the organization of this component and how its costs are allocated is presented in Section VI, below.

1.4 Administrative Services

A description of the organization of this component and how its costs are allocated is presented in Section II, below.

1.5 Information Technology Services

A description of the organization of this component and how its costs are allocated is presented in Section III, below.

1.6 Office of General Counsel

The Office of General Counsel provides legal guidance and expertise to the agency, including policy and contract pre-approval review, case counsel and litigation relevant to the major programs administered by CYFD.

Allocation Method: Personal Activity Reports

Allocation Statistic: Time Study Results

1.7 Office of the Inspector General

The Office of the Inspector General (OIG) provides fiscal and program quality control review and oversight for all programs within CYFD. Specifically, the OIG performs the following major functions:

- Conducts a comprehensive review of CYFD's vendor and provider payment systems to determine the potential risks and vulnerabilities leading to fraudulent activity,
- Engages in children's behavioral health oversight including involvement with RFP development and annual contract amendments, and
- Conducts special investigations as assigned by the Office of the Secretary.

The hearing officer position in OIG conducts hearings on child care licensing, foster care licensing, child care assistance, procurement code appeals and administrative hearings on substantiated findings of child abuse and neglect.

Allocation Method: Personal Activity Reports

Allocation Statistic: Time Study Results

1.8 Chief of Staff

The Chief of Staff serves as a key advisor to the Department Secretary with regard to strategic planning. In this capacity, the Chief of Staff assists in developing the goals and objectives for CYFD and is responsible to the Department Secretary for monitoring the performance of Departmental programs and staff.

1.8.1 Immediate Office of the Chief of Staff

In addition to responsibilities related to the direct support of the Department Secretary, the Chief of Staff personally supervises the following functions:

- Legislative Planning and Coordination,
- Public Information and Communications,
- Multimedia Management (including maintenance of CYFD's website and publications),
- Constituent Affairs,
- Community Outreach,
- Grant-Writing, and
- Legal Administration (the inspection of public records).

Allocation Method: Department Allocation

Allocation Statistic: Actual Number of Employees Paid

Another major responsibility of the Chief of Staff is supervising CYFD's Employee Support Services.

1.8.2 Employee Support Services

Employee Support Services Director is responsible for the oversight and management of Human Resources, Quality Assurance, Employee Relations and Professional Development functions that serve the entire department. The Employee Support Services Director also manages CYFD's Privacy Officer, who is responsible for the oversight of all HIPAA compliance for the entire Department.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

1.8.2.1 Quality Assurance Unit

The Quality Assurance Unit oversees a process improvement program for Human Resources as well as compliance with State and Federal human resources policy. Also within this section is Employee Relations, which works to address employee performance through formal and informal means. Such tasks include reviewing internal complaints, union grievances and investigations into wrongdoing, as well as serving as a resource and offering guidance to all Departmental employees. This Unit is also responsible for background investigations on candidates selected for employment, stipend students and volunteers within CYFD.

Allocation Method: Department Allocation

Allocation Statistic: Actual Number of Employees Paid

1.8.2.2 Personnel Services Unit

Personnel Services encompasses recruitment & retention, Human Resources (HR) transactions, payroll, and benefits. Recruitment is focused on pre-employment screening, community outreach and recruitment of difficult to fill positions. Retention tracks exit interview results used to educate senior management. HR Transactions include job postings, job classification, compensation, performance management, and reorganizations. Payroll is intertwined with time & labor reporting in order to administer payroll. Benefits administration occurs through open / switch enrollment, and new hire enrollment. Personnel Services also administers other employee benefits programs such as the Sick Leave Buy Back Program, and the Sick Leave Incentive Program. Personnel Services staff use PeopleSoft and the ESS SMART database in processing their daily work assignments.

Personnel Services advises, trains, and informs employees, administrators, payroll leave monitors, supervisors, and managers in the above aspects of Human Resource related issues as needs are determined. The Personnel Services staff interacts with State Personnel Office (SPO), Department of Finance and Administration (DFA), General Services Department (GSD) – Risk Management Division (RMD), Statewide Human Resource, Accounting and Management Reporting System (SHARE), and Public Employees Retirement Association (PERA) on a daily basis.

Allocation Method: Department Allocation

Allocation Statistic: Actual Number of Employees Paid

1.8.2.3 Professional Development Bureau

This bureau provides core training services to Juvenile Justice Services with the participation of JJS and assists Protective Services in its core training by

providing logistical and other assistance including arranging classroom space, registering trainees, and tracking training provided. They also provide management development training and supervisory training.

The Bureau also provides on-line training on a variety of programs, management training and coaching, supervisory training, team-building, and conflict management.

Allocation Method: Costs associated with this bureau are allocated to each benefiting program based on the number of training attendees.

Allocation Statistic: Quarterly report by the Professional Development Bureau from the Training Data Base

Section II. Administrative Services

Administrative Services include providing financial management, budget and revenue control (including Federal cost allocation), property management and background checks.

2. Administrative Services Director's Office

The Administrative Services Director is responsible for the oversight of CYFD's Administrative Services. The Division Administrator provides support to the Administrative Services Director on human resources, budget, and other issues. The Deputy Director for Finance oversees the day-to-day operations of the Division. The Account/Compliance staff address special issues at the direction of the Administrative Services Director.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

2.1 Financial Management Bureau

The Financial Management Bureau Chief is responsible for management and oversight of the financial functions within Administrative Services.

Allocation Method: Bureau Allocation

Allocation Statistic: Actual Number of Employees Paid

2.1.1 Office of Financial Management

The Office of Financial Management is responsible for ensuring accountability for all funds. The bureau handles general ledger functions, accounts receivable, accounts payable and monitors contracts and grants for CYFD.

Allocation Method: Bureau Allocation

Allocation Statistic: Actual Number of Employees Paid

2.1.1.1 Financial Accounting

The Financial Accounting section is responsible for managing the processing of the agency's accounts payable, maintaining the general ledger including, but not limited to, journal entry preparation, operating transfer preparation, balance sheet and fund balance statement validation/reconciliation, maintenance and reconciliation of Children's Trust Fund accounts, maintenance and reconciliation of client agency fund accounts.

Allocation Method: Section Allocation

Allocation Statistic: Actual Number of Employees Paid

2.1.1.1.1 Reconciliation

The Reconciliation unit is responsible for ensuring the Children's Trust Fund accounts are maintained by recording any activity to each of clients who are under the care of the agency. It is also responsible for reconciling the amounts in the children's trust accounts to the amounts that are being recorded in the agency's legacy system (Joint Accounting System – JAS) and the Access database that is maintained by the unit. These children who are in the agency's custody fall under the umbrella of the Protective Services program area. The unit reconciles the bank accounts that are used for the Client Emergency Maintenance Expense (CEME) accounts. These accounts are used to pay for expenses that are incurred for Protective Services clients. The unit reconciles any overpayments made to Child Care, Foster Care and Adoption providers. The reconciliation is done between the Joint Accounting System (JAS) and SHARE.

Allocation Method: Trust Accounts Managed

Allocation Statistic: Number of Trust Accounts Managed by Program

2.1.1.1.2 Contract Audit/Review/Support

The Contract Audit/Review/Support unit provides support for all procurements and payments of CYFD's contracts. It is responsible for preparing the financial documents – Purchase Orders and Payment Vouchers and ensuring the contractors are paid accurately and timely. These contracts are funded by many different funds CYFD receives. Some contracts are funded entirely with state general fund, while other contracts are funded with one hundred percent Federal funds or a combination of funds. The unit also conducts fiscal reviews of these contractors by going to their places of business and reviewing the contractor's fiscal records, minutes of Board meetings, etc. These site visits are conducted by all the staff within the unit and are not assigned specifically to one program area.

Allocation Method: Budgeted Contract Dollars by Program

Allocation Statistic: SHARE report on budgeted contract dollars by program (including Budget Adjustment requests) at the end of each quarter.

2.1.1.1.3 Accounts Payable

The Pre-post Audit unit provides support for payment of CYFD's obligations other than contracts. It is responsible for ensuring the accuracy of the payment vouchers and ensuring these payments are made in a timely manner. The Warrant Production unit is responsible for ensuring the warrants for CYFD's various providers that are

produced by CYFD's family automated client tracking system (FACTS) are in sequential order. The unit then takes the warrants to the mailroom staff so they can be mailed out the same day, if possible. The staff members within this unit provide their support to all of the program areas and are not assigned to support any specific program area.

Allocation Method: Quarterly Payment Voucher Count

Allocation Statistic: Number of vouchers

2.1.1.1.4 Fixed Assets

The Fixed Assets unit is responsible for ensuring CYFD's capital assets are tagged, recorded and reconciled. It is responsible for providing guidance in the capital asset process to the assigned capital assets coordinators who are located throughout the state.

Allocation Method: Number of Fixed Assets

Allocation Statistic: Fixed Asset Report

2.1.1.2 General Services Section

The General Services Section manages all CYFD property leases, provides copy center support, administers the voice telecommunications network and work order process, accounts for department assets and vehicle leases, oversees procurement and contract development.

Allocation Method: Section Allocation

Allocation Statistic: Actual Number of Employees Paid

2.1.1.2.1 Procurement

The unit is responsible for providing support for procuring goods and services for CYFD's staff members. It is responsible for ensuring the agency staff members are correctly procuring goods and services as specified in the state statutes, namely the State Procurement Code. It is responsible for ensuring the fiscal document, Purchase Order, is accurate and processed in a timely manner. The staff members assigned to this unit process these purchase orders for all of CYFD's program areas and as such, are not designated to any specific program area of CYFD.

Allocation Method: Quarterly Purchase Order Count

Allocation Statistic: Number of Purchase Orders

2.1.1.2.2 Contract Development

The unit is responsible for the support of the development of the CYFD's contracts. Its responsibility is to ensure every contract coming out of CYFD is accurately prepared in accordance with Federal and state guidelines. Every contract is processed as it comes through the unit with no staff member being specifically assigned to a program area.

Allocation Method: Budgeted Contract Dollars by Program

Allocation Statistic: SHARE report on budgeted contract dollars by program (including Budget Adjustment requests) at the end of each quarter.

2.1.1.2.3 Property Management Section

This unit is responsible for ensuring leases of privately owned buildings are accurate and payments to the landlords are accurate and paid in a timely manner. It is responsible for the procuring of office space and ensuring CYFD's staff members have adequate work areas. The unit is responsible for tracking the vehicles that are leased from the General Services Department – Transportation Services Division. It is responsible for ensuring the payments of these leases are accurate and paid in a timely manner. The unit ensures department staff has adequate telecommunications support. It ensures payments for the telecommunications costs are accurate and paid timely. The unit also prepares Internal Purchase Requests (IPR's) for the Program Support staff that is located in the PERA building. This unit provides mailroom and copy services as well. It delivers and picks up outgoing and incoming correspondence. The services provided by this unit cross the entire department.

Allocation Method: Unit Allocation

Allocation Statistic: Actual Number of Employees Paid

2.1.1.2.3.1 Telecom Network Unit

The Telecom Network Unit of the Property Management Section is responsible for handling the payments of Telecom expenses. The State Department of Information Technology bills CYFD for expenses relating to Telephonic and Network Communications. The unit is also responsible for managing the phone network and setting up new employees on the network.

Allocation Method: Number of Communication Devices (including Telephone Lines and Cellphones) by Program Area

2.1.1.2.3.2 Property Leases Unit

The Property Leases Unit of the Property Management Section is responsible for handling the payments of leases for the various buildings that are rented by CYFD. Various leasers will bill CYFD for expenses relating to the rent of the space occupied by the various program areas.

Allocation Method: Square Footage Leased by Program Area

2.1.1.2.3.3 Vehicle Leases Unit

The Vehicle Leases Unit of the Property Management Section is responsible for handling the payments of vehicle expenses. The State Department of General Services Department bills CYFD for expenses relating to vehicles used by the various program areas. The Section then passes the expenses to the corresponding program area and, where possible, program units and tracks the expenditures in the state's SHARE Financial System.

Allocation Method: Vehicle Usage Report Quarterly by Program Area and, where appropriate, Program Unit

2.1.1.2.3.4 Mail Room / Copy Center

The Copy Center is responsible for maintaining copying equipment as well as carrying out requests for bulks copies. The Mail Room is responsible for receiving, sorting and organizing mail according to program area.

Allocation Method: Department Allocation

Allocation Statistic: Actual Number of Employees Paid

2.2 Budget and Revenue Bureau

The Budget and Revenue Bureau Chief is responsible for coordination and preparation of the annual budget cycle, monitoring expenditures and revenues, ensuring accurate cost allocation and federal draw downs and reconciliation of Federal funds.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

2.2.1 Budget Preparation / Projections

The budget section is responsible for preparing CYFD's annual budget request and operating budget. The bureau also coordinates the annual budgeting process that includes, but is not limited to, monitoring, revenue and expenditure projections, preparing budget adjustment requests for all of the program areas. All of the staff

within the section is responsible for all of the aspects of the budgeting process for an assigned program area.

Allocation Method: Total Operating Budget by Program Area

2.2.2 Revenue/Federal Grants Section

The Federal Grants section administers all Federal, state and private grants related to the Federal reporting, grant accounting, Federal cash draw downs, billing for services provided by the agency, reconciliation of grant expenditures and revenues. Each of the staff members is assigned Federal grants in which they are responsible for all of the accounting aspects of his/her assigned grants. Some of these aspects include, but are not limited to, ensuring expenditures and revenues are correctly recorded in the accounting system, Federal cash drawdowns are done accurately and timely, reconciliation of Federal grant worksheets to accounting system is done timely. The Section is also responsible for creating Journal Entries, Correcting Entry documents and for maintaining the chart of accounts.

The section is also responsible for inputting the statistical information for the quarterly cost allocation into the stand-alone cost allocation software, administering the random moment sampling software, and preparing cash reports for the agency's Federal grants.

Allocation Method: Department Allocation

Allocation Statistic: Actual Number of Employees Paid

2.2.2.1 Citizen's Review Board Governmental Agreement

The Revenue/Federal Grants section processes the bills and payments under the Government Agreement between the Department of Finance and Administration (DFA) and CYFD to transfer federal Title IV-E funds to support the contract administered by DFA for services provided on behalf of CYFD Foster Care Children by the Citizen's Review Board.

The Citizen's Review Board is primarily responsible for holding reviews regarding substitute care in accordance with the New Mexico Citizen's Substitute Care Review Act.

Allocation Method: Foster Care Case Mix Ratio

Allocation Statistic: Quarterly Foster Care Case Mix Data

2.3 Administrative Services Division (ASD) Background Checks

Background Checks focuses on background investigations for potential employees, volunteers in CYFD facilities, child care facilities and homes and residential treatment centers.

Allocation Method: ASD Background Checks by Program

Allocation Statistic: Quarterly Report on the Number of ASD Background Checks by Program

Section III. Information Technology Services

The Information Technology Services (ITS) provides support for the Family Automated Client Tracking System (FACTS). FACTS is the key automated system developed for the State of New Mexico Children, Youth and Families Department. This system is not used by other state agencies. FACTS is a system used by direct line workers statewide within CYFD. In addition to child welfare functionality, FACTS has functionality that supports child care subsidy payments to providers and juvenile justice for the purposes of capturing and reporting data.

Information Technology Services provides the following services for FACTS:

- Application development and support;
- Data and reporting to include CYFD compliance with SACWIS, AFCARS, NCANDS, NYTD, Federal, and State requirements;
- Web System application development and support to include the Enterprise Web System (EPICS);
- Web System reporting to include CYFD compliance with Federal and state reporting;
- Database management;
- User Help Desk;
- Program management and administration (including data verification and correction);
- Production control for payment processing; and
- Publication of quarterly and annual statistics.

3. Chief Information Officer

The Chief Information Officer is responsible for oversight of the Information Technology Services, including the General Administration, the Application Support, the Operational Support, and the Technical Support sections.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

3.1 General Administration

General Administration processes all administrative requirements for ITS including budget monitoring, purchase documents, IT contracts, Request for Proposal/Request for Information documents, annual IT maintenance, training,

timesheets and personnel actions. General Administration oversees critical projects through all cycles of the project lifecycle, facilitates the annual planning and development of CYFD's IT strategic plan and assists with Federal, state and legal reporting in cooperation with the service groups within CYFD.

General Administration is also responsible for the IT security of the Agency to include Internet security, network security, server security, desktop security, physical IT security, software security, web application security and IT disaster recovery.

Allocation Method: FACTS Utilization Report

3.2 Application Development Section

The Applications Development Section (ADS) provides all aspects of software support for the mission-critical FACTS application and CYFD web applications. ADS activities include daily operational support, planning and implementing enhanced system functionality and compliance with Federal and state reporting requirements. ADS also supports, the development of future enhancements to FACTS, taking increased advantage of the potential of web-based operations.

Allocation Method: FACTS Utilization Report

3.3 Operations Section

The Operations Section (OPS) provides levels one and two customer service support to all FACTS users. OPS manages incidents, service and changes requests, and release and configuration management. OPS is responsible for problem management, assets management and release management to changes in desktop hardware or software. OPS also administers web systems, schedules and generates FACTS reports, prints the agency's warrants and maintains ITS documentation.

Allocation Method: FACTS Utilization Report

3.4 Technical Services Section

The Technical Services Section (TSS) is responsible for maintaining the agency's data and computing environments at its main data center and the offsite Disaster Recovery environment. TSS supports the CYFD and Juvenile Justice Education LAN/WAN infrastructure which include all network and security equipment, the blade server, storage and virtual environment that support the agency's core application and database environment. TSS is responsible for the servers that support user login/ID information, Dynamic Host Configuration Protocol (DHCP), file and print services and shared data storage; the online reporting environment; the email gateway (SMTP), Intranet and Domain Name Services (DNS) environments; and Internet related applications such as firewall services and Internet access.

Allocation Method: FACTS Utilization Report

3.5 Financial Information Systems (FIS)

The Financial Information Systems Unit supports the programs' use of the State's Financial Application called Statewide Human Resource, Accounting and Management Reporting System (SHARE) and the Joint Accounting System (JAS).

Allocation Method: Department Allocation

Allocation Statistic: Actual Number of Employees Paid

Section IV. Juvenile Justice Services

The mission of Juvenile Justice Services (JJS) is to provide qualitative rehabilitative services and treatment for delinquent and at-risk juveniles in the least restrictive environment. JJS is committed to improving public safety and reducing juveniles' delinquent behavior in the State of New Mexico. To accomplish this mission, JJS must provide responsive, coordinated and cost-effective services to juveniles committed to CYFD custody. The services and activities are based on objective, measurable, well-defined criteria and are client and family focused and built on existing strengths.

JJS encompasses 7 specialized facilities and is responsible for monitoring and certification of all juvenile detention centers in the State of New Mexico.

4. Juvenile Justice Services Division Director

The JJS Division Director's office provides oversight to the Deputy Director of Administration, the Deputy Director of Facilities, and the Deputy Director of Probation and Aftercare. The JJS Division Director plans, develops and executes policy, as well as coordinates all program activities, including direction of the Juvenile Justice Advisory Committee. The JJS Division Director is directly responsible for all budgetary decisions within JJS.

The JJS Division Director's Office also provides administrative support to the Juvenile Justice Advisory Committee (JJAC) which is charged, under the Federal Juvenile Justice and Delinquency Prevention Act, with providing advice and recommendations to the Governor and the State Legislature on issues, trends and practices of the State's juvenile justice system.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

4.1 Deputy Director: Administration

The Deputy Director: Administration helps the Division Director in the development and execution of administrative policy. The administrative policy covers daily operations of the JJS Facilities. The Deputy Director: Administration is also responsible for the development of financial data (including budget management), personnel management, the contract/grant process, and statistical data development and analysis. The administrative support staff assist the Deputy Director in these areas.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

4.1.1 Budget and Finance

The Budget and Finance section within Juvenile Justice Services is responsible for coordinating with the Budget and Finance bureaus within Administrative services.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

4.1.2 Human Resources

The Human Resources Manager within Juvenile Justice Services is responsible for coordinating with the Personnel Services unit within Employee Support Services.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

4.1.3 Data/FACTS

The Data/FACTS section within the Administration bureau of Juvenile Services is responsible for compiling and reporting data to management.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

4.1.4 Associate Deputy Director

The Associate Deputy Director provides oversight to the Juvenile Public Safety Advisory Board (JPSAB), the Juvenile Community Corrections (JCC) program, and the Federal Program Managers/Monitors. The Associate Deputy Director also oversees all JJS contracts.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

4.1.5 Facilities Financial Operations

This unit is responsible for providing procurement and accounts payable support for the facilities within the Juvenile Justice Services program area. Its responsibilities include, but are not limited to, preparing purchase orders, preparing payment vouchers, budget analysis, attending facilities meetings, and budget guidance for the Juvenile Justice Education Superintendent. The unit ensures the aforementioned documents are accurately prepared and submitted timely to the central office staff for processing.

Allocation Method: Facilities Allocation

Allocation Statistic: Actual Number of Employees Paid

4.2 Deputy Director: Facilities

The Deputy Director: Facilities is responsible for the management of the various facilities within the Juvenile Justice system. Oversight includes the Juvenile Reintegration Centers (JRC), the Youth Diagnostic and Development Center (YDDC), the John Paul Taylor Center (JPTC), and Camino Nuevo.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

4.2.1 Small Facilities Superintendent

The four Juvenile Reintegration Centers/Community Residential Facilities seek to provide for the successful reintegration of committed juveniles from institutions to parole through community residential programs. All programs use available community resources and develop individual program plans for each program participant. Emphasis is placed on positive community interaction and development of social skills. A centralized administrative staff team is responsible for the management of the centers.

Allocation Method: Bureau Allocation

Allocation Statistic: Actual Number of Employees Paid

4.2.1.1 Eagle Nest Reintegration Center

The Eagle Nest Reintegration Center is a former forestry camp located in the Sangre De Cristo mountain range of northern New Mexico. The center takes juveniles from an urban setting to a rural setting. This movement helps in preparing these juveniles for transfer to other reintegration centers.

Allocation Method: State funded

4.2.1.2 Carlsbad Community Reintegration Center

The Carlsbad Center residents provide community services to the Carlsbad Caverns National Park Service, maintenance services for state highways, and assistance to the Home Beautification Project. In addition, the center's residents participate in the local school anti-delinquency program.

Allocation Method: Title XIX Medicaid for Eligible Clients/Services

4.2.1.3 Albuquerque Reintegration Center

The Albuquerque Reintegration Center provides a positive reinforcement program for residents to experience and learn new behaviors that will enhance success both within and outside the facility. The campus also has a high school curriculum which provides each resident with an individualized educational plan.

Allocation Method: Title XIX Medicaid for Eligible Clients/Services

4.2.1.4 Albuquerque Boys Center

The Albuquerque Boys Center offers independent living skills programs and emphasizes public school, and alternative high school programs and vocational training.

Allocation Method: State funded

4.2.2 Youth Diagnostic and Development Center

The Youth Diagnostic and Development Center (YDDC) provides short-term (15-day diagnostics to a one year commitment) residential care, custody, diagnosis, evaluation, and individualized treatment programs. The programs are for male juveniles committed to the facility by the Juvenile Courts. It provides a positive reinforcement program for residents to experience and learn new behaviors that will enhance success both within and outside the facility. Individual programs developed for each resident include goals and objectives for the commitment period. Each cottage provides individual and group counseling.

The YDDC campus has a high school curriculum from which each resident is involved in an individualized educational plan. This plan can include special education, GED preparation, and gifted programs, depending on the assessed educational needs of the youth. Also, an in-depth vocational program is available for long-term residents. Medical Services include health evaluations, physical examinations, daily sick call, visual and dental exams, and health education.

Allocation Method: State funded

4.2.3 John Paul Taylor Center

The J. Paul Taylor Center is a 48 bed facility for males that is located in southern New Mexico in Dona Ana County near the city of Las Cruces. The facility houses adjudicated males that have been committed to the Children, Youth and Families Department. The client's range in age from 13-20 and come from all across the state. The facility houses a state supported school – Aztec Youth Academy. The school offers regular and special education courses. In addition, they offer both a diploma and GED track. For those client's that have either graduated or receive their GED, they have the opportunity to enroll in on-line classes through the Central New Mexico Community College (CNM). There are medical services that are available 24 hours a day. The facility provides a number of services that the clients have the opportunity to take advantage of. These include Fresh Eyes Photography, The Artist Inside, Voices Behind the Wall Creative Writing, Welding, Choir, Native American Programming, AA groups, mentoring groups, Santa Fe Mountain Center outings and Young Father's Programming.

Allocation Method: State funded

4.2.4 Camino Nuevo

Camino Nuevo is a 96 bed facility, of which CYFD utilizes 60 beds to provide specialized treatment services. These services include sex offender treatment, emotional regulation treatment for boys and girls, anger management and central intake. These services are provided in five units of twelve beds each. All services provided except for central intake involve intensive behavioral health services and therapy based on the client's offense and diagnoses.

Central intake services are provided at Camino Nuevo because the layout of the facility allows for segregation of clients pending classification.

Education services are provided to each client at YDDC as stated above. Medical services are provided at Camino Nuevo as described for YDDC.

Allocation Method: State funded

4.2.5 Facilities Behavioral Health Director

The Facilities Behavioral Health Director provides oversight and management supervision of the psychologists and clinical staff within each of the facilities enumerated above.

Allocation Method: Facility Allocation

Allocation Statistic: Actual Number of Employees Paid

4.2.6 Facilities Health Services Administrator

The Facilities Health Services Administrator oversees the work of the medical, nursing, dental, and medical support staff within the JJS facilities.

Allocation Method: Facility Allocation

Allocation Statistic: Actual Number of Employees Paid

4.2.7 Education Superintendent

The Education Superintendent administers the education program within the JJS facilities.

Allocation Method: Facility Allocation

Allocation Statistic: Actual Number of Employees Paid

4.3 Deputy Director: Probation and Aftercare

Probation and Aftercare integrates community-based probation and parole services with community-based transition, behavioral health, and other prevention and intervention services.

Probation and Aftercare plans, directs, coordinates and provides comprehensive and integrated services to children and youth by providing, child abuse and neglect

prevention services, opportunities to serve communities and by intervening with at-risk children to prevent further problems and maximizing the overall health and stability of children and their families. Services emphasize prevention and early intervention in probation services, aftercare and transition in parole services. Transition services and independent living assist older youth in achieving a healthy adulthood, whether they are exiting juvenile justice or protective services. The Director is responsible for the oversight and management of all the services and programs within the purview of Probation and Aftercare, including the Juvenile Detention Alternative Initiative (JDAI), and the Interstate Compact for Juveniles (ICJ) program.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

4.3.1 Juvenile Detention Alternatives Initiative

JDAI began in 1992 as a pilot program developed as part of the Annie E. Casey Foundation's juvenile justice reform efforts. It has evolved from a demonstration project into a national "best practice" standard.

Allocation Method: State funded

4.3.2 Interstate Compact for Juveniles

The ICJ provides for the cooperative supervision of juveniles who travel or relocate across state lines and for the supervised return of juveniles who have left their state of residence without permission. This program promotes public safety, victims' rights, and juvenile accountability that is balanced with the safeguarding of children's welfare.

Allocation Method: State funded

4.3.3 Regional Administrators

Four (4) Regional Administrators oversee field services statewide and complete the following functions: administering Department and Division mandates with the region, supervising Chief JPPO's and Community Assessment Unit Clinical Social Workers within the region, administering regional budgets, overseeing the client tracking system, coordinating regional services, monitoring all region activity related to JJS, helping the Director and Deputy Director in program development, planning direction with the Director, and performing Quality Assurance functions.

Allocation Method: State funded

4.3.3.1 Transitions Unit

Upon commitment to a CYFD correction facility, youth are linked with a Transition Coordinator who works intensively with them and their families through their commitment and release or discharge from parole. Transition

coordination with the youth and family includes active planning, coordination with and linkage to concrete services (housing/independent living, educational/vocational, employment, Medicaid, Social Security Disability Insurance, etc.), as well as intensive clinical, recovery-oriented planning and coordination for, contact with, and monitoring of identified youth in appropriate behavioral health services, to include mental health and substance abuse services. Transitional living plans are developed for all youth in CYFD custody.

Allocation Method: State funded

4.3.3.2 Field Mental Health Services

Field Mental Health Services are a component of Juvenile Probation and Aftercare Services within Juvenile Justice. The purpose of the program is to serve high behavioral health needs youth involved in juvenile delinquency. CYFD utilizes masters' level clinicians to provide crisis intervention, assessments, diagnostic and clinical case management for probation and supervised released youth. Allocation Method: Medicaid

Allocation Method: Title XIX Medicaid for Eligible Clients/Services

4.3.3.3 Juvenile Community Corrections Program

The Juvenile Community Corrections (JCC) program provides education, life skills, case management, and counseling for youth who are reintegrating into the community from correctional facilities or are at risk of incarceration.

Allocation Method: State funded

Section V. Early Childhood Services

Early Childhood Services (ECS) plans, directs, coordinates and provides comprehensive and integrated services to children 0-12 years of age by providing quality child care and nutrition, Pre-K and early childhood development services.

5. Early Childhood Services Division Director

The ECS Director is responsible for the oversight and management of all the bureaus that exist within Early Childhood Services, including the Administration and the Early Care programs.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

5.1 Administrative Deputy Director

The Administrative Deputy Director is responsible for the management of the administrative functions within the Early Childhood Services Division. These functions include Administrative Services, Budget, Fiscal Support, and Data.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

5.1.1 Fiscal/Budget Manager

The Fiscal and Budget section is responsible for coordinating with the Budget and Finance bureaus within Administrative services.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

5.1.2 Administrative Services Manager

The Administrative Services section within ECS is responsible for coordinating with the Personnel Services unit within Employee Support Services.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

5.1.3 Data Manager

The Data section within ECS is responsible for all the federal reporting on the child care program (CCDF, FACTS). Other staff obligations include collecting and analyzing data.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

5.2 Program Deputy Director

The Program Deputy Director is responsible for the management of programs for young children enrolled in Early Childhood Services. Responsibilities include oversight of the Child Development Bureau, the Child Care Services Bureau, and the Family Nutrition Bureau.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

5.2.1 Child Development Bureau

The Child Development Bureau sets, develops, and coordinates standards for education and training (to include health, safety and age appropriateness) for child care providers and teachers and makes educational and training opportunities available to meet these standards. The bureau also plans, directs and coordinates quality child care services (to include training and technical assistance). In addition, the bureau administers Pre-K programs in child care facilities and early childhood development programs for community-based contractors. The bureau also directs collaboration with the Head Start program.

Allocation Method: Bureau Allocation

Allocation Statistic: Actual Number of Employees Paid

5.2.1.1 PreK Program

The PreK program provides 540 hours of comprehensive Pre-Kindergarten services to increase statewide access to voluntary quality New Mexico PreK programs by enrolling new children. The program also provides developmentally appropriate activities and focuses on school readiness.

Allocation Method: State funded

5.2.1.2 Head Start Collaboration

The Head Start Collaboration provides a visible presence at the state level, which can assist in the development of significant, multi-agency and public-private partnerships between Head Start and all interested partners. These partnerships are intended to help build early childhood systems and access to comprehensive services and support for all low income children.

Allocation Method: Direct Charge, Head Start Collaboration Grant

5.2.1.3 Early Child Development

The Early Child Development program provides high quality, comprehensive early childhood services to children birth to age five. The programs are required to use the Focused Portfolios assessment to document children's developmental milestones and use the portfolio as the basis for parent-teacher conferences.

Allocation Method: State funded

5.2.1.3.1 Home Visiting

The Home Visiting program provides developmental guidance and local community resource information. It identifies social supports and refers families to community resources as well as strengthens the "system of care" for children age birth through three. Services are offered parentally and during the first three years of the child's life for first time parents, including adoptive parents.

Allocation Method: State funded

5.2.1.3.2 Infant Mental Health

The Infant Mental Health program focuses on prevention and early intervention strategies for children prenatal to five years of age who have identified risk factors including; parental substance abuse/dependency, mental health problems, domestic violence, parents who are teens, first time parents, and parents who are incarcerated.

Allocation Method: State Funded

5.2.1. 4 Quality and Professional Development

The Quality and Professional Development program works collaboratively at the local, regional, and state levels to support the establishment of a comprehensive quality early/school age care, education and family support system available to all children, families, and early care professionals.

Allocation Method: Child Care Development Funds and State Funds

5.2.2 Child Care Services Bureau

The Child Care Services Bureau provides child care assistance to the working poor and to welfare recipients, plans, directs and coordinates quality child care services (to include training, technical assistance, health and safety and monitoring) and builds the child care capacity throughout the state. The bureau also licenses and monitors (for quality, health and safety) all applicable childcare providers, including centers and homes.

Allocation Method: Bureau Allocation

Allocation Statistic: Actual Number of Employees Paid

5.2.2.1 Regional Managers

The Child Care Services Bureau Chief is assisted by four (4) Regional Managers in administering the Child Care Assistance and the Child Care Licensing programs throughout the State.

Allocation Method: Bureau Allocation

Allocation Statistic: Actual Number of Employees Paid

5.2.2.1.1 Child Care Assistance

The Child Care Assistance program provides Child Care services to children whose families are receiving benefits and to allow children receiving these benefits access to quality child care settings that promote their physical, mental, emotional, and social development in a safe environment.

Allocation Method: Costs related to Child Care Case Workers: Child Care Development Funds and State Funds

All Other Costs: Child Care Case Counts

5.2.2.1.2 Child Care Licensing

The Child Care Licensing Bureau ensures that all children's day care facilities have the proper licenses and meet the appropriate state regulations.

The functions assigned to the Bureau staff include the following activities:

- Licensing, re-licensing and registering child care centers, group child care homes, family child care homes, before and after school care/facilities.
- Providing monitoring, technical assistance, and support after licensing/registration to upgrade care, program and standards.
- Investigates complaints against licensed child care centers, group child care homes, family child care homes, and before and after school care.
- Providing orientation to prospective applicants and persons interested in becoming a licensed child care provider in any of the programs under the Bureau's jurisdiction.

- Developing and distributing quarterly directory of licensed child care facilities.
- Providing information and referral services.
- Reviewing and modifying licensing requirements when necessary.

Allocation Method: Costs related to Child Care Licensing Workers:
Child Care Development Funds and State Funds

5.2.3 Family Nutrition Bureau

The Family Nutrition Bureau promotes the health and well-being of children by directing, coordinating and administering two federal nutrition programs (the Child and Adult Care Food Program [CACFP] and the Summer Food Program [SFP]) for low-income children and families. These services provide a level of important nutrition for a child's developmental years.

Allocation Method: Direct Charge, Child and Adult Care and Summer Food Programs

Section VI. Protective Services

The Protective Services (PS) program area is responsible for the protection and well-being of children and is a federally designated state child welfare agency. PS provides child protective, child welfare, and domestic violence services to children and families within the State. Child protective and child welfare services are provided through over 30 county offices with more than 800 employees. PS is responsible for administering the State's child abuse and neglect reporting hotline, and public foster care system, providing voluntary in-home services to at risk children and their families to prevent children coming into foster care, licensing private child placement agencies, providing services to youth aging out of foster care, monitoring all public and private adoptions, administering two interstate compact programs and an array of Federal grants related to child welfare.

The PS field offices respond to all allegations of child maltreatment and work to protect children from abuse and neglect. Services in the field offices include:

- Child Protective Services (CPS) Investigations
- Substitute care of children
- Voluntary In-home Services
- Adoption Services
- Youth Services
- Placement Services
- CPS Legal Services

PS maintains a 24-hour State Centralized Intake Unit, which is the first line for report and referral of possible cases of abuse and neglect. PS also develops policies and procedures for protective services workers as guidelines for protecting children. PS provides and tracks foster care and adoption services for children needing placement and supports those youth that are transitioning from foster care to adulthood and independent living. PS is responsible for administering the Federal and state funds used to provide services to and/or support maltreated children.

Protective Services is under the general direction and supervision of the Division Director, and consists of county offices, bureaus and units.

6. PROTECTIVE SERVICES DIVISION DIRECTOR

The Protective Services Division Director is responsible for the oversight and management of all the units that exist within the Division and is assisted by four (4) Deputy Directors (Administrative Deputy Director, Program Deputy Director, Field Deputy Director, Chief Children's Court Attorney) in carrying out those responsibilities.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

6.1 Administrative Deputy Director

The Administrative Deputy Director is responsible for the management of the administrative functions within the Protective Services Division, including policy, training and federal reporting; research, evaluation and FACTS; practice improvement; community services; fiscal/budget management; and human resources and administration.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

6.1.1 Policy, Training and Federal Reporting Bureau

The Policy, Training and Federal Reporting Bureau is responsible for:

- Developing, revising and maintaining Protective Services policies and procedures;
- Preparing reports as required for Federal funding sources;
- Managing the submission of the Title IV-E, Title XX and Child and Family Services Plans and the Annual Progress and Services Report;
- Planning and coordinating the delivery of training for PS staff, contractors, service providers and others; and
- Administering the Title IV-E stipend program with the various public universities through the state.

Allocation Method: Bureau Allocation

Allocation Statistic: Actual Number of Employees Paid

6.1.1.1 Policy and Procedures Unit

The Policy and Procedure Unit is responsible for:

- Updating policies and procedures;
- Ensuring that policies and procedures are consistent with practice, Federal and state law, and other requirements; and
- Publishing notices and conducting public hearings regarding new and revised policies.

Allocation Method: Bureau Allocation

Allocation Statistic: Actual Number of Employees Paid

6.1.1.2 Eligibility Unit

The Eligibility Unit has overall responsibility to ensure that all foster children are reviewed for Title IV-E eligibility, that Title IV-E agreements are sufficient, and that the Title IV-E state plan is filed.

- Provides ongoing training and audits;
- Works as a liaison with NM Human Services Department's Medical Assistance Division to provide information on IV-E eligibility status of all children in foster care;
- Tracks the receipt and disbursement of Retirement, Survivors and Disability Insurance (RSDI), Supplemental Security Income (SSI) and child support payments;
- Reviews 100 percent of all foster care cases statewide to validate eligibility for Title IV-E; and
- Performs initial eligibility determinations and all re-determinations.

Allocation Method: RMS Tabulated Results

Allocation Statistic: Quarterly RMS Data

6.1.2 Research and Evaluation Bureau

The Research and Evaluation Bureau provides program support for statistical analysis, data compilation, and evaluation of client, services and program data.

The Bureau is responsible for developing and maintaining client and payment statistics for various programs to meet Federal and/or State guidelines. FACTS staff oversee the development of all FACTS changes/upgrades. To assure Federal compliance, they provide training and payment monitoring for Federal and state funds. FACTS is the automated system that supports these data requirements and is the State SACWIS system.

The Research and Evaluation Bureau also provides coordination of production data and data analysis and reporting. This includes development of statistical Federal data and reports and development and reporting of state measures. It includes program support for statistical analysis, data evaluation and development of client, services and programs data.

Allocation Method: Bureau Allocation

Allocation Statistic: Actual Number of Employees Paid

6.1.2.1 SACWIS/FACTS Unit

Staff in the Protective Services FACTS unit:

- Interpret program needs and specifications to the application developers and programmers responsible for updates and upgrades to the FACTS system;
- Beta-test new modules or updates to the system to make sure that the software accomplishes what it is designed to do and that the user interface is readily understandable and user-friendly; and
- Assist in the roll-out of new updates and upgrades through participation in the training of PS staff.

Allocation Method: Consolidated Foster Care/Adoption/Reasonable Candidate Case-Mix Ratio

Allocation Statistic: Quarterly Case-Mix Data

6.1.3 Practice Improvement Bureau

The Practice Improvement Bureau is responsible for positively affecting outcomes for children and families served by the Division including foster children through real-time and historical quality reviews and evaluations. The units in this bureau promote innovation, evidence-based improvement and best practice performance.

Allocation Method: Bureau Allocation

Allocation Statistic: Actual Number of Employees Paid

6.1.3.1 Forensic Pediatrician

This position provides consultation and technical assistance regarding medical opinion and expert forensic testimony to Protective Services legal and casework staff on cases involving sexual and physical abuse.

Allocation Method: State funded

6.1.3.2 Risk Management Advisor

The advisor conducts reviews and provides analysis of Protective Services cases and operations for the purpose of assessing risk and making recommendations to enhance programs.

Allocation Method: RMS Tabulated Results

Allocation Statistic: Quarterly RMS Data

6.1.3.3 Juvenile Justice Inquiry Unit

This unit conducts investigations of allegations of sexual or physical abuse where the victim is a ward of Juvenile Justice Services (JJS) and the alleged perpetrator is a JJS staff or contractor. The unit also conducts CPS investigations in child fatality cases where there are no other children in the home.

Allocation Method: State funded

6.1.3.4 Practice Model and Technical Assistance Unit

This unit provides training, technical assistance and support to Protective Services Field Staff to support implementation of the child welfare practice model. The unit is also responsible for providing ongoing monitoring of the administration of the model.

Allocation Method: RMS Tabulated Results

Allocation Statistic: Quarterly RMS Data

6.1.3.5 Child Welfare Quality Assurance Unit

This unit conducts quality assurance reviews of the cases of families served by Protective Services using standardized instruments. Results of the quality assurance reviews are provided to PS managers to improve practice and program development.

Allocation Method: RMS Tabulated Results

Allocation Statistic: Quarterly RMS Data

6.1.4 Community Services Bureau

The Community Services Bureau is responsible for developing, awarding, monitoring and managing contracts for services—such as therapy, parenting education, family support, and adoption support—that supplement and enhance the programs and services directly provided by PS staff. The bureau oversees the Child Abuse and Neglect Grant, Community Based Family Resources Program, Access and Visitation, and Children’s Justice Grant, and administers all Title IV-B, subpart 2 contracts. This bureau also manages the Children’s Trust Fund program.

Allocation Method: Bureau allocation

Allocation Statistic: Direct-Charged to “Promoting Safe and Stable Families Grant”

6.1.4.1 Foster and Adoptive Parents Background Checks Unit

Conducts background checks and investigations for prospective foster and adoptive families. Background checks include federal national records clearances and a review of the state child welfare database.

Allocation Method: Blended Foster Care/Adoption Case-Mix Ratio

Allocation Statistic: Quarterly Case-Mix Data

6.1.4.2 Children's Trust Fund

The Children's Trust Fund was created by state statute in 1978 in order to provide the means to develop innovative projects which address one or more of the following: preventing abuse and neglect of children; providing medical, psychological and other appropriate treatment for children who are victims of abuse or neglect; and developing community based services aimed at the prevention and treatment of child abuse and neglect.

Allocation Method: State funded

6.1.5 Fiscal / Budget

The Fiscal/Budget unit within Protective Services works in conjunction with the Budget and Fiscal sections within Administrative Services. The bureau develops appropriation requests, handles all purchasing for the Division, is responsible for fund deposits, telecommunications and property management, develops cost analyses, and oversees all Federal program reporting as it applies to child welfare grants.

Allocation Method: Bureau Allocation

Allocation Statistic: Actual Number of Employees Paid

6.1.6 Human Resources and Administration

The Human Resources and Administration unit of Protective Services is responsible for additional oversight of the program area, in addition to those of Employee Support Services. In addition to generating routine and special reports, this unit tracks all Title IV-E stipend students and provides the human resources functions for all new hires.

Allocation Method: Bureau Allocation

Allocation Statistic: Actual Number of Employees Paid

6.2 Program Deputy Director

The Program Deputy Director is responsible for the special programs and clinical services that directly support field operations, *e.g.*, adoption and foster care recruitment, the receipt and evaluation of all reports of abuse and neglect, services to youth in transition, in-home services, family-centered meetings, and domestic violence programs. The Program Deputy Director also acts as the PS liaison with the Office of the Secretary and other program areas around behavioral health services.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

6.2.1 Adoption and Foster Care Bureau

The Adoptions and Foster Care bureau is responsible for providing oversight to the Central Adoptions Unit (CAU) and Foster Care Unit (FCU). It also manages the Statewide Foster Care and Adoption Recruitment Unit.

Allocation Method: Bureau Allocation

Allocation Statistic: Actual Number of Employees Paid

6.2.1.1 Central Adoptions Unit

The CAU tracks all subsidized adoptions for approval and payment. The CAU is also responsible for archiving, filing and monitoring all independent adoptions and for processing all adult adoptee inquiries.

Allocation Method: Adoption Case-Mix Ratio

Allocation Statistic: Quarterly Adoption Case-Mix Data

6.2.1.2 Foster Care Unit

The FCU houses the Interstate Compact for the Placement of Children (ICPC) coordinator. The ICPC coordinator processes all interstate placements of children and families. The Foster Care Unit is responsible for the licensing of all private foster care and adoption child placement agencies as well as the licensing of and consultation to those agencies. It also provides policy, procedures, and consultation for all foster placement activities in the state.

Allocation Method: Foster Care Case-Mix Ratio

Allocation Statistic: Quarterly Foster Care Case-Mix Data

6.2.1.3 Statewide Foster Care and Adoption Recruitment Unit

The Statewide Recruitment Unit is responsible for developing recruitment campaigns and recruiting foster and adoptive parents through statewide and targeted local efforts.

Allocation Method: Blended Foster Care/Adoption Case-Mix Ratio

Allocation Statistic: Quarterly Case-Mix Data

6.2.2 Statewide Central Intake Bureau

The Statewide Central Intake Bureau receives and evaluates all reports of abuse and neglect twenty-four hours a day, seven days a week. The unit also provides a toll free number for foster and adoptive parents and conducts risk assessments for

children involved with Juvenile Justice Services to determine the need for detention.

Allocation Method: State funded

6.2.3 Youth Services Bureau

The Youth Services Bureau works with adolescents, most generally from around the age of sixteen onward with a more intensive focus once the youth turns seventeen, to assist them with managing the transition into adulthood. Services are also provided to those youth who have emancipated from foster care and youth who were sixteen years older at the time of their adoption. The bureau provides direct services to the youth and contracts for services for housing and support. The bureau also administers the State's Chafee Independent Living Grant and the Education and Training Vouchers (ETV) program.

Allocation Method: Direct Charge, Chafee Independent Living Grant

6.2.4 In-Home Services Coordinator

The In-Home Services Coordinator is responsible for administering voluntary, home-based protective services to families whose children are at risk of removal due to child maltreatment. The coordinator compiles the foster care candidacy rate.

Allocation Method: IV-E Foster Care Candidacy Rate

Allocation Statistic: Quarterly Case-Mix Data

6.2.5 Constituent and Immigration Liaison

The Constituent and Immigration Liaison serves as the link between the PS Director's Office, the Office of the Secretary, the Governor's Office, PS management, PS staff and constituents statewide. It handles all issues related to the immigration status of children in PS care, tracks undocumented children and acts as liaison to the Immigration and Naturalization Service (INS) and various foreign consulates. The liaison also responds to all calls, emails and letters related to Protective Services and constituent concerns involving children and families served by the program area.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

6.2.6 Family-Centered Meeting Bureau

The Family-Centered Meeting Unit provides facilitators to conduct Family-Centered Meetings (a form of Guided Family Group Decision-Making) prior to filing an abuse or neglect petition and at change in placement or in the child's permanency goal.

Allocation Method: RMS Tabulated Results

Allocation Statistic: Quarterly RMS Data

6.2.7 Domestic Violence Bureau

The Domestic Violence Bureau provides shelter care and services to the victims of domestic violence (including children who have witnessed the violence) and treatment for the perpetrators of the violence. The bureau also oversees the Federal Family Violence and Prevention Services Grant and the Domestic Violence Offender Treatment Program.

Allocation Method: State funded

6.2.7.1 Federal Family Violence and Prevention Services Grant

The Family Violence and Prevention Services grants are authorized by Section 310 of the Family Violence Prevention and Services Act, as amended by Section 201 of the CAPTA Reauthorization Act of 2010., Pub. L. 111-320, Public Law 111-320, 42 U.S.C 10401-10421.

These funds are used for grants to local public agencies and nonprofit private organizations to: prevent incidents of family violence, domestic violence, and dating violence; to provide immediate shelter, supportive services, and access to community-based programs for victims of family violence, domestic violence, or dating violence, and their dependents; and, to provide specialized services for children exposed to family violence, domestic violence, or dating violence, underserved populations, and victims who are members of racial and ethnic minority populations.

Allocation method: Direct-charged to the Federal grant

6.3 Field Deputy Director

The Field Deputy Director is responsible for county-based field offices that report to one of five regionally-based managers. The regional managers report directly to the Field Deputy Director. The field offices house investigative units, in-home services units, permanency planning units and placement units.

Allocation Method: Management Allocation

Allocation Statistic: Actual Number of Employees Paid

6.3.1 Child Protective Services Investigations Units

The Child Protective Services Investigations Unit responds to all reports of abuse and neglect of children. Investigations of these reports decide substantiation of the allegations and disposition of the case.

Allocation Method: RMS Tabulated Results

Allocation Statistic: Quarterly RMS Data

6.3.2 In-Home Services Units

The In-Home Services Units consists of in-home services workers who are responsible for conducting ongoing safety and risk assessments and for developing and implementing case plans designed to ensure safety, reduce risk and enhancing parental protective capacities so as to allow children to remain in their homes. The In-Home Services Units conduct foster care candidacy determinations.

Allocation Method: RMS Tabulated Results

Allocation Statistic: Quarterly RMS Data

6.3.3 Permanency Planning Units

The Permanency Planning Units consist of permanency planning workers whose activities are directed toward ensuring the children in department custody received appropriate, safe care while efforts are made to achieve permanency. The purpose of the permanency planning program is to achieve permanency for children in CYFD's custody by developing, coordinating, and accomplishing court-ordered case plans for children and their parents.

While providing these services, the permanency planning workers must follow all state and federal statutes and regulations governing children in state care.

Allocation Method: RMS Tabulated Results

Allocation Statistic: Quarterly RMS Data

6.3.4 Placement Units

Placement Units are responsible for conducting home studies, training and licensing and monitoring foster and adoptive family homes and special needs foster and adoptive family homes. Homes that qualify receive placement of children in CYFD's custody through court order or voluntary placement agreements signed by the parents and CYFD. Field placement staff complete this work. The Placement Unit is also responsible for searching for adoptive families for eligible children and supporting children in adoptive placements up to and after finalization.

Allocation Method: RMS Tabulated Results

Allocation Statistic: Quarterly RMS Data

6.4 CPS Legal Services

CPS Legal Services are provided by the Children's Court Attorneys. The Children's Court Attorneys act as the legal arm of the Protective Services Division, representing CYFD Protective Services and the State in legal efforts related to child welfare and

child dependency cases. The Children's Court Attorney represents CYFD PS throughout all aspects of the child welfare case including the initial filing of the abuse and neglect petition, custody hearing, the adjudication and dispositional hearings, permanency hearings and judicial reviews and termination of parental right motions.

Allocation Method: Blended Foster Care/Adoption Case-Mix Ratio

Allocation Statistic: Quarterly Case-Mix Data

6.5 Transportation Costs for Foster Parents

Transportation costs for the purposes of reimbursing foster parents are processed through the FACTS System and interfaced to SHARE by those costs reimbursed on behalf of a child who is Title IV-E eligible and reimbursable into a single cost pool that is directly assessed to Title IV-E Foster Care.

Allocation Method: Direct Charge to Title IV-E Foster Care

C. Allocation Methodologies

Allocation Methods – Actual Number Of Employees Paid Basis

Costs are allocated based on the Actual Number of Employees Paid count calculated for each particular reporting code. Allocation methods utilizing Actual Number of Employees Paid include: the Department Allocation; Deputy Secretary; Management Allocation; Bureau Allocation; Section Allocation; Unit Allocation; and Facilities Allocation.

CYFD calculates the actual number of employees paid based on its Payroll Report at the end of each quarter.

Department Allocation

The Department Allocation is the allocation method used to allocate high-level indirect costs that benefit the entire Department. The statistic used to allocate the costs assigned to Department Allocation method is based on the Actual Number of Employees Paid count of the entire Department.

Deputy Secretary Allocation

The Deputy Allocation is the allocation method used to allocate indirect costs that benefit the program areas directly beneath the Deputy Secretary. Costs are allocated based on Actual Number of Employees Paid count.

Management Allocation

The Executive Management Allocation is the allocation method used to allocate indirect costs that benefit the various management levels within a Department. These levels are denoted in our numbering scheme. An organizational unit, outside of the Office of the Secretary that is identified with a two digit number shall be the beneficiary of the corresponding single digit code.

An organizational unit that is identified with a three digit number shall be the beneficiary of the corresponding two digit code.

Bureau Allocation

The Bureau Allocation is the allocation method used to allocate indirect costs that benefit the various sections that fall under the appropriate bureau level. These levels are denoted in our numbering scheme. An organizational unit that is identified with a four digit number shall be the beneficiary of the corresponding three digit code. The statistic used to allocate the costs is the Actual Number of Employees Paid of the corresponding sections.

Section Allocation

The Section Allocation is the allocation method used to allocate indirect costs that benefit the various units that fall under the appropriate section level. These levels are denoted in our numbering scheme. An organizational unit that is identified with a five digit number shall be the beneficiary of the corresponding four digit code. The statistic used to allocate the costs is the Actual Number of Employees Paid of the corresponding units.

Unit Allocation

The Unit Allocation is the allocation method used to allocate indirect costs that benefit the various organizations that fall under the Property Management unit within the General Services Bureau in Administrative Services. The statistic used to allocate the costs is the Actual Number of Employees Paid of the payments for telecom, payments for leases, payments for vehicles, and the Mail Room/ Copy Center Manager.

Facilities Allocation

The Facilities Allocation is the allocated method used to allocate the costs with any oversight and administration of the Facilities within the Juvenile Justice Services. The statistic used to allocate these costs is the Actual Number of Employees Paid by Facility.

Allocation Methods – Effort Reporting

Costs are distributed to multiple services, grants, programs or activities based on reporting of time using data from either Random Moment Sampling (Section V(F)) or Personal Activity Reports (Section V(G)). Costs that benefit a single program will be direct charged to that program; any non-reimbursable time or time associated with state-funded programs, will be charged to non-reimbursable code. Staff who are dedicated to activities that benefit only one program or function do not need to keep daily time logs or participate in random moment sampling.

Direct Costs

Within the PACAP, administrative costs that are directly identifiable to a single, specific program are identified as being direct charged to the benefiting program, grant or service as appropriate. A semi-annual certificate (Section V(H)) is maintained and signed by a supervisory official who has a firsthand knowledge of the activities performed to affirm 100% of time benefitting one specific program.

Personal Activity Report

Daily time reports are kept by certain staff to allocate costs. The reports reflect the totality of the actual hours worked by each employee and the hours are identified to the benefitting program within CYFD. The hours spent on indirect activities such as leave and general support will be allocated within the costs associated with this allocation basis. Each time report is signed by the responsible employee.

Allocation Methods – Transaction Based

FACTS Utilization Report

The FACTS Utilization Report is designed to capture the system utilization for each program/division that utilizes FACTS as a basis of case tacking, management and referral.

Number of Fixed Assets

The number of Fixed Assets allocation method is used as an appropriate measurement of the effort required by the Fixed Assets unit within Administrative Services. The allocation is detailed at the program area level.

Budgeted Contract Dollars by Program Area

The Budgeted Contract Dollars by Program Area allocation method is used as an appropriate measurement of the effort of the Contract/Audit/Review Support bureau unit within Administrative Services for staff involved in contract development and management. Larger contracts, specifically contracts for services greater than \$50,000 require CYFD to issue a Request for Proposals (RFP) and the higher the contract amount, the more effort is needed in the acquisition and maintenance of each contract.

Total Operating Budget by Program Area

The Total Operating Budget by Program Area allocation method is used an equitable distribution of the effort of the Budget Preparations / Projections staff that are responsible for putting the program areas' budgets together.

Current Quarterly Payment Voucher Count

The Quarterly Payment Voucher Count allocation method is used as an appropriate measurement of the efforts required by financial functions that provide payment services for CYFD. A count is taken at the end of each quarter from the SHARE system at the programmatic level of detail.

Current Quarterly Purchase Order Count

The Quarterly Purchase Order Count allocation method is used as an appropriate measurement of the efforts required by the Procurement section within Administrative Services. A count is taken at the end of each quarter from the SHARE system at the programmatic level of detail.

Training Report

The Training Report allocation method is used as a measurement of the efforts pertaining to staff training. The training report allocation contains a breakdown of how many employees were trained and what specific training they received, by program area. With respect to training that utilizes Title IV-E, these data are consistent with those included in the Title IV-B State Plan.

Number of Telephone Lines by Program Area

The number of Communication Devices (including Telephone Lines and Cell phones) by Program Area allocation method is used as a measurement of the effort of Telecom Network Unit. These data are derived from the spreadsheet prepared by the General Services Department reflecting billing to CYFD.

Total Square Footage Used by Program Area

The total square footage used by Program Area allocation method is used as a measurement of the effort of the Property Leases Unit. The allocation basis is to the Program Area level of detail.

Percentage of Leased Vehicles by Program Area

CYFD tracks the percentage of leased vehicle usage by Program Area in its Fixed Asset unit. This allocation method is used to appropriately and fairly allocate the costs of the Vehicle Leases Unit.

Child Care Case Counts

Quarterly costs are distributed to the Child Care and Development Fund and the United States Department of Agriculture (U.S.D.A.) Education and Training program based on the ratio of Child Care and Development Fund cases to U.S.D.A. Education and Training Program cases for the quarter.

Facilities Licensed as Medicaid Eligible or Non-Medicaid eligible

Costs are distributed to Medicaid Administration (Title XIX, 50% FFP) and the State General Fund based on the ratio of Residential/Behavioral Health Treatment Centers certified as Medicaid providers to those centers not certified as Medicaid providers. This ratio of Medicaid to non-Medicaid providers is calculated each quarter for application to the costs of each corresponding quarter.

Foster Care Case-Mix Ratio

The foster care case-mix ratio is the methodology used for calculating the portion of the State's administrative costs¹ for foster care that are eligible for Federal financial participation (FFP) under the provisions of the Title IV-E program. This is also referred to as the "IV-E Foster Care Penetration Rate."

The case-mix ratio must be calculated and applied uniformly in order to meet Federal cost allocation plan requirements for consistent and equitable treatment of costs as specified in OMB Circular A-87.

¹ Eligible administrative costs under title IV-E for State expenditures for foster care are defined at 45 CFR § 1356.60(c).

Ratio Construction:

The foster care² case-mix ratio is computed quarterly as specified below:

Numerator:

Title IV-E Eligible – The total unduplicated number of children in foster care who have been found Title IV-E eligible and in Title IV-E eligible placements (including children receiving Supplemental Security Income [SSI] in lieu of Title IV-E maintenance payments), as well as Title IV-E eligible children placed with a specified relative for up to five months (if the relative is in the process of being licensed).

Denominator:

Children in Foster Care – The total unduplicated number of children in foster (out-of-home) care for whom eligibility (or ineligibility) for Title IV-E has been determined.

Children in foster care for whom no eligibility has been determined (“pendings”) are excluded from both the numerator and denominator.

Composition of Cases/Cost Data:

The case counts for the denominator and the numerator defined above are compiled for each quarter of the Federal fiscal year based on data contained in the 301b report.³

The data from the 301b report will be extracted at the beginning of the last month of each quarter for that quarter. Those reports contain data for the prior month. That is, for each quarter of the Federal fiscal year, the data used will be as follows:

- | | |
|--|--|
| <u>1st Quarter (October-December)</u> | – Report as of December 1 reporting for data for November. |
| <u>2nd Quarter (January-March)</u> | – Report as of March 1 reporting data for February. |
| <u>3rd Quarter (April – June)</u> | – Report as of June 1 reporting data for May. |

² Foster care for the purposes of Title IV-E is defined at 45 CFR § 1355.20(a) as “24-hour substitute care for children placed away from their parents or guardians and for whom the State agency has placement and care responsibility. ... A child is in foster care in accordance with this definition regardless of whether the foster care facility is licensed and payments are made by the State or local agency for the care or the child, whether adoption subsidy payments are being made prior to the finalization of an adoption, or whether there is Federal matching of any payments that are being made.”

³ The 301b report includes all children in a current foster care placement except children on trial home visits and children under the Interstate Compact for the Placement of Children (ICPC) placed in New Mexico who are not in New Mexico custody. The report does include children in New Mexico custody who are placed out of state through ICPC.

4th Quarter (July – September)

– Report as of September 1 reporting data for August.

In summary, the data from the 301b will consistently be used to report the total children in foster care at the end of the middle month of each quarter

Additional Information:

Cases involving minor parents in foster care placed with their child(ren) are counted only if a separate order/agreement has been made for both the minor parents and their child(ren).

Costs identified per the non-Title IV-E eligible component of the caseload will be distributed to Title IV-B and/or State funds depending upon their availability.

Adoption Case-Mix Ratio

The adoption case-mix ratio is the Federally-approved methodology for calculating the portion of the State's administrative costs⁴ for adoptions that are eligible for Federal financial participation (FFP) under the provisions of the Title IV-E program.

The adoption case-mix ratio must be calculated and applied uniformly in order to meet Federal cost allocation plan requirements for consistent and equitable treatment of costs as specified in OMB Circular A-87.

Ratio Construction:

The adoption case-mix ratio is computed quarterly as specified below:

Numerator:

IV-E Adoptions – The total unduplicated number of children who have been determined to be eligible and are receiving Title IV-E adoption subsidy.

Denominator:

Non-IV-E Adoptions – The total unduplicated number of children receiving an adoption subsidy.

Composition of Cases/Cost Data:

The case counts for the denominator and the numerator defined above are compiled for each quarter of the Federal fiscal year based on data contained in the 301b report.⁵

⁴ Eligible administrative costs under title IV-E for State expenditures for foster care are defined at 45 CFR § 1356.60(c).

⁵ The 301b report includes all children currently receiving adoption subsidy.

The data from the 301b report will be extracted at the beginning of the last month of each quarter for that quarter. Those reports contain data for the prior month. That is, for each quarter of the Federal fiscal year, the data used will be as follows:

- | | |
|--|--|
| <u>1st Quarter (October-December)</u> | – Report as of December 1 reporting for data for November. |
| <u>2nd Quarter (January-March)</u> | – Report as of March 1 reporting data for February. |
| <u>3rd Quarter (April – June)</u> | – Report as of June 1 reporting data for May. |
| <u>4th Quarter (July – September)</u> | – Report as of September 1 reporting data for August. |

In summary, the data from the 301b will consistently be used to report the total children in foster care at the end of the middle month of each quarter

Blended Foster Care/Adoption Case-Mix Ratio

This ratio is an average of the Foster Care and Adoption Case-Mix Ratios. These two ratios are weighted based upon the total number of children in foster care for whom an eligibility determination has been made and the total number of children for whom an adoption subsidy is being paid.

Foster Care Candidacy Case-Mix Ratio

The foster care candidacy case-mix ratio is the Federally-approved methodology for calculating the portion of the State's administrative costs⁶ for foster care candidates that are eligible for Federal financial participation (FFP) under the provisions of the Title IV-E program.

The case-mix ratio must be calculated and applied uniformly in order to meet Federal cost allocation plan requirements for consistent and equitable treatment of costs as specified in OMB Circular A-87.

Ratio Construction:

The foster care candidacy case-mix ratio is computed quarterly as specified below:

Numerator:

Reasonable Candidates for Foster Care – The total unduplicated number of children served in the In Home Services (IHS) Program who have been determined to be reasonable candidates for Title IV-E foster care.

Denominator:

⁶ Eligible administrative costs under title IV-E for State expenditures for foster care are defined at 45 CFR § 1356.60(c).

In Home Services Children Served – The total unduplicated number of children served through CYFD In-Home Services

Children in In-Home Services for whom no eligibility has been determined (“pendings”) are excluded from both the numerator and denominator.

Composition of Cases/Cost Data:

The case counts for the denominator and the numerator defined above are compiled for each quarter of the Federal fiscal year based on data contained in the SM08A01B FCC Monthly PIT Report (Foster Care Candidate – FCC).⁷ This is a new point in time report created to mirror the 301b for FCC. As of July 2012, the report will change to the SM08A01C FCC Automated Monthly PIT Report.

The data from the SM08A01B FCC Monthly PIT report or SM08A01C FCC Automated Monthly PIT Report will be extracted at the beginning of the last month of each quarter for that quarter. Those reports contain data for the prior month. That is, for each quarter of the Federal fiscal year, the data used will be as follows:

- 1st Quarter (October-December) – Report as of December 1 reporting for data for November.
- 2nd Quarter (January-March) – Report as of March 1 reporting data for February.
- 3rd Quarter (April – June) – Report as of June 1 reporting data for May.
- 4th Quarter (July – September) – Report as of September 1 reporting data for August.

In summary, the data from the SM08A01B FCC Monthly PIT Report or SM08A01C FCC Automated Monthly PIT Report will consistently be used to report the total number of children served in In Home Services at the end of the middle month of each quarter.

Consolidated Foster Care/Adoption/Reasonable Candidate Case-Mix Ratio

This ratio is an average of the Foster Care, Adoption, and Foster Care Candidacy Case-Mix Ratios. These three ratios are weighted based upon the total unduplicated number of children in foster care for whom an eligibility determination has been made, the total unduplicated number of children for whom an adoption subsidy is being paid, and the total unduplicated number of children served through CYFD In-Home Services.

Background Checks Report

The Background Checks report is the allocation method used to appropriately allocate the Background Checks bureau within Administrative Services. The detail of this report is to the programmatic level and the data generated quarterly.

⁷ The SM08A01B Active In-Home Services Cases Report (Foster Care Candidate – FCC) includes all children served through In-Home Services at a point in time.

Title XIX Medicaid for Eligible Clients/Services

The Program Area tracks Medicaid eligible/non-eligible clients and bills for Medicaid eligible clients on a per diem basis. Effective July 1, 2008, direct billing for Medicaid services by Juvenile Justice Reintegration Centers will only be conducted at licensed Medicaid centers.

Trust Accounts Managed

The number of trust accounts managed is the appropriate method to allocate the cost of managing trust accounts. The children's trust accounts are maintained by recording any activity to each of the clients who are under the care of the agency.

D. Administrative Cost

Accumulation Of Costs

The CYFD accounting system (SHARE) records expenditures by department, program area, bureau, section, organization, and reporting code. Costs are accumulated based on the chart of accounts setup for CYFD. Each component of CYFD has a unique Program Code in the Chart of Accounts.

Costs are identified at the reporting code level for allocation. In addition to being assigned to a departmental component, costs are classified with a statewide account number. Account numbers beginning with 1 through 4 pertain to revenues and are not allocated in the plan. Account numbers that begin with a 5 are expenditure codes and are considered for allocation in accordance with OMB Circular A-87 (2 CFR Part 225).

Types Of Administrative Costs

Salaries / Fringe Benefits

The largest administrative expenditure category is salaries / benefits.

Each CYFD employee is assigned to a Reporting Category to account for all salaries and fringe benefits by program area in the agency. Daily leave taken as a normal part of the employees schedule is included within the salaries and benefits.

Lump sum leave paid at termination and excess sick leave payments are included with salaries and benefits. Also included are worker's compensation, employee liability, and unemployment insurance premiums.

The data to accurately document these costs are derived from the Department of Finance and Administration's PeopleSoft system, known as SHARE's Human Capital Management (HCM) module.

Contractual Services

CYFD records administrative costs through the payment mechanism established by the Department of Finance and Administration. Under that process CYFD prepares vendor bills or other documents identifying the expenses that are to be paid for by CYFD. CYFD assigns appropriate Organizational Category describing the type of expenditure. The benefiting program/grant and administrative component of the organization benefiting from the expenditure is assigned through the Reporting Category coding. Examples of the types of Contractual Service expenditures include Medical Services, Professional Service Contracts, and Other Contractual Services.

Other Operating Expenditures

Costs related to the Operation of CYFD are recorded in a similar fashion as Salaries and Contractual services. A cost is identified as an Other Operating Expenditure based

on Organizational Category. Examples of Other Operating Expenditures include Travel, Maintenance, Supplies, Vehicle Expenses and Utilities.

Statewide Cost Allocation Plan

The State of New Mexico/Department of Finance and Administration develops the Annual

Statewide Cost Allocation Plan (SWCAP) and negotiates its implementation with the Federal Government. The SWCAP allocates the central service costs of operating State Government to the various Departments and subunits. The SWCAP allocates statewide costs to the Children, Youth and Families Department. SWCAP costs are directly assigned to the Cabinet Secretary in the Office of the Secretary and are allocated based on the Department Allocation.

Cost Allocation

The Allocation Process

A computerized cost allocation system generates cost reports to determine the Children, Youth and Families (CYFD) cost claims for Federal reimbursement. The system shall reflect the cost finding and reporting methodologies described in this Narrative Cost Allocation Plan.

The computerized cost allocation reporting system employs a double step-down method of allocating costs. This model recognizes that central service components render services to other central service components as well as direct service components of CYFD. The reporting system makes an initial allocation of the costs of central service departments. These central service departments are not “closed” after the first step of the allocation. Instead, they stay “open,” accumulating part of the cost of all other central service departments from which they receive services. Therefore, after the first step of the allocation is complete, costs remain in the central service departments. A second and final apportionment of costs follows the first step by allocation all costs remaining in the central service departments, and “closing” them out, which prevents them from receiving further costs.

CYFD operates the cost allocation system once a quarter. During the operation, a new set of allocation statistics are generated for each allocation basis. The results of those statistics are then applied to expenditures for the same quarter or period of time that coincide with the costs that are accumulated and identified.

Retention of Records

Consistent with 45 CFR § 92.42, “Retention and access requirements for records:”

1. Except as otherwise provided, records must be retained for three years from the starting date specified in paragraph (c) of this section.
2. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be

retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

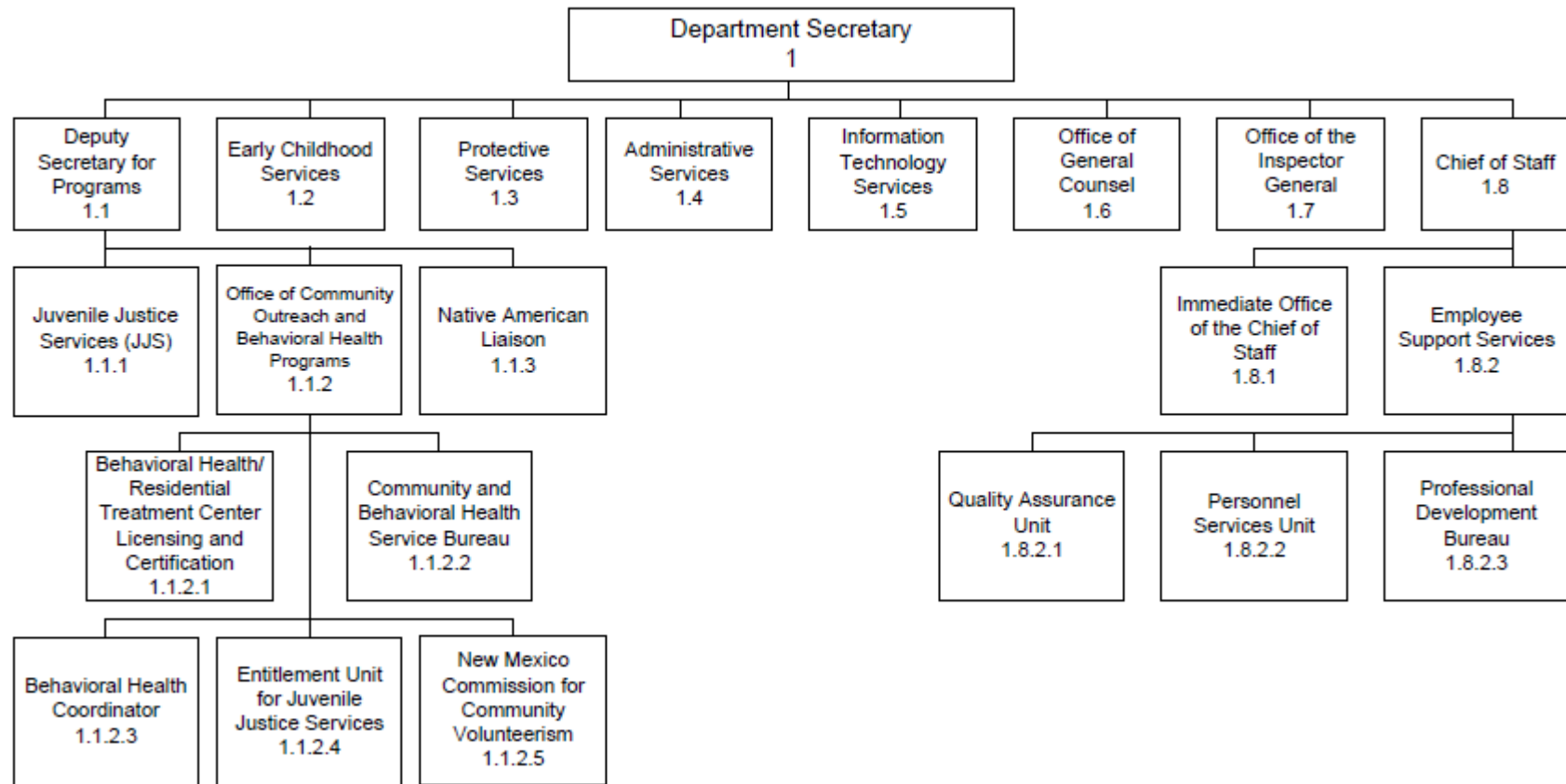
3. To avoid duplicate recordkeeping, awarding agencies may make special arrangements with grantees and sub-grantees to retain any records which are continuously needed for joint use. The awarding agency will request transfer of records to its custody when it determines that the records possess long-term retention value. When the records are transferred to or maintained by the Federal agency, the 3-year retention requirement is not applicable to the grantee or subgrantee.

(c) Starting date of retention period—(1) General. When grant support is continued or renewed at annual or other intervals, the retention period for the records of each funding period starts on the day the grantee or subgrantee submits to the awarding agency its single or last expenditure report for that period. However, if grant support is continued or renewed quarterly, the retention period for each year's records starts on the day the grantee submits its expenditure report for the last quarter of the Federal fiscal year. In all other cases, the retention period starts on the day the grantee submits its final expenditure report. If an expenditure report has been waived, the retention period starts on the day the report would have been due.

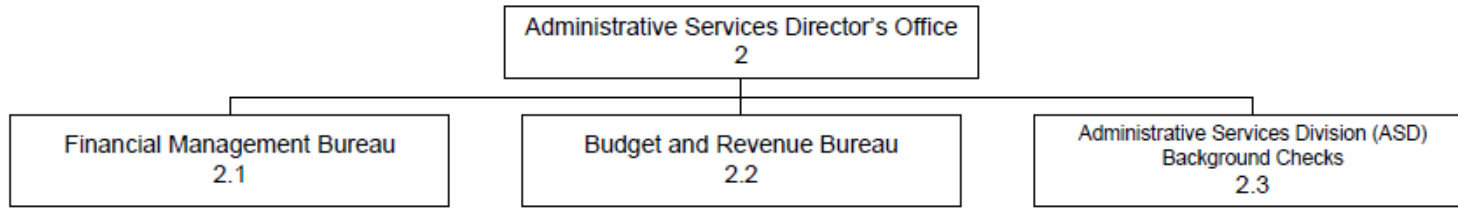
E. CYFD Organizational Charts*

* Same as Appendix A of Public Assistance Cost Allocation Plan, New Mexico Children, Youth and Families Department

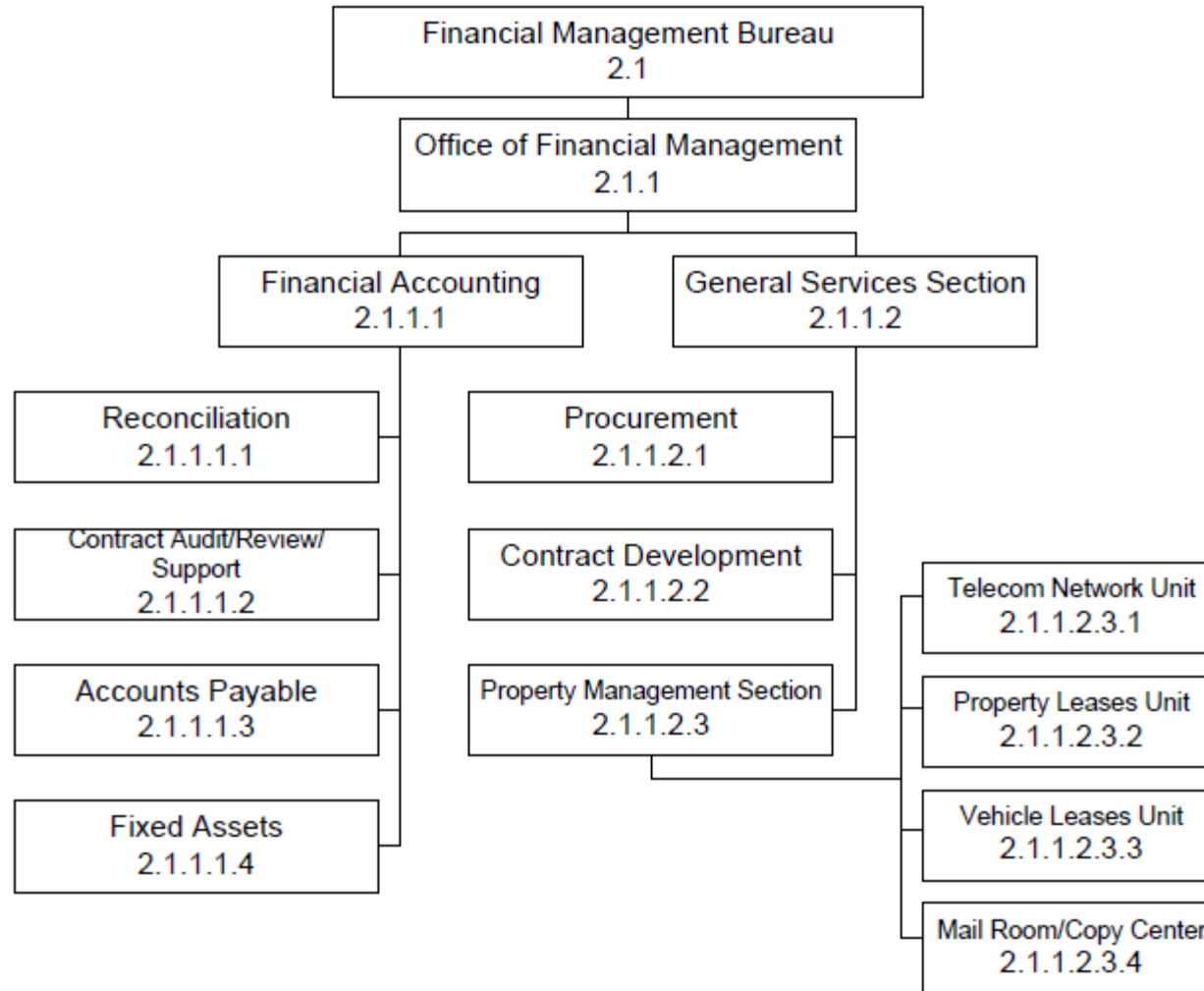
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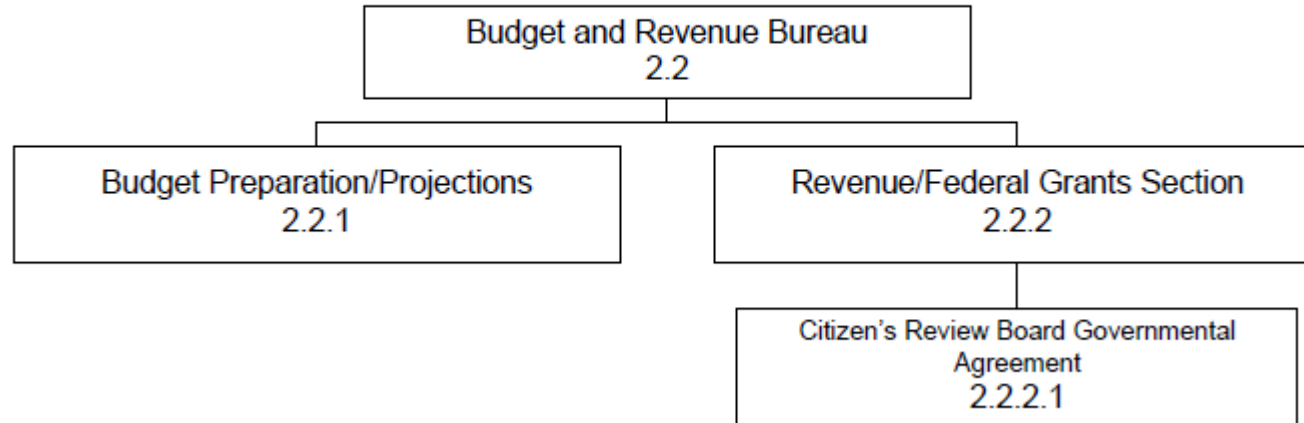
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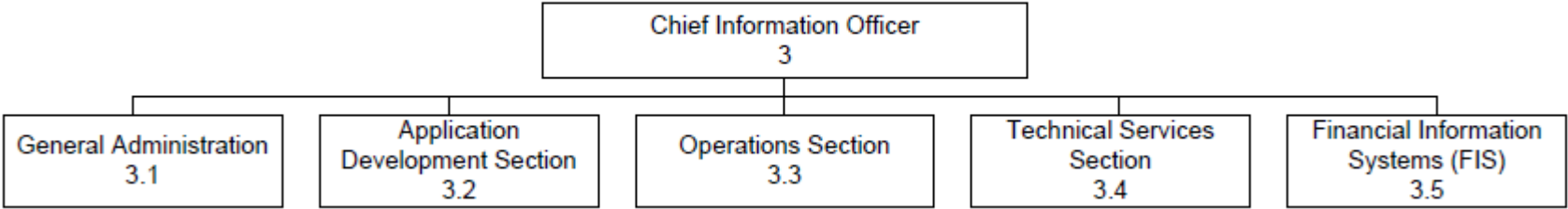
**Administrative Services
Finance**



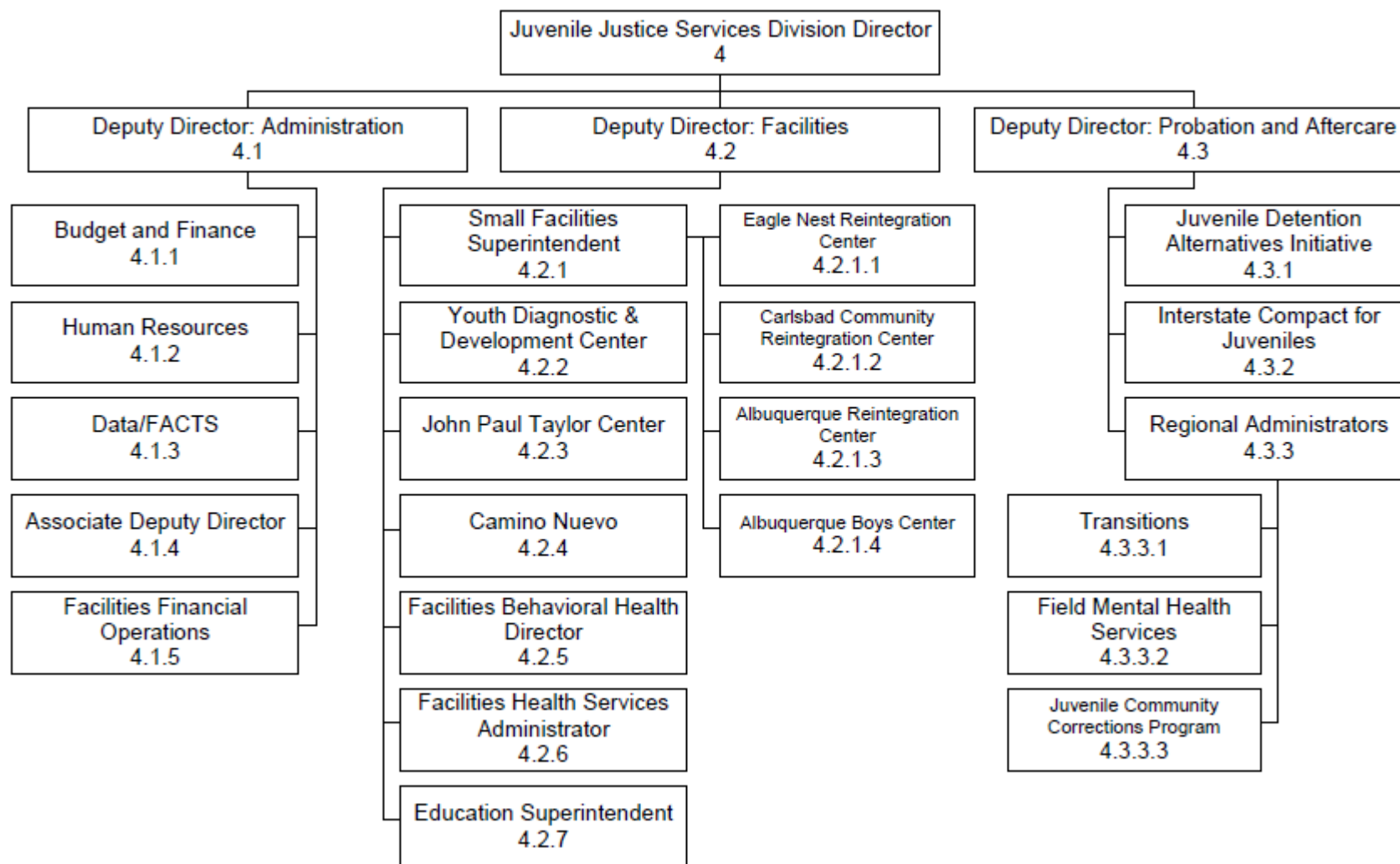
**Administrative Services
Budget**



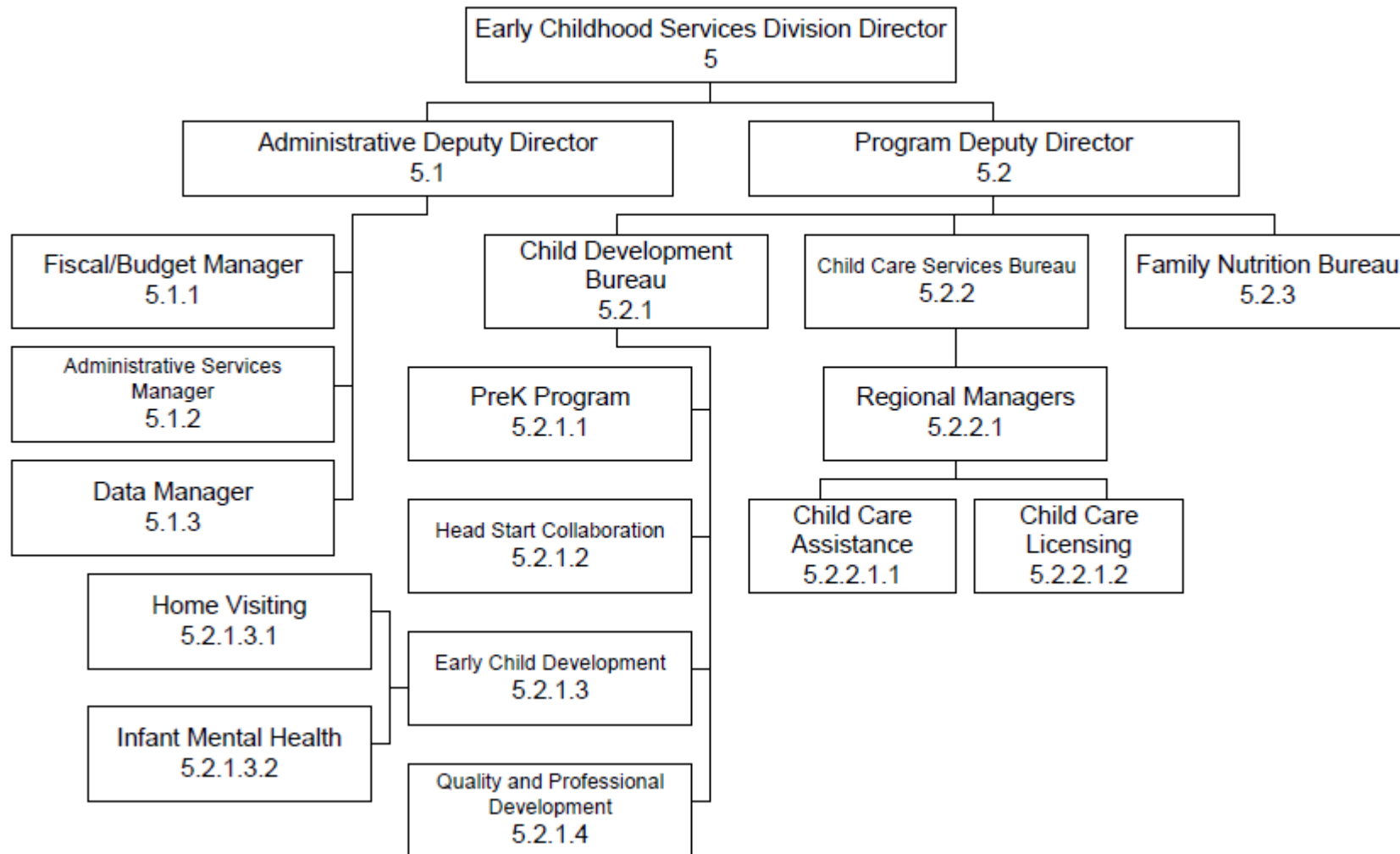
Information Technology Services



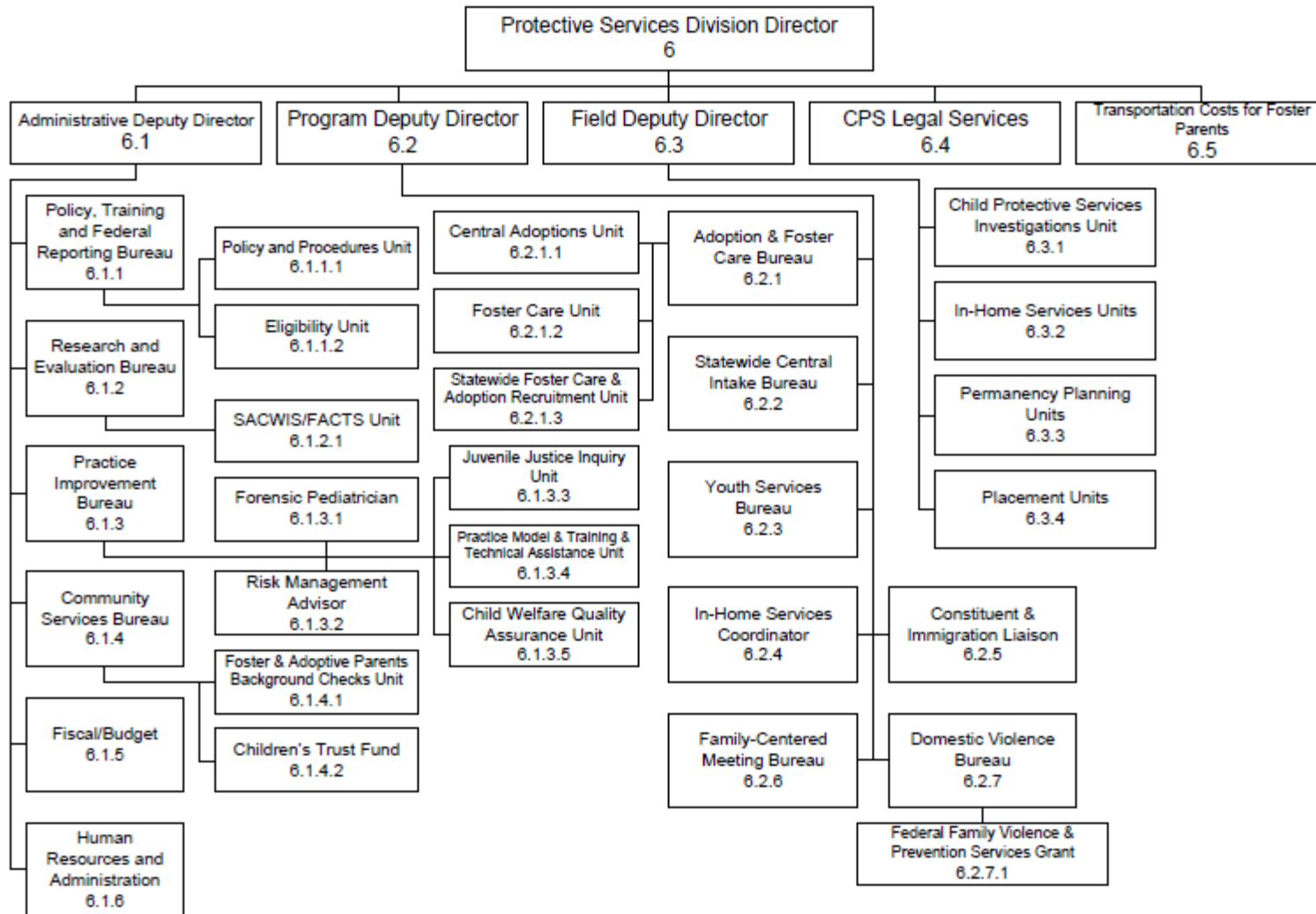
Juvenile Justice Services



Early Childhood Services



Protective Services



F. Random Moment Sampling System*

* Same as Appendix B of Public Assistance Cost Allocation Plan, New Mexico Children, Youth and Families Department

Introduction

The Random Moment Sampling (RMS) system will be used to distribute costs appropriate to the various programs and services provided by Children, Youth and Families Department (CYFD) Protective Services Division (PSD). The changes in this revision include the following:

1. A complete rework of the service and activity codes the workers may choose from
2. Modification of the included worker groups
3. Switching from a telephone polling methodology to the use of Email and web-based response pages.

The structure of the implementation plan addresses two (2) major areas: system design and system implementation.

System Design

The design of the revised RMS system differs from the previous design both in the codes the employees are asked to select from and the Email and Web-based methodology used to deliver the sample notifications and gather the responses.

Analysis of Operations

By switching to Email and web-based responses the process should require less effort from the administrators, be less intrusive on the employees, and generally result in more timely responses.

Identification of Sampling Objectives

In addition to the use of the RMS to identify employee effort related to specific programs and activities within protective service programs, CYFD will use the RMS system for the purpose of allocating allowable costs.

Identification of the Universe

A separate and distinct sampling universe has been defined for the purposes of the RMS project. The universe is designed for the purpose of including direct workers who are involved in the day-to-day administration, within each local office, of the division's protective service programs.

The following worker groups have been determined to relate to these functions.

- Investigators
- In-Home Services Workers
- Permanency Planning Workers
- Placement Workers
- Client Service Agents
- Eligibility Specialists
- Adoption Consultants
- Placement Specialists

None of the above listed positions are dedicated to a single program, therefore are included in the protective services random moment sampling universe.

Sampling Techniques

The RMS software generates 2,700 “moments” for the quarter at random from approximately 9,600,000 combinations of approximately 325 employees and 29,760 minutes per employee. Each sampled moment is identified on a sample list (Attachment 1) in chronological order by the name of the worker to be sampled at that particular point in time. Random moments are recorded on the RMS database in the following manner:

- **Day.** Standard workday during the year. Official holidays will be excluded.
- **Minute.** Any minute between 8:00 a.m. and 5:00 p.m. excluding 12:00 to 1:00.
- **Worker.** Any employee in the position classes listed above for the local CYFD PSD offices.

Given the number of workers and 2,700 sample moments, each worker can expect to be sampled, on average, eight times each quarter.

The RmsPLUS software provides the mechanism to produce a random selection of observations of the worker population during the reporting period. The sampling frame was constructed to provide each caseworker in the pool an equal opportunity, or chance, to be included in each sample observation (n=2,700). The sampling occurs with replacement, so as after a moment is selected for sampling it returned to the sampling pool where it will be eligible to be picked again. Each worker has the same chance as any other worker to be selected for each observation. Sampling with replacement ensures true independence of sample moments.

The CYFD Administrative Services Division (ASD) generates control listings of randomly selected moments in date, minutes, and location order including the following fields:

- Sample ID Number
- Date
- Minute
- Name
- Position Classification
- Location Code, Telephone and Email Address

The master listing is used by ASD to monitor the status of each sample response so that appropriate follow-up calls can be made for delinquent observations or missing data. At the moment of the sample an Email is sent to the worker. The worker clicks a link in the Email which opens up a web page allowing the worker to respond to the sample online.

The fields in the control number reference file are as follows:

Field	Description	Source
Date	Self-Explanatory	Random Generation
Minute	Self-Explanatory	Random Generation
Name	Self-Explanatory	Quarterly Employee Updates
Position Description	Title	Quarterly Employee Updates
Location	County Office or Location	Quarterly Employee Updates

Sample Period

The sample collection period is for the same three (3) month period for which costs are distributed to various programs. The sample generation is executed immediately prior to the federal reporting period.

Confidence Level and Precision

The RMS system has been designed to permit a level of precision at +/- 2% with a 95% confidence level. For activities with expected rates of occurrence less than 5%, precision is reduced to +/- 5%. However, the confidence level will remain at 95% regardless of the expected rate of occurrence.

Sample Size

The sample size required to produce mandatory levels of precision and confidence is determined initially through application of the following equation:

$$n = \frac{z^2 \times p \times (1-p)}{SE^2}$$

Where:

n = sample size

p = maximum anticipated rate of occurrence of the activities being observed

SE = desired sample precision (sampling error)

z = 1.96 for 95% confidence level

In addition, a standard over-sampling factor of 10% has been added in order to compensate for worker transfers and terminations.

The calculation of minimum sample size is based on the highest expected rate of occurrence of any one (1) activity. As long as the maximum occurrence rate does not exceed 50%, this will avoid the need to subsequently increase sample size in order to maintain the mandated precision and confidence levels. For example, if the highest incidence of occurrence of any activity is 50%, then:

$$n = \frac{1.96^2 \times .50 \times (1-.50)}{.02^2}$$

The above equation assumes a population from which the sample is drawn to be larger than 100 workers. The current statewide sample size is 2,700 observations per quarter for each sample.

The program and activity precision tables can only be produced after the end of the quarter and all the data is entered into the program. The precision tables provide a means to check to determine if the results meet the confidence test of 95% with a standard error of +/- 2%.

The core work hours of 8:00 AM to 5:00 PM provide for 480 minutes per day of available time for sampling moments. Using the 325 employees, the potential combinations are:

Time Study	Total Workers	Minutes per Day	Average Days per Quarter	Possible Combinations
CYFD PSD	325	480	62	9,672,000

Each of the possible combinations has an equal chance of being selected to make up the 2,700 observations drawn for each sample. Each observation includes the employee's name, location, telephone number, date and time to be contacted.

Valid Observation

The definition of a valid observation is any activity an employee is paid to engage in, and excludes activities the employee is not paid for. A valid observation could include the worker being on break or on paid leave, but does not include lunch, flex time or not scheduled to work on the day of the observation.

The 'Invalid' codes include:

- 28 – Lunch
- 29 – Unpaid Leave/Flextime
- 30 – Not Scheduled To Work
- 31 – Invalid Response

System Implementation

The Department of Health and Human Services (HHS) guidelines strongly recommend obtaining the commitment to RMS from CYFD Senior Managers. These are the decision-makers vital to the provision of adequate resources to maintain a valid and reliable RMS system. In order to secure this commitment, key officials in CYFD have been actively included in the planning process throughout the development of this plan.

RMS Administration and Quality Control

The HHS guidelines recommend creation of a separate unit at the Central Office level responsible for on-going management of RMS system. At minimum, ASD is responsible for carrying out the following tasks:

- Overall RMS problem-solving responsibility
- On-going updates to sample universe to reflect all relevant personnel actions
- Coordination of sample generation
- Implementation of quality control reviews of completed sample moments
- Analyzing and summarizing sample results to ensure appropriate applicant to various cost objectives

The analysis used to review the reliability of the RMS results includes the following: examining the results of the activity precision table for each sample, which is a standard report, reviewing the results to check for data anomalies, and comparing the RMS results to prior time periods. When unusual or inconsistent RMS responses are discovered, ASD will contact the worker on the phone to clarify the response. Additionally, ASD will provide for periodic review of the RMS at the local office during their review of the respective office(s) operations.

Using the facilities of the RMS computer system, a random sample of worker -moments is generated, stored in the RMS database and printed out in the form of control number references lists. The initial Email notice is sent to the worker five minutes before the sample moment, allowing time for the Email to work its way through the system and arrive in the worker's inbox. The worker is expected to respond to the sample at that moment.

If the worker has not responded to the sample notification Email within one day, then a reminder Email is sent to the employee and an Email is sent to the worker's supervisor.

A list of samples which haven't been responded to within 24 hours is sent to the supervisor's manager once in the morning and again in the afternoon. It is expected that they will follow up with the worker to ensure the response is entered in a timely fashion. After 48 hours of non-response, the sample becomes invalid.

Quality control measures have been instituted at ASD that requires a review of observations for completeness and appropriateness of response. If questions arise at any level of review, the sampled worker is contacted by ASD to clarify or correct his or her response.

Ten percent of the observations are marked for independent observation and review. Each response to one of the 10 percent is forwarded to the worker's supervisor for review and confirmation. The supervisor reviews the employee's response and either confirms the response or marks it for further investigation along with comments as to his or her concerns.

The completed observations are retained in the RmsPLUS database for four (4) years subsequent to the sample quarter. Information on case-related activity is also coded in the database to facilitate audits back to the case file by state or federal auditors.

Orientation and Training

CYFD has delivered live training prior to the startup of the new Email based time study. ASD and PSD trainers traveled to the various regional sites to explain to workers the purpose of RMS, how the system works, and explains the different codes and when to use them. Future new employees will receive the same training as part of their new employee orientation.

In addition to the live training, compulsory online training will be delivered to the workers. The online training reviews with the workers to the reasons for doing RMS, the process and procedures for completing RMS sample responses, and includes descriptions of the activity codes they may select from. All workers will be required to complete the online training before being allowed to respond to their first sample moment. New workers participating in RMS automatically receive the training at the beginning of the first quarter during which they will be sampled.

Employee training and orientation of all affected Central and Local office staff will be instituted early in RMS implementation. The HHS guidelines stress the importance of communicating the purpose of RMS procedures to direct workers. The training is critical to successful implementation of the RMS system in a timely and consistent manner.

Training was conducted for workers, supervisors, county office managers and regional managers during November and December, 2011. The training targeted the specific needs and functions of caseworkers, social workers and the other worker groups included in the sample pool. This training program included:

- Purpose of RMS system
- Overview of the Program and Activity Codes
- Description of how the sampling is conducted
- Review of the sample response mechanism through Email

- Procedure for problem resolution

The ASD training program included:

- Updating the pool of sampled employees
- Random moment sample generation
- Role of the Central Office RMS Coordinators in monitoring the time study
- Description of the codes used in the time study
- Ensuring the integrity of the time study results
- Preparing reports
- Problem resolution

Application of RMS Results

The randomly selected 2,700 observations are recorded in the software database and as Emails are sent and responses obtained, those responses are recorded automatically into the database. The results are tabulated and the following standardized reports can be produced:

- Program Summary Results
- Activity Summary Results
- Program Precision Table
- Activity Precision Table
- Detail Report by Program and Activity
- Detail Report by Activity and Program

A standardized feature of the RmsPLUS software is the production of export files that can be used by ASD for further analysis of the sample data. This option is selected after the results have been tabulated.

The final program summary represents the absolute percentage of time observed for each service areas after commonalities have been excluded and non-specific response has been properly redistributed.

Activity Codes

The RMS codes include a Program Code and an Activity Code. The Program Code generally references the service area the worker is engaged in at the moment of the sample. Often they represent the program the employee is working on.

The Activity Code is the specific activity the worker is engaged in for the service area.

The worker is always asked to select exactly one service area and one activity area. Only certain combinations of Program Code and Activity Code are valid, meaning that they represent an activity which may legitimately be performed for a given service area. The valid combinations of the service and activity are listed later in this document in the Funding Matrix section.

Program Definitions

Code 01: Child Protective Services (CPS) Investigations

Includes assessment of safety for children who are the subjects of reports of alleged abuse or neglect. Investigators collect and assess information to determine whether the incident of child abuse or neglect occurred, whether any child in the home remains at risk for continuing abuse or neglect, and to assess the need for additional protective services. Investigations are conducted for children in the custody of their biological parents, adoptive parents, other relatives or guardians, or who are in PSD custody (including children who are in out of home placement). May also include the referral of medical, mental health or other social services during the course of the investigation.

Code 02: Placement Prevention (In Home Services)

Activities provided without court intervention that are expected to enhance the family's ability to function, improve safety for children, create stability within the home, and develop healthy and supportive on-going community relationships. Services are offered as part of reasonable efforts to enable a child or children to remain at home in a safe and stable environment.

Code 03: Adoptions

Activities performed by staff on behalf of the child in adoptive placement both before and after adoption finalization as well as on behalf of children who are still in foster care, but for whom the agency is pursuing a permanency plan of adoption. This activity includes writing and reviewing court reports, supporting documents, conducting home studies, supervision, work related to voluntary relinquishments and other activities related to adoptions. Includes referral of services to families in crisis where the child in question has been legally adopted. Also, any activity related to assistance paid to adoptive parents on behalf of a special needs child.

Code 04: Foster Care

Includes the arrangement and coordination of services to ensure the safety, permanency and well-being of children in regular, relative, specialized, or treatment foster care and children placed in group homes, residential, treatment facilities or independent living placements who are in the custody of the department. The purpose of permanency planning services is to systematically carry out, within a time-limited period, a set of goal directed activities designed to help children live in families that offer continuity of relationships with nurturing parents or caregivers and the opportunity to establish lifetime relationships.

Code 05: Medical/Health Related

Activities performed by staff that assists a child in gaining access to needed medical and mental health services. Includes transportation (medical), case staffing, attendance at meetings and medical/mental health case planning and case management.

Code 06: Training

Attendance at or preparation for training, either as a trainer or a trainee. Includes travel, paperwork, computer work and preparatory activities associated with training. This program does not include regular supervision sessions.

Code 07: General

No other program describes the activity being done. Includes non-program specific general and administrative activities, lunch, breaks, leave, etc.

Activity Definitions

Code 01: Eligibility

This activity involves the determination of eligibility (and ineligibility) for Federal programs, including Title IV-E (Child Welfare), Title IV-D (Child Support Enforcement), and Title XIX (Medicaid). Activities involved in determining whether or not a child is a “reasonable candidate” for Title IV-E foster care are also considered “eligibility.”

This code should be used for, not only the actual determination of eligibility, but preparation for and assistance to the eligibility determination process. As such, this code includes time spent gathering and verifying information used by the Eligibility Specialist with regard to income, parental deprivation, resources, social security numbers, and birth certificates; filling out and processing necessary forms; the process of applying for SSI/SSA for children in custody, querying systems, records, and other staff for current AFDC status; and preparing for, participating in, or following up on Title IV-E eligibility reviews.

This code is should also be used to report time spent on similar activities involved in the redetermination of eligibility.

This code should also be used to capture travel time related to this activity.

Code 02: Transportation (Medical)

This activity includes arranging and providing non-emergency transportation of clients to health-related services such as medical appointments, therapy and treatment team meetings. When medically necessary, this activity may include accompanying clients to medical services.

Code 03: Transportation (Non-Medical)

This code should be used for activities designed to enable persons to travel to and from facilities to receive needed services exclusive of medical services. This includes going to and returning from the client's location, transportation associated with parental and sibling visitations, transportation to and from school, or other non-medical activities.

This code should only be used for program-related transportation that cannot be associated with a specific activity.

Code 04: Preparation for and Participation in Judicial Proceedings

This activity code is for the preparation for and participation in judicial activities, court proceedings or voluntary placement agreements in court such as the custody hearing, adjudicatory and dispositional hearings, termination of parental rights, change of placement, etc. These judicial determinations and voluntary placement agreements typically contain a finding that a child's continued residence in the home of removal would be contrary to his/her welfare, reasonable efforts to prevent or eliminate the need for removal of the child from his/her home have been made, and placement into substitute care is in the best interest of the child.

This code also includes preparation and verification of complete factual presentation to the court; drafting and review of reports such as the Affidavit for Ex-Parte custody, the dispositional study and reports for permanency hearing and any judicial review. This code includes consultation with supervisory personnel, the children's court attorney and other involved parties during the report drafting process; interviewing relevant individuals in preparing court reports; work with biological parents related to voluntary relinquishments; also includes time spent in appearing or otherwise participating in a Judicial Hearing and mediation.

This activity includes travel time as well as time spent on location awaiting the hearing.

Code 05: Preparation for and Participation in the Citizen's Review Board (CRB)

This activity code is for the preparation for and participation in deliberations of the Citizen's Review Board (CRB). This activity includes preparation and verification of complete factual presentation to the Board; drafting and review of reports; consultation with supervisory personnel, children's court attorney and other involved parties during the report drafting process; interviewing relevant individuals in

preparing reports; also includes time spent in attending, appearing or otherwise participating in a CRB meeting.

This code should also be used to capture travel time related to this activity.

Code 06: Family Centered Meetings

Family centered meetings or facilitated staffing is a term that includes approaches in which family members are brought together to make decisions about how to care for their children and to develop a plan for services.

This code should be used for time spent participating in, planning, facilitating, or following up on family centered meetings or facilitated staffing.

This code should also be used to include family team conferencing, family team meetings, family group conferencing, family team decision-making, family unity meetings, or similar activities.

This code should also be used to capture travel time related to this activity.

Code 07: Case Planning

This activity includes reviewing the client's information; assessing the presenting problem of the case and its associated circumstances, identifying those resources that are available and appropriate to the client's needs, writing the case plan, and conferring with supervisory personnel in the actual development of the case plan, participation in the IEP process as the legal guardian, and any other activities related to development and preparation of the case plan. Activities may also include completing foster care needs assessment, IL/Youth Assessments, and youth and birth parent assessments.

This activity should also include completing the safety and risk assessment for purposes other than the determination of "reasonable candidacy" (this should be coded as "Eligibility" – Code 01).

This code should also be used to capture travel time related to this activity.

Code 08: Case Management—(Medical)

This code should be used when performing case management activities that address the medical and behavioral health needs of a particular child. Specific activities include referral for other medical and behavioral health services; assistance in utilizing Medicaid and Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) services; and assistance in implementing health regimens.

This code is used for activities including the review and revision of the case plan; case and administrative reviews; case management/supervision; and related activities. This includes preparing documentation for the case file, dictation, or entry of related information into FACTS and other systems.

This activity also involves referral to the delivery of medical and behavioral health services as required by the case plan of care. Case management includes assisting children and their families to obtain medical services otherwise inaccessible or unavailable.

Case management also includes case staffing (i.e., the formal review of the case at a given time interval including formulation of revisions in the plan of care based on the case staffing; meeting with providers and/or other related agencies to discuss the progress of the client) related to the physical and mental health of the child.

Case management also includes monitoring the delivery and effectiveness of medical and behavioral health services identified as appropriate in the case plan and revision of the plan of care as conditions warrant.

Code 09: Case Management—(Non - Medical)

This code is used for activities including the review and revision of the case plan; case and administrative reviews; case management/supervision; supervising parent/child visitation; home visits; and similar activities other than those related to medical and behavioral health. This includes preparing documentation for the case file, dictation, or entry of related information into FACTS and other systems.

This activity also involves referral for the delivery of social, educational, vocational and foster services as required by the case plan. Case management includes facilitating the use of natural helping networks, such as family members and fictive kin, church and/or other community members and friends; development of increased opportunities for community access and involvement including assistance in the location of housing, community learning skills, teaching vocational, civil and recreational service programs; and assisting children and their families to obtain services otherwise inaccessible or unavailable. May also include festivities in recognition of foster children.

Case management related to the placement of the child includes contacting potential care providers; consultation with supervisory personnel; processing of required legal and Departmental documentation; informing the current care provider of the details of the change of care placement; coordination among all parties involved for the date of transfer; conducting a pre-placement visit or conference (with or without the client) to the new provider; physical placement of the client with new care providers; and replacement assessment; preparation for removal from placement; pre-placement visits; notification of custodian; emergency interim placement; and alternate placement.

Case management also includes case staffing (i.e., the formal review of the case at a given time interval including formulation of revisions in the case plan based on the case staffing; meeting with providers and/or other related agencies to discuss the progress of the client).

Case management includes the maintenance of up-to-date case notes, entry of case data in FACTS, and other documentation related to the case.

Case management also includes monitoring the delivery and effectiveness of services identified as appropriate in the case plan and revision of the plan of care as conditions warrant.

Case management also includes efforts to locate runaway children in CYFD custody.

This code should also be used to capture travel time related to this activity.

Code 10: Child Support

This code is used when the worker is engaged in any activities directed to the establishment or enforcement of the obligation of parents to provide financial or medical support for their children.

This code also applies if the employee is working to establish or modify a child support order or to collect child support from a parent who may no longer have custody of his children. Examples include:

- Any assistance to, or collateral or written contacts with, the Child Support Enforcement Division of the Human Services Department,
- Preparing or gathering information such as personal information or financial data for child support purposes and information to be used to establish paternity,
- Making recommendations for child support (including “good cause” exemptions),
- Requesting or completing orders for support, and
- Preparing for or attending hearings involving financial or medical child support.

Travel associated with items enumerated above.

Code 11: Recruitment and Licensing

This code is used when the worker is engaged in any actions related to licensing of foster or adoptive homes.

This activity includes recruitment, study, certification, and licensing of foster family homes for children; re-certification, renewal, suspension, revocation, complaint investigation actions affecting licensing, identifying appropriate relatives for placement and the initial relative assessment.

This code should also be used to capture travel time related to this activity.

Code 12: Rate-Setting, Contract Management and Provider Relations (Medical)

This code should be used to capture time spent on activities involving the negotiation of contracts or agreements or resolving billing/payment issues with providers of medical or behavioral health services. This negotiation may involve determining the appropriate scope of services to be provided, level and quantity of services, performance expectations, and the reimbursement appropriate to those services.

This activity includes providing technical assistance to providers of health and mental health services, monitoring provider agency capacity and availability; and ensuring compliance with the terms of the contract.

This code should also be used to capture travel time related to this activity.

Code 13: Rate-Setting, Contract Management and Provider Relations (Non - Medical)

This activity involves any activity related to setting the rates for foster care, adoption subsidies, and the reimbursement to be provided to other non-medical providers. This activity also involves resolving payment issues.

This may include collection or submission of information about a child or sibling group and consultation with the child's care or service providers regarding any special needs of the child.

This also includes resolution of payment issues related to service providers.

This code should also be used to capture travel time related to this activity.

Code 14: Treatment or Counseling

This code should be used when a worker is providing treatment and counseling services to a child, the child's family, or to the child's substitute care provider to ameliorate or remedy personal problems, behaviors, or home conditions.

Examples of this activity include conducting family, group, or individual therapy in planned sessions, in which the worker is a qualified therapist meeting with a family, client, or group of clients to resolve diagnosed or treat behavioral or emotional disorders.

This activity may only be used by trained therapists or counselors and requires prior approval by the worker's supervisor.

This code should also be used to capture travel time related to this activity.

Code 15: Investigations

Includes investigation of allegations of suspected child physical abuse, sexual or emotional abuse, or child neglect, while the child is in the family setting and preceding any removal of the child from the home. This code may also be used to include CPS Investigations for children in PSD custody in out of home placement.

This activity is considered complete when the worker makes the investigation decision and documents the investigation disposition and completes the CPS Investigative Study.

It is possible that the worker may participate in such activities as Preparation for or Participation in Judicial Proceedings (Code 04) before documentation is complete and the investigation is closed. In such instances, the worker should charge those other activities and not Investigations.

Additionally, continuing case activity such as Case Planning (Code 07) or Case Management (Codes 08 or 09) should be reported under the Placement Prevention/IHS or Foster Care programs instead of the CPS Investigation.

This code should also be used to only capture travel time related to Investigations.

Code 16: Foster Care, Adoption and Placement Prevention/In Home Services Eligibility Training

This category should be used when the worker is engaged in or is preparing for training related to the collection of information that can be used to determine a child's eligibility for Title IV-E reimbursement (for either foster care, adoption, or "reasonable candidacy" for placement prevention/In Home services) or the allocation of particular activities to Title IV-E for purposes of the time study.

Following are examples of training activities considered to be eligibility related:

- Providing or preparing to provide training related to the collection of information that can be used to determine of an individual child's eligibility for title IV-E reimbursement or the allocation of particular activities to title IV-E for purposes of the time study
- Providing or preparing to provide training related to the conduct of intake interviews
- Participating in or preparing for training sessions related to these topics
- Attendance at professional seminars or workshops related to these topics

Travel associated with the activities enumerated above.

Code 17: Foster Care Program Training

This category should be used when the worker is engaged in or preparing for training related to the acquisition or enhancement of case management and other skills that support the delivery of services to foster children.

Allowable training activities include (but are not limited to) the following topics:

- Fair hearings and appeals

- Rate setting
- Referral to services
- Preparation for and participation in judicial determinations
- Placement of the child
- Development of the case plan
- Case reviews
- Case management and supervision
- Recruitment and licensing of foster homes and institutions
- Preparation of client risk or needs assessments, home studies, case planning, dispositional reports, behavioral contracts, case reviews, permanency plans, etc.
- Training of prospective or current foster parents
- Participation in the Child and Family Services Review (CFSR) and Program Improvement Plan (PIP)
- Social work practice, such as family centered practice and social work methods including interviewing and assessment
- Cultural competency related to children and families
- Title IV-E policies and procedures
- Initial in-service training
- Child abuse and neglect issues, such as the impact of child abuse and neglect on a child, and general overviews of the issues involved in child abuse and neglect investigations, if the training is not related to how to conduct an investigation of child abuse and neglect
- Permanency planning including using kinship care as a resource for children involved with the child welfare system
- General substance abuse, domestic violence, and mental health issues related to children and families in the child welfare system, if the training is not related to providing treatment or services
- Effects of separation, grief and loss, child development, and visitation
- Communication skills required to work with children and families

- Activities designed to preserve, strengthen, and reunify the family, if the training is not related to providing treatment or services
- Assessments to determine whether a situation requires a child's removal from the home, if the training is not related directly to conducting a child abuse and neglect investigation. Training on how to conduct specialized assessments such as psychiatric, medical or educational assessments are not permitted
- Ethics training associated with a title IV-E State plan requirement, such as the confidentiality requirements in section 471(a)(8) of the Act
- Contract negotiation, monitoring or voucher processing related to the IV-E program
- Adoption and Foster Care Analysis and Reporting System (AFCARS), Statewide Automated Child Welfare Information System (SACWIS) or other child welfare automated system functionality that is closely related to allowable administrative activities in accordance with 45 CFR 1356.60(d) that the State has chosen to claim as title IV-E training rather than as SACWIS developmental or operational costs (see AT-ACF-OISM-001)
- Independent living and the issues confronting adolescents preparing for independent living consistent with section 477(b)(3)(D) of the Act and the Child Welfare Policy Manual (CWPM), Section 3.1H, Q/A #1
- Foster care candidate determinations and pre-placement activities directed toward reasonable efforts in 471(a)(15), if the training is not related to providing a service
- Training on referrals to services, not how to perform the service
- Referral procedures and eligibility requirements for income assistance, substance abuse and mental health services, family or individual counseling, medical or dental care, job training, alternative education, etc.
- Management of resistant behaviors such as passive aggressiveness or acting out (physical aggression, verbal threats, etc.)
- Participating in or preparing for training sessions related to these or similar topics
- Attendance at professional seminars or workshops related to such topics

Travel associated with the activities enumerated above.

Code 18: Foster Care Administration Training

This category consists of activities where the worker is engaged in or preparing for training related to administrative skills that support the delivery of services to foster children.

Allowable training activities include (but are not limited to) the following topics:

- Word processing, spreadsheet compilation or data entry
- Time-management
- Quality assurance
- State agency personnel policies and procedures
- Job performance enhancement skills (e.g., writing, basic computer skills, time management)
- First aid, CPR, or facility security training
- General supervisory skills or other generic skills needed to perform specific jobs
- Ethics unrelated to the title IV-E State plan
- Team-building and stress management training
- Safe driving
- Worker retention and worker safety
- Providing or preparing to provide training related to these or similar topics
- Participating in or preparing for training sessions related to these or similar topics
- Attendance at professional seminars or workshops related to such topics
- Travel associated with the activities enumerated above.

Code 19: Adoption Program Training

This activity should be used when the worker is engaged in or preparing for training related to the acquisition or enhancement of case management and other skills that support the delivery of services to adoptive and pre-adoptive children.

Allowable training activities include (but are not limited to) the following topics:

- Fair hearings and appeals
- Rate setting

- Referral to services
- Preparation for and participation in judicial determinations
- Placement of the child
- Development of the case plan
- Case reviews
- Case management and supervision
- Recruitment and licensing of foster homes and institutions
- Social work practice, such as family centered practice and social work methods including interviewing and assessment
- Cultural competency related to children and families
- Title IV-E policies and procedures
- Initial in-service training
- Child abuse and neglect issues, such as the impact of child abuse and neglect on a child, and general overviews of the issues involved in child abuse and neglect investigations, if the training is not related to how to conduct an investigation of child abuse and neglect
- Permanency planning including using kinship care as a resource for children involved with the child welfare system
- General substance abuse, domestic violence, and mental health issues related to children and families in the child welfare system, if the training is not related to providing treatment or services
- Effects of separation, grief and loss, child development, and visitation
- Communication skills required to work with children and families
- Activities designed to preserve, strengthen, and reunify the family, if the training is not related to providing treatment or services
- Assessments to determine whether a situation requires a child's removal from the home, if the training is not related directly to conducting a child abuse and neglect investigation. Training on how to conduct specialized assessments such as psychiatric, medical or educational assessments are not permitted
- Ethics training associated with a title IV-E State plan requirement, such as the confidentiality requirements in section 471(a)(8) of the Act

- Contract negotiation, monitoring or voucher processing related to the IV-E program
- Adoption and Foster Care Analysis and Reporting System (AFCARS), Statewide Automated Child Welfare Information System (SACWIS) or other child welfare automated system functionality that is closely related to allowable administrative activities in accordance with 45 CFR 1356.60(d) that the State has chosen to claim as title IV-E training rather than as SACWIS developmental or operational costs (see AT-ACF-OISM-001)
- Independent living and the issues confronting adolescents preparing for independent living consistent with section 477(b)(3)(D) of the Act and the Child Welfare Policy Manual (CWPM), Section 3.1H, Q/A #1
- Negotiation and review of adoption assistance agreements
- Post-placement management of subsidy payments
- A proportionate share of the development and use of adoption exchanges
- Training on referrals to services, not how to perform the service
- Preparation of client risk or needs assessments, home studies, case planning, dispositional reports, behavioral contracts, case reviews, permanency plans, etc.
- Training of prospective or current adoptive parents
- Referral procedures and eligibility requirements for income assistance, substance abuse and mental health services, family or individual counseling, medical or dental care, job training, alternative education, etc.
- Management of resistant behaviors such as passive aggressiveness or acting out (physical aggression, verbal threats, etc.)
- Participating in or preparing for training sessions related to these or similar topics
- Attendance at professional seminars or workshops related to such topics

Travel associated with the activities enumerated above.

Code 20: Adoption Administration Training

This category should be used when the worker is engaged in or preparing for training related to administrative skills that support the delivery of services to adoptive and pre-adoptive children.

Allowable training activities include (but are not limited to) the following topics:

- Word processing, spreadsheet compilation or data entry
- Time-management
- Quality assurance
- State agency personnel policies and procedures
- Job performance enhancement skills (e.g., writing, basic computer skills, time management)
- First aid, CPR, or facility security training
- General supervisory skills or other generic skills needed to perform specific jobs
- Ethics unrelated to the title IV-E State plan
- Team-building and stress management training
- Safe driving
- Worker retention and worker safety
- Providing or preparing to provide training related to these or similar topics
- Participating in or preparing for training sessions related to these or similar topics
- Attendance at professional seminars or workshops related to such topics

Travel associated with the activities enumerated above.

Code 21: Placement Prevention/In Home Services Program Training

This category should be used when the worker is engaged in or preparing for training related to the acquisition or enhancement of case management and other skills that support the delivery of Placement Prevention or In Home Services.

Allowable training activities include (but are not limited to) the following topics:

- Fair hearings and appeals
- Rate setting
- Referral to services
- Preparation for and participation in judicial determinations
- Placement of the child

- Development of the case plan
- Case reviews
- Case management and supervision
- Recruitment and licensing of foster homes and institutions
- Social work practice, such as family centered practice and social work methods including interviewing and assessment
- Cultural competency related to children and families
- Title IV-E policies and procedures
- Initial in-service training
- Child abuse and neglect issues, such as the impact of child abuse and neglect on a child, and general overviews of the issues involved in child abuse and neglect investigations, if the training is not related to how to conduct an investigation of child abuse and neglect
- Permanency planning including using kinship care as a resource for children involved with the child welfare system
- General substance abuse, domestic violence, and mental health issues related to children and families in the child welfare system, if the training is not related to providing treatment or services
- Effects of separation, grief and loss, child development, and visitation
- Communication skills required to work with children and families
- Activities designed to preserve, strengthen, and reunify the family, if the training is not related to providing treatment or services
- Assessments to determine whether a situation requires a child's removal from the home, if the training is not related directly to conducting a child abuse and neglect investigation. Training on how to conduct specialized assessments such as psychiatric, medical or educational assessments are not permitted
- Ethics training associated with a title IV-E State plan requirement, such as the confidentiality requirements in section 471(a)(8) of the Act
- Contract negotiation, monitoring or voucher processing related to the IV-E program

- Adoption and Foster Care Analysis and Reporting System (AFCARS), Statewide Automated Child Welfare Information System (SACWIS) or other child welfare automated system functionality that is closely related to allowable administrative activities in accordance with 45 CFR 1356.60(d) that the State has chosen to claim as title IV-E training rather than as SACWIS developmental or operational costs (see AT-ACF-OISM-001)
- Independent living and the issues confronting adolescents preparing for independent living consistent with section 477(b)(3)(D) of the Act and the Child Welfare Policy Manual (CWPM), Section 3.1H, Q/A #1
- Pre-placement activities directed toward reasonable efforts in 471(a)(15), if the training is not related to providing a service
- Training on referrals to services, not how to perform the service
- Preparation of client risk or needs assessments, home studies, case planning, dispositional reports, behavioral contracts, case reviews, permanency plans, etc.
- Referral procedures and eligibility requirements for income assistance, substance abuse and mental health services, family or individual counseling, medical or dental care, job training, alternative education, etc.
- Management of resistant behaviors such as passive aggressiveness or acting out (physical aggression, verbal threats, etc.)
- Participating in or preparing for training sessions related to these or similar topics
- Attendance at professional seminars or workshops related to such topics

Travel associated with the activities enumerated above.

Code 22: Placement Prevention/In Home Services Administration Training

This category consists of activities where the worker is engaged in or preparing for training related to administrative skills that support the delivery of services to children receiving Placement Prevention or In Home Services.

Allowable training activities include (but are not limited to) the following topics:

- Word processing, spreadsheet compilation or data entry
- Time-management
- Quality assurance
- State agency personnel policies and procedures

- Job performance enhancement skills (e.g., writing, basic computer skills, time management)
- First aid, CPR, or facility security training
- General supervisory skills or other generic skills needed to perform specific jobs
- Ethics unrelated to the title IV-E State plan
- Team-building and stress management training
- Safe driving
- Worker retention and worker safety
- Providing or preparing to provide training related to these or similar topics
- Participating in or preparing for training sessions related to these or similar topics
- Attendance at professional seminars or workshops related to such topics

Travel associated with the activities enumerated above.

Code 23: Medicaid Training

This category should be used when the worker is engaged in or preparing for training related to the Medicaid (Title XIX) program.

Allowable training activities include all topics reasonable and necessary for the proper and efficient operation of the Medicaid program. Such training activities include (but are not limited to) the following topics:

- Eligibility – gathering the information necessary for the determination of eligibility for Medicaid
- Outreach, Information and Referral – preparing and disseminating information on Medicaid, including responding to questions, providing information and making referrals related to the Medicaid program
- Administration – word processing, spreadsheet compilation or data entry; time-management; quality assurance; team-building; providing or preparing to provide training related to these or similar topics; participating in or preparing for training sessions related to these or similar topics; and attendance at professional seminars or workshops related to such topics
- Providing or preparing to provide training related to these or similar topics

- Participating in or preparing for training sessions related to these or similar topics
- Attendance at professional seminars or workshops related to such topics

Travel associated with the activities enumerated above.

Code 24: Child Support Enforcement Training

This category consists of activities where the worker is engaged in or preparing for training related to the Child Support Enforcement (Title IV-D) program.

Allowable training activities include all topics reasonable and necessary for the efficient and effective operation of the Child Support Enforcement program. Such training activities include (but are not limited to) the following topics:

- Referral -- gathering the information necessary for a referral to the State Child Support Enforcement agency relative to parental support for foster children
- Preparing for or Participating in Judicial Proceedings – assembling the information appropriate for the Court to make a determination of the appropriate support to be provided by the parents of foster children
- Outreach, Information and Referral – preparing and disseminating information on Child Support Enforcement, including responding to questions, providing information and making referrals related to the Child Support Enforcement program
- Administration -- word processing, spreadsheet compilation or data entry; time-management; quality assurance; team-building; providing or preparing to provide training related to these or similar topics; participating in or preparing for training sessions related to these or similar topics; and attendance at professional seminars or workshops related to such topics
- Providing or preparing to provide training related to these or similar topics
- Participating in or preparing for training sessions related to these or similar topics
- Attendance at professional seminars or workshops related to such topics

Travel associated with the activities enumerated above.

Code 25: Training that does not Benefit Either Foster Care, Adoption, Placement Prevention/In Home Services, Medicaid or Child Support Enforcement

This category consists of activities where the worker is engaged in or preparing for training unrelated to any of the codes provided above (i.e., Foster Care, Adoption, Placement Prevention/In Home Services; Medicaid, or Child Support Enforcement).

Examples of training topics that are not allowable under these programs include, but are not limited to:

- Training sessions related to law enforcement or juvenile justice that are not related to Child Welfare
- How to address or treat child or family problems or behaviors intended to ameliorate the condition rather than the efficient or effective administration of the Title IV-E, XIX (Medicaid), or IV-D (Child Support) State plans
- Conducting child abuse and neglect investigations because such specialized skills are required for staff activities that occur prior to a child's entering foster care or adoption, and even prior to a child's becoming a candidate for foster care
- Participation in or preparation for conferences, seminars or workshops related to topics such as those enumerated above

Travel associated with the activities enumerated above.

Code 26: Other General and Administrative Activity

This code includes conducting or participating in non-program-specific unit/staff meetings; preparing general scheduling; answering non-program related e-mail and phone calls; copying, filing or other general tasks not related to a specific program; and performing other activities that do not benefit any other program.

Code 27: Leave, Breaks, or Personal Business

This code should be used when the worker is on a break or on any form of paid leave, including paid jury-duty or military leave.

This code should also be used when the worker is being compensated for conducting personal business during business hours.

Code 28: Lunch

This code should be used when the worker is at lunch.

Code 29: Unpaid Leave/Flex-Time/Not Scheduled to Work

This code is used when the worker is on any form of unpaid leave, Flex-Time, or otherwise not scheduled to work at the time of the RMS observation.

Code 30: Invalid

This code should be used when the worker fails to respond, the position is vacant or when the employee's response was incorrectly selected.

Funding Matrix

The following table shows the selectable programs across the top and activities down the left. At the intersection of each row and column is either an 'N/A' if the worker is not allowed to select that specific combination of program and activity, or the funding source for that combination. The list following the table indicates any discounting to be applied to the RMS hits attributed to that combination.

	Activity	CPS Investigations	Placement Prevention & In Home Services	Adoptions	Foster Care	Med. Admin. & Health Related	Training	General
01	Eligibility	N/A	IV-E Foster Care	IV-E Foster Care	IV-E Foster Care	MAA	N/A	N/A
02	Transportation (Medical)	MAA ¹	MAA ¹	MAA ¹	MAA ¹	MAA ¹	N/A	N/A
03	Transportation (Non-Medical)	IV-B/SSBG/State	IV-E Candidate Admin ²	IV-E Adoption Admin ³	IV-E Foster Care Admin ⁴	N/A	N/A	N/A
04	Prep/Participation in Ct. Proceed	IV-B/SSBG/State	IV-E Candidate Admin ²	IV-E Adoption Admin ³	IV-E Foster Care Admin ⁴	MAA ¹	N/A	N/A
05	Prep/Participation in Citizen's Review Board (CRB)	N/A	N/A	IV-E Adoption Admin ³	IV-E Foster Care Admin ⁴	N/A	N/A	N/A
06	Family Centered Meetings	N/A	IV-E Candidate Admin ²	IV-E Adoption Admin ³	IV-E Foster Care Admin ⁴	MAA ¹	N/A	N/A
07	Case Planning	N/A	IV-E Candidate Admin ²	IV-E Adoption Admin ³	IV-E Foster Care Admin ⁴	MAA ¹	N/A	N/A

	Activity	CPS Investigations	Placement Prevention & In Home Services	Adoptions	Foster Care	Med. Admin. & Health Related	Training	General
08	Case Management (Medical)	MAA ¹	MAA ¹	MAA ¹	MAA ¹	MAA ¹	N/A	N/A
09	Case Management (Non-Medical)	IV-B/SSBG/State	IV-E Candidate Admin ²	IV-E Adoption Admin ³	IV-E Foster Care Admin ⁴	N/A	N/A	N/A
10	Child Support	Child Support	Child Support	Child Support	Child Support	MAA	N/A	N/A
11	Recruitment and Licensing	N/A	IV-E Candidate Admin ²	IV-E Adoption Admin ³	IV-E Foster Care Admin ⁴	MAA ¹	N/A	N/A
12	Rate-Setting, Contract Management and Provider Relations (Medical)	N/A	MAA ¹	MAA ¹	MAA ¹	MAA ¹	N/A	N/A
13	Rate-Setting, Contract Management and Provider Relations (Non-Medical)	N/A	IV-E Candidate Admin ²	IV-E Adoption Admin ³	IV-E Foster Care Admin ⁴	N/A	N/A	N/A
14	Treatment or Counseling	N/A	IV-B/SSBG/State	IV-B/SSBG/State	IV-B/SSBG/State	IV-B/SSBG/State	N/A	N/A
15	Investigations	IV-B/SSBG/State	IV-B/SSBG/State	IV-B/SSBG/State	IV-B/SSBG/State	MAA ¹	N/A	N/A
16	Foster Care, Adoption and Placement Prevention/In Home Services Eligibility Training	N/A	N/A	N/A	N/A	N/A	IV-E Foster Care Training (75%)	N/A

	Activity	CPS Investigations	Placement Prevention & In Home Services	Adoptions	Foster Care	Med. Admin. & Health Related	Training	General
17	Foster Care Program Training	N/A	N/A	N/A	N/A	N/A	IV-E Foster Care Training ⁴ (75%)	N/A
18	Foster Care Administration Training	N/A	N/A	N/A	N/A	N/A	IV-E Foster Care Admin ⁴ (50%)	N/A
19	Adoption Program Training	N/A	N/A	N/A	N/A	N/A	IV-E Adoption Training ³ (75%)	N/A
20	Adoption Administration Training	N/A	N/A	N/A	N/A	N/A	IV-E Adoption Admin. ³ (50%)	N/A
21	Placement Prevention /In Home Services Program Training	N/A	N/A	N/A	N/A	N/A	IV-E Foster Care Training ¹ (75%)	N/A
22	Placement Prevention /In Home Services Administration Training	N/A	N/A	N/A	N/A	N/A	IV-E Candidate Admin ² (50%)	N/A
23	Medicaid Training	N/A	N/A	N/A	N/A	N/A	MAA	N/A

	Activity	CPS Investigations	Placement Prevention & In Home Services	Adoptions	Foster Care	Med. Admin. & Health Related	Training	General
24	Child Support Enforcement Training	N/A	N/A	N/A	N/A	N/A	Child Support	N/A
25	Training that Does Not Benefit a Listed Program	N/A	N/A	N/A	N/A	N/A	IV-B/ SSBG/ State	N/A
26	Other Administrative Activity	State	State	State	State	State	State	State
27	Leave, Breaks, or Personal Business	N/A	N/A	N/A	N/A	N/A	N/A	Realloc .
28	Lunch	N/A	N/A	N/A	N/A	N/A	N/A	Exclude
29	Unpaid Leave/Flex-time	N/A	N/A	N/A	N/A	N/A	N/A	Exclude
30	Not Scheduled to Work	N/A	N/A	N/A	N/A	N/A	N/A	Exclude
31	Invalid	N/A	N/A	N/A	N/A	N/A	N/A	Exclude
(1) - Discounted by the MAA Discount Rate.				(2) – Discounted by the Title IV-E Reasonable Candidacy Penetration Rate.				
(3) – Discounted by the Title IV-E Adoption Penetration Rate.				(4)- Discounted by the Title IV-E Foster Care Penetration Rate.				

Response Web Pages

The employee receives an Email at the moment of the sample announcing the sample and requesting the employee to click a link in the Email. Clicking the link brings up a response web page. The employee answers the questions on the web page, clicks a 'Finish' button, and the response is recorded in the online database.

Following are examples of screen shots of the pages the employee sees.

On the first page the employee indicates if they were working on a case, working on a program activity but not related to a specific client, in training or engaged in some other general activity. The choices on the subsequent screens are based on what was selected on this screen.

RmsPLUS Sample Response Entry

Brown, Trina - 1/1/2012 8:00 AM

Work Schedule: None

Phone: 575-624-6071x1146

[Click here to change employee information.](#)

How would you describe the activity you were working on?

Case Specific Case Number:

Non-Case Specific

Not Related to a Program or a Case

Training

On the next page the employee selects a program area they were working on: CPS, Foster Care, Adoptions, etc.:

RmsPLUS Sample Response Entry

Brown, Trina - 1/1/2012 8:00 AM

Work Schedule: None
Phone: 575-624-6071x1146

[Click here to change employee information.](#)

Please select the Service you were working on.

- 10 - Child Protective Services (CPS) Investigations
- 20 - Placement Prevention (In Home Services)
- 30 - Adoptions
- 40 - Foster Care
- 50 - Medicaid/Health Related
- 60 - Training
- 70 - General

On the third page the employee indicates the specific activity they were engaged in:

Work Schedule: None

Phone: 575-624-6071x1146

[Click here to change employee information.](#)

Please select the Activity you were working on.

- 01 - ELIGIBILITY
- 02 - TRANSPORTATION (MEDICAL)
- 03 - TRANSPORTATION (NON-MEDICAL)
- 04 - PREPARATION FOR AND PARTICIPATION IN JUDICIAL PROCEEDINGS
- 05 - PREPARATION FOR AND PARTICIPATION IN THE CITIZEN'S REVIEW BOARD (CRB)
- 06 - FAMILY CENTERED MEETINGS
- 07 - CASE PLANNING
- 08 - CASE MANAGEMENT—(MEDICAL)
- 09 - CASE MANAGEMENT—(NON-MEDICAL)
- 10 - CHILD SUPPORT
- 11 - RECRUITMENT AND LICENSING
- 12 - RATE-SETTING, CONTRACT MANAGEMENT AND PROVIDER RELATIONS (MEDICAL)
- 13 - RATE-SETTING, CONTRACT MANAGEMENT AND PROVIDER RELATIONS (NON-MEDICAL)
- 14 - TREATMENT OR COUNSELING
- 15 - INVESTIGATIONS

The fourth page asks the employee to give a brief description of their activity. We ask that they provide only enough information to convince a reviewer that the proper program and activity were selected.

RmsPLUS Sample Response Entry

Brown, Trina - 1/1/2012 8:00 AM

Work Schedule: None
Phone: 575-624-6071x1146

[Click here to change employee information.](#)

Please enter a brief description of your activity.

Please enter a brief description of your activity:

Documenting case notes in FACTS.

Previous Next Help

The final page presents a summary of the employee's response, and asks the employee to confirm their selection.

RmsPLUS Sample Response Entry

Brown, Trina - 1/1/2012 8:00 AM

Work Schedule: None
Phone: 575-624-6071x1146

[Click here to change employee information.](#)

Please review your response.	
Service:	40 - Foster Care
Activity:	09 - CASE MANAGEMENT—(NON-MEDICAL)
Case Number:	12345 7654321
Activity Description:	Documenting case notes in FACTS.
<input type="button" value="Previous"/> <input type="button" value="Finish"/> <input type="button" value="Help"/>	

G. Personal Time Study*

* Same as Appendix C of Public Assistance Cost Allocation Plan, New Mexico Children, Youth and Families Department

CHILDREN, YOUTH AND FAMILIES DEPARTMENT
TIME STUDY

Employee No: _____

Name: _____

Month/Year: _____

<u>Program Description</u>	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	TOTAL		
CPS Investigations																																	0.0	
In Home Services:																																		
Eligibility																																		0.0
Administration																																		0.0
Training																																		0.0
Adoptions:																																		
Eligibility																																		0.0
Administration																																		0.0
Training																																		0.0
Foster Care:																																		
Eligibility																																		0.0
Administration																																		0.0
Training																																		0.0
Medicaid/Health Related																																		0.0
Child Support Enforcement																																		0.0
Early Childhood Services																																		0.0
Juvenile Justice																																		0.0
Off. of the Cabinet Secretary																																		0.0
Administrative Services																																		0.0
Other (Describe on Reverse)																																		0.0
Non-Allocable																																		0.0
TOTAL	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	

WORKER: I hereby certify that this is a true and accurate report of my time and function performed as shown above.

SUPERVISOR: I hereby certify the employee's daily time records have been examined and that, to the best of my knowledge and belief, this time record is true and correct and the functions were performed as shown above.

Signature Date

Signature Date

Time Study Program Definitions

Child Protective Services (CPS) Investigations: Includes activities related to the assessment of safety for children who are the subjects of reports of alleged abuse or neglect. Investigators collect and assess information to determine whether the incident of child abuse or neglect occurred, whether any child in the home remains at risk for continuing abuse or neglect, and to assess the need for additional protective services. Investigations are conducted for children in the custody of their biological parents, adoptive parents, other relatives or guardians, or who are in PSD custody.

- All activities related to CPS should be charged to this program.

In Home Services: Activities provided without court intervention that are expected to enhance the family's ability to function independently of PS, improve safety for children, create stability within the home, and develop healthy and supportive on-going community relationships. Services are offered as part of reasonable efforts to enable a child or children to remain at home in a safe and stable environment.

- Activities related to eligibility for In Home Services should be charged to this subcategory.
- Activities related to the administration of In Home Services should be charged to this subcategory.
- Activities related to In Home Services training should be charged to this subcategory.⁸

Adoptions: Activities performed by staff on behalf of the child in adoptive placement both before and after adoption finalization as well as on behalf of children who are still in foster care, but for whom the agency is pursuing a permanency plan of adoption. This activity includes writing and reviewing court reports, supporting documents, conducting home studies, supervision, and other activities related to adoptions. Includes referral of services to families in crisis where the child in question has been legally adopted. Also, any activity related to assistance paid to adoptive parents on behalf of a special needs child.

- Activities related to eligibility for Adoptions should be charged to this subcategory.
- Activities related to the administration of Adoptions should be charged to this subcategory.
- Activities related to Adoptions training should be charged to this subcategory.¹

⁸ "Training" includes attendance at or preparation for training, either as a trainer or a trainee. Includes travel, paperwork, computer work and preparatory activities associated with training. Does not include regular supervision sessions.

Foster Care: Includes the arrangement and coordination of services to ensure the safety, permanency and well being of children in regular, relative, specialized, or treatment foster care and children placed in group homes, residential, treatment facilities or independent living placements who are in the custody of the department. The purpose of permanency planning services is to systematically carry out, within a time-limited period, a set of goal directed activities designed to help children live in families that offer continuity of relationships with nurturing parents or caregivers and the opportunity to establish lifetime relationships.

- Activities related to eligibility for Foster Care should be charged to this subcategory.
- Activities related to the administration of Foster Care should be charged to this subcategory.
- Activities related to Foster Care training should be charged to this subcategory.¹

Medicaid/Health Related: Activities performed by staff that assist a child in gaining access to needed medical and mental health services. Includes transportation (medical), case staffing, attendance at meetings and medical/mental health case planning and case management.

- All activities related to Medicaid administration should be charged to this program.

Child Support Enforcement: Activities directed to the establishment or enforcement of the obligation of parents to provide financial or medical support for their children. This category also applies if the employee is working to establish or modify a child support order or to collect child support from parents who may no longer have custody of their children. Examples include assistance to, or collateral or written contacts with, the Child Support Enforcement Division of the Human Services Department, preparing or gathering information requested by the Title IV-E Specialist/Child Support Liaison such as personal information or financial data for child support purposes and information to be used to establish paternity, or activities related to either financial or medical child support.

- All activities related to Child Support Enforcement should be charged to this program.

Early Childhood Services: Activities related to Early Childhood Services, including comprehensive and integrated services to children 0-12 years of age by providing quality child care and nutrition, Pre-K and early childhood development services.

- All activities related to Early Childhood Services should be charged to this program.

Juvenile Justice Services: Activities related to Juvenile Justice Services, including both community-based probation and parole services as well as residential facilities operated by CYFD.

- All activities related to Juvenile Justice Services should be charged to this program.

Office of the Cabinet Secretary: Activities related to Office of the Cabinet Secretary, including the Deputy Cabinet Secretary, Office of General Counsel, Office of the Inspector General, and Chief of Staff.

- All activities related to the Office of the Secretary that cannot be charged to another program should be charged to this program.

Administrative Services: Activities related to Administrative Services, including Financial Management, General Services, Property Management, and Budget Preparation and Revenue.

- All activities related to Administrative Services that cannot be charged to another program should be charged to this program.

Other Administrative Activity: No other program describes the activity being done. Includes non-program specific general and administrative activities related to CYFD as a whole.

- All administrative activities that do not fit any of the programs described above should be charged to this category. ***Please briefly describe this activity on the reverse of the time study sheet and attach additional descriptive information if necessary.***

Non-Allocable: This category should be used for all activities, including paid time off, which cannot be logically placed in one of the other categories. Examples include all paid time during which no work related activity is expected, for example: vacation, paid holidays, sick time, jury duty, and breaks.

- All administrative activities that do not fit any of the above described above (including “Other Administrative Activities”) should be charged to this category.

H. Direct Effort Certification*

* Same as Appendix D of Public Assistance Cost Allocation Plan, New Mexico Children, Youth and Families Department

Children, Youth and Families Department
Direct Effort Certification for Employees

		Agency Code 69000	Date
Name	Employee Id	Department Code	Reporting Code
Budget Period Start Date		Budget Period End Date	
Working Title			
Name of Federal Grant or Program			

Certification

I certify to the best of my knowledge that my costs are directly assessed to the grant/program listed above.

Employee signature: _____

Date: _____

Supervisor signature: _____

Date: _____

I. Listing Of Federal Programs Administered By CYFD*

* Same as Appendix E of Public Assistance Cost Allocation Plan, New Mexico Children, Youth and Families Department

Federal/State Awarding Agency	Federal Grant/Program	CFDA #
United State Department of Agriculture	Child and Adult Care Food Program	10.558
United State Department of Agriculture	Summer Food Services Program	10.559
United States Department of Agriculture	State Administrative Expense	10.560
Department of Health and Human Services	Children's Justice Program	93.643
Department of Health and Human Services	Head Start Collaboration Grant	93.600
Department of Health and Human Services	Child Care Development Funds	93.596
Department of Health and Human Services	Promoting Safe and Stable Families	93.556
Department of Health and Human Services	Caseworker Visits Grant	93.556
Department of Health and Human Services	Child Abuse and Neglect	93.669
Department of Health and Human Services	Community Based Family Resources	93.590
Department of Health and Human Services	Title IV-E Foster Care	93.658
Department of Health and Human Services	Title IV-E Adoptions	93.659
Department of Health and Human Services	Title IV-B CWS Subpart I	93.645
Department of Health and Human Services	Chafee Independent Living	93.674
Department of Health and Human Services	Education and Training Vouchers	93.599
Department of Health and Human Services	Family Violence Prevention	93.671
Department of Health and Human Services	Title XX	93.667
Department of Health and Human Services	Adoption Incentive Payments	93.603
Department of Health and Human Services	Access and Visitation	93.597
Department of Health and Human Services	Families & Organization Collaborating For a United Behavioral Health System	93.104
Department of Health and Human Services	Diligent Recruitment	93.652
Department of Health and Human Services	Early Childhood Advisory Council	93.708
Department of Justice	Juvenile Accountability Block Grant	16.523
Department of Justice	Juvenile Justice Delinquency Programs	16.540
Department of Justice	Enforcing Underage Drinking Laws	16.727
Commission for National and Community Services	Americorps Administrative Grant	94.003

Federal/State Awarding Agency	Federal Grant/Program	CFDA #
Commission for National and Community Services	Americorps Formula & Competitive Grants	94.006
Commission for National and Community Services	Americorps Disability Grant	94.007
Commission for National and Community Services	Americorps Training Grant	94.009
NM Human Services Department	Education and Training Child Care	10.561
NM Human Services Department	Temporary Assistance for Needy Families	93.596
NM Human Services Department	Medical Administrative Activity	
NM Human Services Department	Child Support-IV-D	
NM Public Education Department	National School Lunch Program	10.555
NM Public Education Department	Title I	84.013
NM Public Education Department	Title II	84.013
NM Public Education Department	Special Education Idea B	84.XXX
NM Public Education Department	Carl Perkins	84.XXX

VI. Federal Reimbursement for Skilled Professional Medical Personnel (SPMP)

Section 1903 specifies various federal financial participation rates for expenses necessary for the proper and efficient operation of the Medicaid program. Normally, general administration gets 50% FFP (42 CFR § 433.15(b)(7)) and is usually referred to as a non-enhanced FFP. In Section 1903(2)(A), the FFP rate of 75% is available for expenses of skilled professional medical personnel (SPMP) and their direct clerical supporting staff. This section of the Act is further codified in the Code of Federal Regulation (42 CFR 432.2 and 432.50(b)(1)).

Section 1903(2)(A) and 42 CFR 432.2 and 432.5 specified that 75% FFP is available for the salaries, benefits, training, and travel expenses for SPMP; the SPMP must meet the federal education and training requirements and perform activities requiring specialized medical knowledge and skills. Expenses of supporting (clerical) staff that provide direct support to the SPMP and are directly supervised by the SPMP also get 75% FFP.

Administrative expenses claimed at the enhanced FFP require a well-documented process. For SPMP claiming, the following basic documentation is required (not in order of importance):

1. The SPMP must meet the SPMP qualifications for professional education and training, for example:
 - a. Physicians,
 - b. Registered Nurses,
 - c. Dentists,
 - d. Other specialized medical professionals, like
 - i. Licensed Clinical Psychologists with a Ph.D. in psychology,
 - ii. Licensed Audiologists certified by the American Speech and Hearing Association,
 - iii. Dental Hygienists,
 - iv. Medical Social Workers with a Master's degree in Social Work (MSW) with a specialty in a medical setting, etc.
2. The SPMP must be in a position that requires professional medical knowledge and skills, like
 - a. Job classification,
 - b. Job description,

- c. Medical licensure and certification, etc.
3. The SPMP must perform functions that require professional medical knowledge and skills, for example:
 - a. Liaison on medical aspects of the program with providers of services and other agencies that provide medical care,
 - b. Furnishing expert medical opinions,
 - c. Reviewing complex physicians' billings,
 - d. Participating in medical review, or independent professional review team activities,
 - e. Assessing, through case management activities, the necessity for, and adequacy, of medical care and services, etc.
 4. The administrative support activities must be collected based on either an actual time allocation or an approved time study method. The time study is designed to support FFP claiming in a uniform system that allows staff to enter time working on multiple programs.
 5. The SPMP must meet the employer-employee relationship requirements.
 6. There must be an agreement between the Medicaid agency and other public agencies if the SPMP is not working at the Medicaid agency.
 7. Activities provided by skilled professional medical personnel must be directly related to the administration of the Medicaid program and cannot include direct medical assistance.
 8. SPMP claiming for directly supporting staff must meet the following criteria:
 - a. Directly supporting staff are:
 - b. Secretarial,
 - c. Stenographic,
 - d. Copying personnel,
 - e. File and records clerks.
 - f. Provide clerical functions directly necessary for carrying out the professional medical responsibilities and functions of the SPMP as follow:
 - g. The SPMP is the direct supervisor of the supporting staff and responsible for the work and performance of the supporting staff.

- h. The SPMP is responsible for preparing, conducting, and signing the directly supporting staff's performance appraisal as the immediate first-level supervisor.
 - i. The SPMP and directly supporting staff relationship is reflected on the organization chart.
 - j. Civil service job specifications require clerical skills such as typing, filing, or photocopying.
 - k. Program duty statements reflect clerical functions in direct support of SPMP.
9. Additional considerations when claiming SPMP are:
- a. Activities provided by the SPMP cannot include direct services or extension thereof.
 - b. Expenses cannot be claimed as administration if they are an integral part or extension of a direct medical or remedial service, such as patient follow-up, patient assessment, patient education, counseling, development of the medical portion of an [Individualized Education Plan] or [Individualized Family Service Plan], or other physician extender activities." The Guide further states that: "Payments for allowable administrative activities must not duplicate payments that have been or should have been included and paid as part of a rate for services, part of a capitation rate, or through some other state or Federal program.
 - c. SPMP performed functions that any non-SPMP could also perform as part of their job duties would not get the enhanced FFP rate. Examples of these functions are: (1) reviewed and helped complete medical assessment forms, (2) attended care conferences, and/or (3) provided information about services available in the community.
 - d. Unless specified in Section 1903, 42 CFR or approved by CMS, professional services contract gets 50% FFP.

The Children, Youth and Family Department is claiming SPMP for the following licensing and certification authority personnel:

LCA CLINICAL PERSONNEL:

- 1. Olivia Ridgeway, RN- LCA Program Manager
- 2. Lillian Rainer, LISW- LCA Staff Manager
- 3. Alicia Iverson, LISW- LCA Program Monitor/Santa Fe

4. Steve Mason, RN-- LCA Nurse Compliance Monitor/Santa Fe
5. Jacqueline Romero, LPC- - LCA Program Monitor/Santa Fe
6. JoAnne Muniz, RN- - LCA Nurse Compliance Monitor/Las Cruces
7. Rebecca Majors, - LCA Program Monitor/Range 65 Las Cruces
8. Vacant BH Therapist-#26783/Range 70 Albuquerque
9. Vacant Social Worker, AO-A-#31363/ Range 65 Las Cruces
10. Vacant Soc/Com Sv. Coordinator-A-#28456/Range 70 Las Cruces

LCA Clinician Job Tasks Include the following:

1. **Medicaid Provider Compliance Surveys:** Conduct on-site licensure and certification surveys of Medicaid residential treatment facilities and community-based programs that provide Medicaid behavioral health services to children and adolescents in order to evaluate service quality and determine whether prospective providers have met criteria for initial licensure and certification. Write up detailed regulatory reports as the result of any licensing and/or certification findings identified as the result of on-site surveys. In consultation with the Program Manager propose corrective action plans or more stringent interventions such as sanctions for programs substantially out of compliance with Medicaid Standards of Care and CYFD licensing and certification requirements. Monitor and track Medicaid provider progress on the LCA Program Monitor and Nurse Compliance Monitor's assigned caseload to ensure that all provider corrective action assignments are completed within designated timeframes. Conduct desk audits and write certification reports.
2. **LCA Clinician Communications:** Daily communications with both internal and external stakeholders to maintain positive working relationships with peers, Medicaid providers, clients, and other customers of LCA. Conduct interviews of Medicaid service providers and clients as part of routine surveys and investigations, and provide regular, timely updates on progress and issues related to the surveys and investigations to supervisors and CYFD Management.
3. **LCA Clinician Working of Medicaid client/provider Serious Incident Reports and/or SCI Reports:** Each LCA clinician is assigned a defined set of Medicaid providers to oversee and manage regarding Certification compliance. This includes the regulatory requirement for Medicaid providers to submit serious incident reports (SIRs) and CYFD/Statewide Central Intake (SCI) abuse and neglect allegation reports for children and youth in receipt of their Medicaid services. The LCA clinicians must "work" these SIR and SCI reports to evaluate possible non-compliance by the Medicaid provider regarding factors to the incident that warrant provider corrective action plans.

Additionally, the LCA clinicians must evaluate current, existing factors related to the incident or allegation that could place the client or other clients in further jeopardy.

4. **LCA Clinician SIR and/or SCI Reports LCA Investigations:** Initiate SIR and/or SCI report investigations involving Medicaid providers regulated under LCA's licensing and certification regulations. Complete detailed written reports of survey and investigation findings within designated timeframes. Complete sanction reports, action plans and monitor provider compliance on requirements of the action plans resulting from survey and investigation findings. Regulatory guidance given daily to Medicaid providers. Write investigative Medicaid provider reports as necessary. Compose Medicaid provider sanction reports and requests for action as the result of licensing and certification surveys and investigative findings. Formulate Medicaid provider Corrective Action Plans (CAP) for implementation and attainment of Medicaid provider compliance.
5. **Medicaid Provider Compliance Investigations:** Conduct Medicaid provider investigations as indicated or directed and complete investigative reports within designated timeframes. Provide clinical expertise regarding behavioral health programming and knowledge to the providers as it relates to investigative findings or other relevant Licensing and/or Certification requirements. Work collaboratively with local law enforcement, protective services and any other entity involved in corresponding provider investigations. Report any urgent health and safety and/or quality of care investigative findings to CYFD's Office of the Secretary and OGC to gain Department and legal guidance.
6. **Medicaid Provider Compliance Training and Technical Assistance:** Provide detailed regulatory technical assistance to Medicaid providers on licensing and certification requirements and quality improvement processes. Work with LCA management to assist in the revision of licensing and certification survey and oversight compliance practices to improve on the effectiveness of LCA's regulatory responsibilities. Assist with training new LCA clinical staff on the survey and investigation processes and report writing.

NON-CLINICAN LCA PERSONNEL:

1. Michael Bronson- LCA Prospective Provider liaison
2. Vacant-LCA Licensing Compliance Officer
3. Vacant-LCA Office Clerk/Albuquerque
4. Jeanelle Chavez-LCA Office Administrator/Santa Fe

LCA Prospective Provider Liaison Job Tasks Include the following:

1. Prospective Provider tasks: Perform all required tasks associated as lead prospective provider liaison for the LCA. Job tasks include front-end prospective provider application reviews to evaluate readiness for Initial Certification. Offer prospective providers with overview of the requirements and serve as their primary LCA contact before they obtain Certification status for their Medicaid service. Team with LCA management and the intended LCA liaison once the entire application is ready for the second level reviews by clinical. Collect and develop technical assistance tools to offer prospective providers related to qualifying samples of regulatory-compliant policies and procedures. Determine as to whether prospective providers have met criteria for initial licensure and certification. In consultation with the LCA management propose acceptance or denial of prospective provider applications. Acceptable provider applications will require substantial demonstration of policies, procedures and personnel that reflect compliance with Medicaid Standards of Care and CYFD licensing and certification requirements.
2. Assist as necessary on Medicaid provider licensing and certification surveys statewide with personnel record reviews. Assist Santa Fe LCA office with collection of faxed Medicaid SIRs and electronically sent SCI reports. Read over and bring to the attention of the LCA liaison and/or LCA management of acute SIRs and/or SCI reports, which warrant immediate attention.
3. Act as lead for the LCA ACCESS database, which collects and manages all of the SIRs and SCI reports coming into the LCA for all of the Medicaid providers regulated by LCA. Work with each LCA Program Monitor clinician to generate monthly and/or quarterly trending reports on their Medicaid providers based upon the provider's compliance issues. Work with the other LCA staff who assist with the data entry of the SIRs and SCI reports providing guidance and refinements of their data skills.
4. Facilitate effective communication with all prospective Medicaid providers through written and verbal interactions, as well as working with other team members and CYFD management.
5. Write reports and/or letters as needed associated with prospective Medicaid provider application processing. Develop technical assistance documents to be provided to prospective agencies. Work with LCA Program Monitor clinicians to collect best practices' sample documents (P&Ps, forms, provider training materials) to work as technical assistance tools while working with prospective providers. Develop and refine over time a detailed LCA guideline to provide a standardized approach to working with all prospective providers.

LCA Licensing Compliance Officer Job Tasks Include the following:

1. Licensing Compliance Officer processes serious incident reports for crisis shelters and/or participate in investigations with clinicians as needed. Licensing Compliance Officer is responsible for investigative report writing and notification to Medicaid regarding serious incidents/investigations related to licensing requirements for Medicaid residential treatment facilities. Licensing Compliance Officer is responsible for consulting with supervisor regarding the severity of the incidents and/or need for investigations as well as throughout the

investigative process. Licensing Compliance Officer provides of technical assistance to Medicaid residential treatment providers on regulatory licensing requirements as needed.

2. Licensing Compliance Officer performs statewide licensing surveys of Medicaid residential treatment providers. Licensing surveys require pre-survey preparations by the Licensing Compliance Officer between the Medicaid residential treatment providers, as well as communication with LCA Program Monitor clinical team members. Licensing Compliance Officer has a clear working knowledge of the Licensing Requirements for Child and Adolescent Mental Health Medicaid treatment Facilities. Licensing Compliance Officer is responsible for writing all licensing survey reports of Medicaid residential treatment providers.
3. Licensing Compliance Officer also conducts statewide onsite licensing surveys of all Shelter Care and Community Home facilities for children. Crisis Shelters and Children's Community Homes are non-Medicaid providers. The Licensing Compliance Officer applies the Regulations Governing Residential Shelter Care Facilities for Children for these non-Medicaid provider licensing surveys. Licensing Compliance Officer is responsible for timely preparation and processing of any and all documentation pertaining to licensing of all Shelter Care/Community Home Facilities for Children.
4. Licensing Compliance Officer is responsible for entering Medicaid provider serious incident reports and SCI reports into the LCA Medicaid provider database system that is used tracking pertinent information on all of LCA Medicaid providers.
5. Licensing Compliance Officer remains in contact with the Medicaid and non-Medicaid facilities on any outstanding licensing issues until evidence of all required corrections have been obtained and verified. Licensing Compliance Officer is responsible for consulting with LCA management on any licensing findings, which could impact the health, safety and welfare of children and youth in LCA-regulated facilities.
6. Licensing Compliance Officer assists the LCA clinical team with auditing of Medicaid provider personnel records and Medicaid TFC parent records during onsite surveys for Medicaid providers. Licensing Compliance Officer has a clear working knowledge of the Personnel Certification Requirements for all of the Medicaid Behavioral Health Services regulated by LCA. Licensing Compliance Officer also assists with administrative support to the LCA Program Monitor and management staff as needed.

LCA Office Administrator and Clerk Job Tasks Include the following:

1. Each of the LCA administrative staff assist with the filing of completed Medicaid serious incident and SCI reports. They also file reports accordingly in Alb and Santa Fe Medicaid Provider Filing system.
2. Each of the LCA administrative staff are responsible for pulling throughout the day all Medicaid Provider serious incident reports coming into their office faxes. The LCA administrators attach Medicaid Provider SIR coversheets and date the incident report with the date the fax received.

The LCA administrators screen Medicaid Provider SIR and SCI reports for high priority and notify LCA Program Monitor clinician as to the severity and distribute accordingly to LCA Program Monitor clinician. The LCA administrators also notify LCA Staff Manager and/or LCA Program Manager of all high priority incidents.

3. Each of the LCA administrative staff open each morning all Medicaid Provider SCI reports that have been sent electronically to LCA during the night and weekend. The LCA administrators identify the LCA Program Monitor clinician assigned to the Medicaid Provider involved in the SCI report and send the SCI report to the appropriate LCA clinician to start reviewing and working the abuse/neglect allegation report as indicated.
3. Each of the LCA administrative staff update all Medicaid provider records and make sure all the most current reports/licenses are in the records. The LCA administrators transfer all Medicaid provider serious incident reports and survey packets to the Master Provider files maintained in the LCA/Santa F offices. The LCA administrators assist in the maintaining the system to archive past Medicaid Provider survey sheets and packets. The LCA administrators field and troubleshoot Medicaid provider-related telephone calls in each of their prospective offices for LCA.
4. Each of the LCA administrative staff ensure that needed office supplies for the Abu, Santa Fe and Las Cruces LCA Program Monitor clinicians and management are ordered. The LCA administrators maintain all office equipment and computers for repairs; maintain organization in the supply closet and keep appropriately stocked with supplies and zerox paper. The LCA administrators assist Abu, Santa Fe and Las Cruces staff to obtain any technical support required with their computers or other needed equipment such as mobile phones and printers. The LCA administrators ensure that copies of required paperwork for Medicaid provider surveys are adequately stocked for Abu and Santa Fe LCA Program Monitor clinicians at all times. The LCA administrators ensure that copies of coversheets for Medicaid provider SIRs are adequately stocked. The LCA administrators assist as needed with LCA Program Monitor clinicians and licensing surveyors' travel vouchers and/or process purchase documents for requested approved trainings for unit staff and licensure reimbursement.

VII. Review and Attestation

Review Procedures in the CYFD

The CYFD billing unit is the MAC billing unit of CYFD. This MAC unit conducts reviews of all MAC program claims to assure their accuracy and to determine that appropriate documentation exists to support the claims. This oversight includes, but is not limited to, reviews of documentation to assure that the accuracy, sampling, and completeness of time studies, as well as the documentation necessary to justify that the claimed expenditures comply with state and federal requirements of the program.

The MAC unit will review all claims submitted by the each MAC claiming units. There are three levels of review and monitoring of claims. The MAC unit will review all claims for levels 1 and 2. For level 3 a division designee, usually a bureau chief, will review a sampling of claims.

Level 1 is a technical review in which the mechanics of the claim, such as mathematical computations and presence of all required information are checked. This level of review is conducted on all claims prior to submission to HSD. The mathematical accuracy of 100% of each quarter's claims will be performed before submission to HSD for reimbursement.

Level 2 is a desk review of all claims. The data for any particular claim are compared to past claim data to look for patterns that seem out of the normal range. There are also internal comparisons of activities reported and cost data to identify any combinations of time spent on a given activity and the costs of that activity that seem out of an acceptable range.

Level 2 reviews will include a review of the following potential risk factors:

- Time study results with outliers of percentage of code usage weighted by the following order: 1) Non-Discounted; 2) Discounted; 3) Reallocated
- History of errors or problems;
- Claims with individuals included in the claiming plan that use code XX (Time Not Documented); and
- Number of claiming units

Level 3 is a full field review. At least 10% of the claiming units will be reviewed. Until each division can establish a protocol of review based on historical claims data, each division will perform a full field review of enough claiming entities to cover 50% of the claimed amounts submitted each quarter. The division's initial review will be a minimum

of 5 claims and a maximum of 15 claims. If the initial review uncovers significant and/or systemic problems additional review may be performed.

The number selected for a full field review will also be influenced by the risk factors associated with the:

- Inaccuracies detected during the mathematical accuracy check performed on all claims as identified in Level 1 review.
- Risk factors outlined in Level 2 review.

The MAC unit of each division will perform an initial limited review of the remaining claiming entities based on a random sample to cover 10% of the claimed amounts per quarter, up to the maximum of 25%. If the initial review uncovers significant and/or systemic problems, additional reviews may be performed.

The MAC unit maintains the data used to prepare the claim, which includes the coding sheets or electronic files that document the time study and the expenditure information from each claiming unit. The field monitoring includes review of time study results, Implementation Plan compliance, claiming unit functions, and invoices.

If the field monitoring results in the identification of an invoice overpayment, HSD will require reimbursement from the claiming unit in the amount of the overpayment. Additional steps may be required such as additional training, procedure changes, and internal audits.

The claiming agency (CYFD) will maintain the original time study logs. The claiming agency will maintain the payroll records that document the salary and benefits of all persons designated as performing Medicaid administrative activities. CYFD and its divisions are responsible for maintaining and storing their own documentation and records.

Quality Assurance Activities

The MAC unit must maintain a MAC quality assurance plan as part of the Implementation Plan to ensure accuracy of the data. The responsibilities of the MAC unit for claim development includes, but is not limited to:

1. Establishing guidelines for audit files and archiving claiming plans, signed original time studies, MAC claims, and applicable documentation.
2. Participating with the division in MAC reviews and monitoring.
3. Establishing and operating a quality assurance system for assessing compliance with MAC policies and procedures through desk reviews, onsite reviews, and technical assistance.

4. Excluding from the claim the costs associated with a staff member that did not complete their time study. For example, if a staff member did not fully complete the time study form for the day or cannot produce their time study log, then the associated costs would be labeled as Code XX: Time Not Documented.

Review Procedures Conducted by HSD

HSD has direct monitoring and oversight responsibility of claims submitted by the CYFD MAC unit. The MAC unit has direct monitoring and review responsibility of the claims submitted by its claiming units participating in the MAC.

HSD will verify the mathematical accuracy of all claims submitted by the MAC unit. Quarterly, HSD in its monitoring and oversight capacity will perform a complete review and evaluation of a selected claim submitted by the MAC unit. During the first two quarters of claim submission following CMS approval of the MAC methodology, this complete review and evaluation will include two quarterly claims. These reviews will include a thorough examination of expenditure reporting.

Also, HSD will select one additional claiming entity not previously selected from which to review in detail one claim component from the list below of each division's claim:

- Indirect Cost Rate
- Training
- Payroll
- Invoice/Expenditures
- Time Study
- Revenue
- Third Party Liability

As historic claiming data is collected, HSD will review claims submitted by the MAC unit based on variations between periods and other claiming entities. HSD will gather data to highlight trends and variations between periods. Should HSD discover significant and consistent problems with submitted claims it may request that HSD's auditing entity, Office of Inspector General (OIG) to conduct an audit.

HSD will review the MAC unit's review methodology for adequacy. HSD will select for its own review the results of the MAC unit's review of claims submitted by its claiming units. If the review uncovers significant and/or systemic problems additional review may be performed.

HSD will not process or submit for FFP reimbursement, any MAC claim that has been determined by the HSD to have errors. Such claims will be returned to each MAC unit for review and correction.

Attestation by Division Designees

The MAC unit at the CYFD will review MAC invoices and documents to ensure that submissions to the MAC unit are appropriate and reasonable. In addition, the designee at the division will attest by signature to the accuracy of the claim invoices submitted to HSD. For each claim submitted to HSD, the division designee on behalf of their respective division will attest to the following:

1. I am the designee of the CYFD authorized to submit this claim.
2. This claim only includes expenditures under the Medicaid program under Title XIX of the Social Security Act (the Act), that are allowable in accordance with applicable implementing federal, state, and local statutes, regulations, policies, and the state plan approved by the Secretary and in effect during the period of the claim under Title XIX of the Act for the Medicaid Program.
3. The expenditures included in this claim are based on actual recorded expenditures.
4. The required amount of state and/or local public funds were available and used to match the state's allowable expenditures included in this claim, and such state and/or local public funds were in accordance with all applicable federal requirements for the non-federal share match of expenditures.
5. Federal matching funds are not being claimed to match any expenditure under any Federal program that has not been approved by the Secretary effective for the period of the claim.
6. The information above and in this claim is correct to the best of my knowledge and belief based on reasonably available information. Also, I have notice that this information is to be used for filing a claim with the Federal Government for federal funds, and the knowing misrepresentation constitutes violation of the Federal False Claims Act.