

Senate Resolution 323 of 2010 Report

Study of Statutory Mandates Placed on Counties and Municipalities

Appendix F

Sample Survey of Funding for Mandates Affecting Municipalities

Local Government Commission

General Assembly of the Commonwealth of Pennsylvania
Harrisburg, Pennsylvania

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Sample Survey of Funding for Mandates Affecting Municipalities

(The sample is the survey used for the Department of Aging.)

Senate Resolution 323 of 2010 requires a determination of the amount of funding provided by the federal government or the Commonwealth to implement statutory mandates placed on municipalities, regardless of whether the mandates are voluntary, such as authorizations, or mandatory, such as direct orders. In response to this requirement, the Governor's Office of the Budget, in cooperation with the Local Government Commission (LGC), is distributing a survey to all principal executive branch agencies, departments, commissions, boards, and offices. The purpose of the survey is to ascertain the amount of federal, state, and, if available, local funding budgeted for mandates during Fiscal Year (FY) 2011-2012 that may affect municipalities.

For the purposes of this survey, the following definitions apply:

“Mandate” – Any statutory requirement or constraint imposed by the Commonwealth upon municipalities as a direct order, a condition of aid, an authorization, or a condition of authorization.

“Authorization” – A mandate that constitutes a locally adopted option authorized by the state.

“Condition of Aid” – A mandate action or condition which must be accepted and implemented for eligibility or acceptance of assistance.

“Condition of Authorization” – A mandate that is a direct order resulting from a municipality's acceptance or implementation of an “authorization” mandate.

“Direct Order” – A mandate issued by the Commonwealth, or its agencies or instrumentalities to municipalities with which compliance is required.

“Municipality” – A county, city, borough, town, or township of the Commonwealth.

Please complete the survey and return it as an e-mail attachment to Danielle Guyer of the Office of the Budget by November 30, 2011.

Instructions

Along with these instructions is a Microsoft Excel workbook with two worksheets. The *first worksheet*, entitled “Statutes,” contains the mandates from the LGC mandate database that your agency validated this past summer, *less* any mandates that your agency identified as “repealed,” “no longer actively imposed or applied,” or implemented by another agency. The LGC staff also evaluated each mandate that your agency possibly indicated was not a mandate, and made a decision, based on the broad definition of mandate, whether to retain it or delete it.

Appendix F: Sample Survey of Funding for Mandates Affecting Municipalities

Each of the database mandate serial numbers in the first worksheet has a hyperlink to a corresponding row on a *second worksheet* entitled “Funding.” On the Funding worksheet:

1. Please provide the required information for each of the mandates, to the extent possible, for which your agency is the expending agency under the General Appropriations Act of 2011. Specifically, please provide a breakdown of the funds allocated or provided under the applicable means of financing.
2. If a given funding source applies to more than one mandate *and* it is not possible to break the funding down among the other applicable mandates, indicate the total amount of funding for the first mandate encountered. For subsequent mandates, enter the serial number of the first mandate encountered with an asterisk immediately after it (e.g., 8145*) in the same column.
3. Many mandates, particularly authorizations and obviously unfunded mandates, will not have funding associated with them. If the funding for a mandate is zero (0), unavailable, unknown, or unquantifiable for any other reason, please leave the cell blank.

Note: We realize that an “authorization” is a grant of power to municipalities and most likely does not necessitate a cost for municipalities. Similarly, we recognize that a “condition of authorization” or “condition of aid” may well be associated with an option for municipalities. We will provide explanation for these accordingly in the Senate Resolution 323 report.

4. In the *second last column*, verify the method(s) of imposition for each mandate:
 - Direct Order - DO
 - Condition of Aid - CAD
 - Authorization - A
 - Condition of Authorization - CAT
5. In the *last column*, enter an “X” if there *no cost* or an *insubstantial cost* to a municipality.

“Insubstantial cost” is defined as less than \$500 for any one municipality if the mandate does *not* apply statewide, or less than \$1,000,000 for all municipalities if the mandate does apply statewide.

6. If your agency implements other mandates that affect municipalities, which are not included on the worksheets and necessitate expenditures from municipal revenues, please supplement the worksheets with the necessary information.

Please do not change worksheet format, serial numbers, or order of mandates. If correcting existing content, use bold font.

If you have any questions, please contact Danielle Guyer or Phil Klotz of the LGC.

Thank you for your agency’s cooperation in completing the survey!

