


FY 2011-12 NBPB

Commonwealth of
Pennsylvania

Office of Children,
Youth and Families



NEEDS BASED PLAN AND BUDGET BULLETIN INSTRUCTIONS & APPENDICES

	OFFICE OF CHILDREN, YOUTH AND FAMILIES BULLETIN COMMONWEALTH OF PENNSYLVANIA DEPARTMENT OF PUBLIC WELFARE		
	NUMBER: 3140-10-02	ISSUE DATE: May 18, 2010	EFFECTIVE DATE: July 1, 2010
SUBJECT: Fiscal Year 2011-12 Children, Youth and Families Needs-Based Plan and Fiscal Year 2010-11 Implementation Plan Instructions		BY: Richard J. Gold, Deputy Secretary for Office of Children, Youth and Families	

SCOPE: COUNTY COMMISSIONERS AND EXECUTIVES
COUNTY CHILDREN AND YOUTH ADMINISTRATORS
COUNTY CHILDREN AND YOUTH FISCAL OFFICERS
CHIEF JUVENILE PROBATION OFFICERS

PURPOSE:
The purpose of this bulletin is to transmit instructions for the preparation and submission of the Fiscal Year (FY) 2011-2012 Needs-Based Plan and Budget (NBPB) and the FY 2010-11 Needs-Based Implementation Plan which must be submitted by August 15, 2010.

BACKGROUND:
The following statutes and regulations are the basis for planning and budgeting requirements and processes.

Article VII of the Public Welfare Code, 62 P.S. §§ 701 et. seq., makes child welfare services the joint responsibility of the Department and county government. The Department regulates the services and supervises the county children and youth agencies' administration of the service delivery to families and children either directly or by purchased service contracts.

COMMENTS AND QUESTIONS REGARDING THIS BULLETIN SHOULD BE DIRECTED TO: Regional Children and Youth Directors Central Region – (717) 772-7702 Northeast Region – (570) 963-4376 Southeast Region – (215) 560-2249 Western Region – (412) 565-2339 Origin: Division of Needs-Based Budget – ra-ocynbb@state.pa.us
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Act 30 of 1991, which is part of Article VII, mandates an annual NBPB process.

62 P.S. §709.2 (b) (relating to Review of County Submissions), requires the Department to consider whether the county's plan and budget is reasonable in relation to past costs, projected cost increases, number of children in the county, number of children served, service level trends, and estimates of other sources of revenues.

55 Pa. Code Chapter 3130, "Administration of County Children and Youth Social Service Programs", relates to the responsibilities for children and youth services. The goal of children and youth social services is to ensure for each child a permanent, legally assured family which protects the child from abuse and neglect (§3130.11).

55 Pa. Code Chapter 3140, "Planning and Financial Reimbursement Requirements for County Children and Youth Social Service Programs" relates to the development and submission of the NBPB, and it sets forth the mechanism by which the Department reimburses counties for eligible expenditures incurred by the county for children and youth social services and substitute care.

As stated in 55 Pa. Code §3140.17, the services described in the NBPB must be consistent with program objectives. The NBPB must be reasonable when compared with current and prior trends in the number of children in the county, the number of children served, service levels, and unit costs.

New initiatives and services must be reasonable, and the county must identify cost savings or reduced rates of increase within its major service category or another major service category. The county must identify that the service is less expensive or more effective than the current service available. The cost of the new service or initiative is limited to six (6) months funding during the first year or up to ten (10) months funding based on adequate justification, and the county must show that the cost savings will equal at least the amount of the additional funds requested beyond the six (6) months.

55 Pa. Code §3140.21(c) identifies costs that will not be considered reimbursable through the "Needs Based Budget" process. These expenditures include mental health and mental retardation treatment services, basic education programs, and related cost of the probation office, juvenile court, or county social service (other than the child welfare agency) staff.

55 Pa. Code Chapter 3170, "Allowable Costs and Procedures for County Children and Youth Social Service Programs," defines allowable costs that are reimbursable by the Department. §3170.11(b) states that the Department will participate financially in the payment of expenditures which are necessary and justifiable for program operation and that expenditures made must be reasonable to the extent that they are of the same nature as expenditures which would be made by a prudent buyer in the market place. Expenses which are not included in Chapter 3170 are not eligible for Departmental financial participation.

DISCUSSION:

The Office of Children, Youth and Families (OCYF) continues to enhance the NBPB process in order to provide relevant information and data which ensures that the funds needed to provide mandated child welfare and juvenile justice services are adequately identified, justified, and made available.

Counties must assess their needs prior to the development of their NBPB and request only those funds that meet the objectives identified in Chapter 3130. The Department is not prescribing what is to be included in this assessment but is recognizing that an assessment is a critical component of the overall plan development process. The statutes and regulations for the Department and its county partners require that budget requests be reasonable and justified.

RESPONSIBILITIES AND OBJECTIVES

Agency Responsibilities: 55 Pa. Code §3130.12(c)(1)-(5) lists social services that the county agencies are responsible to administer as follows:

- Services designed to keep children in their own homes, prevent abuse, neglect, and exploitation and help overcome problems that result in dependency and delinquency.
- Temporary substitute placement in foster family homes and residential child care facilities for a child in need of care.
- Services designed to re-unite children and their families when children are in temporary, substitute placement.
- Services to provide a permanent legally assured family for a child in temporary, substitute care who cannot be returned to his or her own home.
- Service and care ordered by the court for children who have been adjudicated dependent or delinquent.

Program Objectives: 55 Pa. Code §3140.16(d)(1)-(5) states that the objectives, service projections and service budgets in the plan and budget estimate, must be consistent with the achievement of objectives for the delivery of children and youth social services which are:

- to protect children from abuse and neglect;
- to increase the use of in-home services for dependent and delinquent children;
- to use community-based residential resources, whenever possible, when placement is necessary;
- to reduce the use of institutional placements for dependent and for delinquent children;
- to reduce the duration of out-of-home placements; and
- to promote adoption of children who cannot be reunified with their family.

Juvenile Justice Services Objectives are to be considered as part of the NBPB development. The objectives which are based on the principles of balanced and restorative justice (BARJ) are:

- Accountability – When a youth commits an offense, the youth incurs an obligation to repair the harm that has been done to the individual crime victim and the community to the greatest extent possible.
- Competency Development – Youth who enter the juvenile justice system must be provided with services designed to enable them to become responsible and productive members of their communities by enhancing their pro-social, moral reasoning, academic, workforce development, and independent living skills.
- Community Safety – The juvenile justice system has a responsibility to protect the community from known juvenile offenders through a wide range of prevention, treatment, supervision, and control options that correspond to the risks and treatments needs presented by individual offenders.

Least Restrictive Services/Settings: When the court transfers custody of a child to a County Children and Youth Agency (CCYA), the agency must locate the least restrictive, most family-like setting that meets the needs of a child. The county agency must first look for relatives and kin to provide care for a child. If appropriate relatives or kin cannot be located, the child may be

placed in a non-relative foster home. Additionally, the Fostering Connections Act requires that a child remain in the same school unless it can be shown not to be in the child's best interests. This decision process must be documented in the case record. Administrative convenience is not a sufficient reason for meeting this standard.

In some instances, the special needs or behavioral health of a child may require a more restrictive setting. Community residential, group home, or therapeutic residential placements are options in such cases. Act 30 provides incentives to serve children and youth in the least restrictive environment. For example, in-home, foster care, group home, shelter care, and day treatment services have a higher state reimbursement rate than institutional and more restrictive levels of care such as a secure facility.

BASIC PLAN/BUDGET

The submission consists of three parts: the Budget Narrative, Budget Forms, and the General Indicator File.

The Instructions detail the required data points and narrative pieces that the county must provide to support its budget request. The Budget Narrative Template, the Indicator Excel file, and the HZA Data Package (HZA package to be distributed to counties by June 15, 2010) are used along with these instructions to complete the analytical and written portion of the NBPB. The Narrative Template provides a standard submission format and page limits to which counties are expected to adhere. The county must submit one integrated Budget Narrative for Children and Youth and Juvenile Probation.

To develop the budget request, counties must follow a sequence of steps. The automated system is designed to allow the plan reviewer to identify specific service needs and associated costs. The NBPB system uses the most recent Act 148 invoice as a base expenditure. If a county's most recent invoice is for a quarter other than the fourth quarter, the system default uses level spending, or 25% per quarter, throughout the year. The system does not make any other expenditure adjustments.

If the county chooses to make any changes to the assumptions and defaults, it must justify these changes in an Expenditure Adjustment request. Instructions to complete this form are in Appendix Two, Expenditure Adjustment Form. Please note that revenue adjustments are not part of the automated system. Adjustments to revenues are submitted by completing the Adjustment to Revenue Form which is a part of the Budget Excel file (as detailed in Appendix Two).

There are six classified categories of Expenditure Adjustments:

- Maintaining Existing Service
- Annualization of Service
- Utilization of Existing Service
- Enhancement of Existing Service
- New Program or Service
- Fixed Assets (not associated with any other Adjustment)

Each adjustment may address only one category type, however, it may include multiple major objects of expenditures and/or cost centers.

PLAN/BUDGET SUBMISSION

The NBPB must include a simple cover page which identifies the county and the three fiscal years covered in the submission. The NBPB must also follow the Budget Narrative Template for all narrative pieces. The template has been included in this package. **Counties are limited to a maximum of 50 pages in the budget narrative, excluding charts, Special Grants Request Forms, and IL Documentation.** All text *must* be in either 11-point Arial or 12-point Times New Roman font, and all margins (bottom, top, left, and right) *must* be 1 inch.

Forms and instructions for completing the submission are provided later in this bulletin. All information and budget data is to be submitted in either the budget narrative or the budget forms.

Electronic Submission:

Counties are required to submit two NBPB packages electronically. The first electronic submission of the completed Narrative, and Indicator Excel file **must be submitted through MOVEit DMZ by August 15, 2010.** The Budget Excel file with support documents that are a part of the automated file **must be submitted through E-Gov thirty days after the completion of your 4th Quarter Act 148 Invoice, but no later the November 1, 2010.** Hard copies of these electronic forms are **not** to be mailed. Instructions for uploading and submitting the automated files are found on the disk distributed to counties.

Any problems or questions about using E-Gov should be directed to the resource account email address: ra-ocynbb@state.pa.us.

The Assurance of Compliance/Review Form provided in this bulletin must be signed by the County Executive or a majority of the County Commissioners, the Juvenile Court Judge(s) or his/her designee, the County Human Services Director, the County Children and Youth Administrator, and the County Chief Juvenile Probation Officer and submitted with the Budget Forms of the FY2011-2012 Needs Based Plan and Budget submission.

The Assurance of Compliance/Review Form has two signatory pages. The first page is for the County Human Services Director, the County Children and Youth Administrator, the County Chief Juvenile Probation Officer and the Juvenile Court Judge(s) or his/her designee. One signed hard copy of this page must be submitted at the time of the county's needs based plan submission. One signed hard copy of the second page which is for the signatures of the County Executive or a majority of the County Commissioners must be sent at the time of the submission of the county's financial budget submission and **MUST CONTAIN THE FINANCIAL COMMITMENT OF THE COUNTY.**

Counties cannot change, modify, or revise the Assurance of Compliance/Participation Form or the submission by the county will be returned by OCYF. Send **signed hard copies** to:

Mr. Cliff Crowe
Office of Children, Youth and Families
Health and Welfare Building Annex
Seventh and Forster Streets
P.O. Box 2675
Harrisburg, Pennsylvania 17105-2675

and

Mr. James Anderson, Executive Director

Juvenile Court Judges' Commission
401 Finance Building
Harrisburg, Pennsylvania 17102-0018

OCYF PLAN REVIEW

The plan will be reviewed by OCYF according to the plan review criteria described in 55 Pa. Code §3140.17. OCYF staff may request verbally or in writing that the CCYA and/or Juvenile Probation Office (JPO) provide additional information to support the county's plan or budget request. The CCYA/JPO must respond within the time frame requested by OCYF, or if no deadline was issued, within a maximum of five working days from the receipt of the staff's request for additional information.

Failure of a county to submit a plan as required by these instructions and by 55 Pa. Code §3140.1, to submit mathematically correct budget forms, respond to a request for additional information within the time period set forth above, or adequately justify its budget request consistent with 55 Pa. Code Chapters 3140 and 3170, may result in the rejection of the county's plan and budget estimate, or a portion thereof, as an allowable reimbursable expense. The county commissioners/county executive, children and youth administrator, and chief juvenile probation officer will be notified by the Department if the county's plan has failed to meet one or more of the requirements in this bulletin. The county commissioners/county executive will be given an opportunity to respond with a plan revision.

Revisions to the NBPB submission during the review process must clearly indicate that a page has been revised including a revision number and a revised submission date.

Through its Regional Offices, OCYF will work with counties to monitor and evaluate both the assessment of needs and the NBPB plan throughout the year. The goal of the process is to create an ongoing dialogue which will ensure consistent plan implementation, timely plan and budget adjustments, and a smooth transition into next year's plan development process.

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Section 1: Executive Summary

The State is continuing to focus on four broad, statewide goals for Children, Youth, and Family agencies for the 2011-2012 budget year:

1. Increase children's safety and safety of the community
2. Safely reduce out-of-home placements
3. Improve permanency and the time that it takes to reach permanency
4. Reduce re-entries to out-of-home placement

With these goals in mind, the 2011-2012 Needs Based Plan and Budget continues to place emphasis on outcomes, and uses outcomes to help counties determine program effectiveness, evaluate current spending distributions, and determine whether resource allocations (both financial and staffing, including vacancies, hiring, turnover, etc.) are appropriate.





The 2011-2012NBPB consists of six pieces:

1. Instructions
2. Budget Narrative Template
3. Budget Excel File
4. Indicator Excel File
5. ACCESS Database
6. Hornby Zeller Associates (HZA) Data Package

Note: Be sure to select "Enable Macros" for all files.

Counties should treat the Narrative Template and Indicator Excel file as complementary. Data from the Indicator Excel file may inform the Narrative Template, and any data issues should be discussed in the narrative. The Narrative Template is designed to create a more uniform format for submitted documents, and follows the same order as the Instructions. Counties should work directly in the Narrative Template. **Counties are limited to a maximum of 50 pages in the budget narrative, excluding charts, Special Grants Request Forms, and IL Documentation.** All text *must* be in either 11-point Arial or 12-point Times New Roman font, and all margins (bottom, top, left, and right) *must* be 1 inch.

The following Instructions consist of 7 sections, each containing subsections and paragraphs detailing the tasks for counties. In addition to the Instructions, there are 8 Appendices. Appendices include instructions for completing the Budget Excel files, special grant applications, and further information on specific sections. Throughout the Instructions there are bullets, which follow the guide to the right.

Guide to bullets:	
	Redirects to an Excel file or the Narrative template; in the Narrative Template, new indicators are highlighted with this mark
	Specific questions for the county to answer
	Misc. list items
	FYI sidebar

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Section 2: NBPB Development

This section requests information about sources the county uses to determine needs and how it expects to implement specific processes to meet state and federal standards.

2-1: Executive Summary

- ❑ Submit an executive summary highlighting the major priorities, challenges, and successes identified by the county since its most recent NBPB submission.

➞ **See the Narrative Template.**

2-2: Determining Needs

2-2a. Collaboration

Collaboration between all parties within the county is essential to developing the service needs of children and families. In developing the NBPB, the county should have a distinct process for all critical parties to work together actively in determining how best to provide services that meet the identified need(s) for children and families in the county.

Describe how the county actively engages with the following entities to identify needs and services:

- County Children and Youth Agency Staff
- Juvenile Probation Staff
- Juvenile Court and Family Court Judges
- Family Members and Youth, especially those who are or who have received services
- Child, Parent, and Family Advocates
- Legal Counsel for Parents and Children
- Mental Health and Mental Retardation service system
- Drug and Alcohol Service System
- Early Intervention System
- Local Education System
- Community Organizations which provide support and services to children and families
- Current Service Providers

This planning process and the integrated children's planning process are functionally related and should be concurrent. In addition, counties must use the Integrated Children Service Planning as the mechanism to accomplish the goals and objectives established in the Joint Position on Mental Health/Juvenile Justice.

➞ For more information on the Joint Position on Mental Health/Juvenile Justice visit: www.modelsforchange.net.

➞ **See the Narrative Template.**

2-2b. Data Collection

Identify the resources used for data collection and analysis, e.g. Adoption and Foster Care Analysis and Reporting.

➞ **See the Narrative Template.**

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2-3: Meeting Mandates

2-3a. PA Rules of Juvenile Court Procedure

The Pennsylvania Supreme Court adopted Rules of Juvenile Court Procedure governing both delinquency and dependency proceedings. The rules are intended to establish uniform practice and procedure and provide for the just determination of every delinquency and dependency proceeding. The areas covered by both the dependency and delinquency rules include:

- Records
- Commencement of proceedings
- Pre-adjudicatory procedures
- Adjudicatory hearing
- Dispositional hearing
- Post Dispositional procedures

➤ See *Meeting Mandates* in the Narrative Template.

2-3b. Truancy (dependency programs)

CCYAs must accept for assessment and evaluation all referrals on habitually truant children and provide intervention services to those children and families in appropriate cases. The Juvenile Act (42, Pa C.S., Chapter 63) defines one of the criteria of a dependent child as a child who, while subject to compulsory school attendance, is habitually and without justification truant from school. Section 6373 (relating to general protective services responsibilities of county agency) of the Child Protective Services Law (23 Pa C.S., Chapter 63) requires that each county agency be responsible for administering a program of general protective services to children consistent with the agency's objectives to overcome problems that result in dependency, and truancy is a dependency issue. Placement, by the children and youth agency, of a child solely due to truancy issues is not an appropriate disposition without exhausting all other appropriate interventions by both the child welfare and educational systems, including but not limited to proceeding according to all Basic Education Circulars (BEC) issued by the Pennsylvania Department of Education and the Truancy Toolkit developed by the Education Law Center.

➤ Numerous Commonwealth agencies and stakeholders collaborated to create the Truancy Toolkit, available online at: www.patruancytoolkit.info

This toolkit was developed to assist the multiple agencies who work with children in addressing and overcoming issues related to truancy.

➤ See *Meeting Mandates* in the Narrative Template.

2-3c. Quality Assurance (QA) Process for Title IV-E Claiming

Counties are required to ensure that their claim for Federal Title IV-E funding is accurate. Specifically, counties must ensure that there is auditable documentation to support the expenses, and the resultant claim made for Title IV-E funds is correct. Any Administration for Children and Families (ACF) disallowance incurred as a result of county noncompliance with either Title IV-E placement maintenance or Title IV-E administrative claim requirements will be the responsibility of the county. Act 148 funds may be used only to pay for the state share of eligible services for which the Title IV-E payment was disallowed.

➤ See *Meeting Mandates* in the Narrative Template.

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2-3d. Fostering Connections to Success and Increasing Adoptions Act of 2008

This piece of federal legislation provides significant opportunities for states and creates important mandates that will require changes in state law and practice. Among other things, the Act:

- Requires that a plan for educational stability is made for the child, which may include coordination so that the youth can remain in the school attended by the youth upon placement, or immediate enrollment and record transfer in the local school;
- Provides states the option to provide kinship guardianship assistance payments to certain children and related provisions;
- Provides eligibility of IL services, Education and Training Grant (ETG), and Medical Assistance (MA) for youth who enter kinship guardianship arrangements or adoption at age 16 or older;
- Requires that a transition plan be created with the youth and presented to the court at least 90 days before the youth is discharged from the child welfare system; and
- Increases incentives to \$8,000 for older youth adoptions;
- Provides states the option to extend Title IV-E Foster care, Adoption and Guardianship up to age 21 (Pennsylvania is not expecting to proceed with this option at this time.).

Pennsylvania (PA) already had a State-funded kinship guardianship assistance program, called Subsidized Permanent Legal Custodianship (SPLC), in place at the time Fostering Connections was passed. In order to take advantage of federal funds, now available for eligible custodianships through Fostering Connections, OCYF needed to revise and resubmit its Title IV-E Plan to ACF, and did so by March 31, 2009. It was accepted, making it effective April 1, 2009, allowing PA to add a federally supported tier to its own SPLC program. On 1/4/10, OCYF was invited by ACF to revise and resubmit PA's IV-E plan to include an expanded definition of 'relative' that will encompass categories of caregivers currently defined in Pennsylvania policy as 'kin', and allowing PA's access to federal funds for a wider population of SPLC caregivers. The resubmission will also include revisions allowed by ACF's reinterpretation of its original guidance that federal funds would apply to new SPLC situations *only*; ACF alerted OCYF on 1/12/10, that ACF has now revised this position to include eligible existing SPLC agreements.

To assist counties in complying with the transition plan requirement of Fostering Connections, OCYF, in conjunction with IL staff from the CWTP, has worked on developing a comprehensive Transition Plan template to be used with youth within the 90 days prior to discharge at age 18 or older. The plan, nearing completion, covers each of the areas required by Fostering Connections in great detail, as well as multiple areas not required by the law.

Additionally, one of the major focuses of Fostering Connections relates to educational stability of children and youth. OCYF is revising the Educational Stability Bulletin to include provisions consistent with these federal requirements. This will include requirements for completion of an educational screen that places emphasis on identification of educational needs of children served by the child welfare system and ensuring that services are provided consistent with identified needs. Counties will be required to integrate completion of these screens beginning with the 2011 school year. Counties will be given one full year to implement these screens. While lack of completion of the screen will be noted on the licensing inspection summary, no action will be taken regarding the agency's licensing status until the outset of the 2012 school year.

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Lastly, OCYF released a Special Transmittal on January 12, 2010, entitled “Fostering Connections to Success and Increasing Adoptions Act of 2008: Adoption Program Requirements”. The transmittal focused on the requirements of the Act with direct impact on adoption, and provided agencies with model forms to use for eligibility determination and tax credit awareness.

➤ **See *Meeting Mandates in the Narrative Template.***

2-3e. Safety Assessment

The Adoption and Safe Families Act (ASFA) was signed and became federal law on November 19, 1997. This law is tied to federal Title IV-B and Title IV-E funding, building on and amending the Adoption Assistance and Child Welfare Act of 1980. ASFA refocuses requirements to the issues of child safety, permanence, and well-being. In addition to ASFA, the Administration for Children and Families has focused greater attention toward improving outcomes for children and families involved with the child welfare system by developing specific outcome measures and indicators. Through the Child and Family Services Review progress toward improving outcomes is assessed, evaluated, and monitored. Specifically, there are two outcome measures that address child safety:

1. Children are, first and foremost, protected from abuse and neglect; and
2. Children are safely maintained in their homes whenever possible and appropriate.

Since ASFA went into effect, the Commonwealth of Pennsylvania has worked toward prioritizing the tenets set forth by ASFA with safety maintaining its paramount status. When Pennsylvania participated in the Federal Child and Family Services Review in 2002, safety was determined to be an area that would benefit from further study and improvement. As a result, the Risk Assessment Task Force reconvened and formed a sub-committee dedicated to conducting a local and national review of safety assessment instruments.

More recently, the Department of Public Welfare (the Department) requested technical assistance from the National Resource Center on Child Protective Services (NRCCPS) in further refining Pennsylvania’s safety assessment process. As a result of this technical assistance, the NRCCPS provided the Department with recommendations that would enhance the safety assessment and management process. Additional literature, which was developed by Action for Child Protection, Inc. was reviewed, incorporated, and led to the development of the process and tool that follows.

The purpose of a safety assessment and management process is to assure that each child in a family is protected. The primary purpose of this process is to enable caregivers to provide protection to the children for whom they are responsible.

As part of the Commonwealth’s efforts to develop local expertise and accountability in child welfare practice, counties were required to select County Safety Leads (CLS) who would be responsible for training their fellow staff in the Safety Assessment and Management Process. Counties were also required to develop Training and Implementation Plans which were to outline their plan for training staff and implementation of the model. These plans were also to identify technical assistance needs which would be provided by their respective OCYF Regional Office and the CWTP.

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Recognizing that the safety assessment and management process would consider different elements for out of home cases, a workgroup was convened in early 2009 to develop a safety assessment tool and training curriculum to be used for children placed in formal resource family homes, whether kin or non-kin, and also for children placed in informal kinship care. The workgroup is comprised of staff from OCYF, CWTP, county agencies and private providers. The workgroup received consultative services from the National Resource Center for Child Protective Services, Action for Child Protection, Inc.

As a result, the training curriculum regarding the safety assessment and management process for out of home care was piloted in February and March 2010. Additionally, 9 counties and provider representatives tested the effectiveness of the process to aide in clarification of policy and practice guidelines prior to statewide roll-out. Training for the innovation zones occurred in April 2010 with the safety assessment and management process for out of home care being piloted between May and June 2010.

Following the efforts of the innovation zone counties, focus will shift to preparing and training the CSLs. CSLs will be trained by CWTP beginning in October of 2010 with the support of OCYF and the out of home care committee. CSLs will then be responsible to train all direct service professionals in their respective counties. The expectation is that CSL begin training county staff in February of 2011. Training of all direct service staff is to be completed by July 1, 2011 at which time full scale implementation will begin. Counties will be given one full year to integrate this process into practice. This implementation model works to build local expertise. Consistent with past practice, areas of non-compliance will be noted on the Licensing Inspection Summary, but will not have an impact on the county's licensing status until July 1, 2012.

Additionally, research and evaluation will be conducted on both the in home and the out of home safety assessment and management process to evaluate the quality, effectiveness and eventually the outcomes of the process in supporting child welfare professionals in making quality safety decision and plans for children served. The research and evaluation will also be used to evaluate whether risk assessment and safety assessment processes can be combined into one seamless process to better support child welfare professionals.

➤ **See *Meeting Mandates* in the Narrative Template.**

2-3f. Children and Family Services Improvement Act of 2006

This Act revises the purposes of the Title IV-B program to: protect and promote the welfare of all children; prevent the neglect, abuse or exploitation of children; support at-risk families through services that allow children to remain with their families or return to their families in a timely manner; promote the safety, permanence and well-being of children in foster care and adoptive families; and provide training, professional development and support to ensure a well-qualified workforce. Specifically:

- The number of caseworker visits with children in foster care must be tracked, and the percentage of children visited by caseworkers on a monthly basis within their placement setting must also be tracked. These visits are to be centered around meeting the needs of the child(ren) and family.

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The Act requires that by October 1, 2011 states must ensure that 90% of children in foster care are visited by their caseworkers monthly and that the majority of these visits occur in the child's residence. In order to reach this target, each State was required to develop a Program Improvement Plan (PIP) to outline the steps that would be taken to reach 90% and establish improvement percentages each FFY. As you are aware, Pennsylvania did not initially meet the target percentage established for FFY 2008 (76%) and requested approval to resubmit data based on concerns raised by county agencies that visits were occurring with their children, but may not have been included in the tracking submission. Pennsylvania was given approval to resubmit the data and upon resubmission reached 81%. Pennsylvania has diligently worked with county children and youth agencies and private providers to ensure their understanding regarding the visitation requirements. This work has resulted in Pennsylvania increasing the visitation percentage for FFY 2009 to 92%.

In order to continue improving this percentage OCYF will be requiring counties to submit their visitation data two times a year which will be verified by the OCYF Regional Offices. Counties should continue to refer to OCYF Bulletin Number 3490-08-05 entitled "Frequency and Tracking of Caseworker Visits to Children in Federally Defined Foster Care" to assure they are implementing and tracking their visits appropriately, particularly as it relates to qualifying caseworkers. Counties must identify any policy or practice changes or resources necessary to achieve the 90% threshold.

The Administration for Children and Families (ACF) allocated states IV-B funds as part of this legislation which was to be used to increase caseworker recruitment, retention, training and access to technology. As a result, Pennsylvania chose to utilize the funds to conduct a mobile technology pilot which includes an evaluation component. The Pennsylvania Child Welfare Training Program (CWTP) will be conducting pre- and post-research to determine the impact the use of technology has on improving quality visitation with children in out of home care, as well as whether the use of technology impacts caseworker practice related to engagement, job satisfaction and professionalism. Counties were chosen through a random sampling methodology, to be "intervention" counties, while the remaining counties will be "control" counties. Approximately 43% of the casework staff in the intervention counties, whose caseload consists of children placed in out of home care, will be provided tablet mobile technology to be used in their work.

➤ **See *Meeting Mandates* in the Narrative Template.**

2-3g. Developmental Evaluation and Early Intervention Referral

Under the Federal Child Abuse Prevention and Treatment Act and subsequent amendments to the Child Protective Services Law, children under age three and living in Pennsylvania, who have been subjects of substantiated reports of child abuse/neglect that occurred in Pennsylvania, must be evaluated for possible developmental delays and referred for early intervention services, if any delays are determined. In addition to children who meet that criteria, DPW recommends that all children under age five, who are accepted for service by the child welfare system, be evaluated for possible developmental delays, and referred for early intervention services, if any delays are determined.

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The University of Pittsburgh, School of Social Work was funded by the Pennsylvania Department of Public Welfare (DPW), OCYF, to conduct a three-phase study of the ASQ screening initiative.

Objectives of the evaluation are to:

- document the number of children statewide who are screened;
- document the results of screening, including the number of children who screen positive, their area(s) of delay or concern, and their demographic characteristics;
- describe screening policies and practice across the State;
- view the extent to which screening is administered in a manner that engages families; and
- examine the extent to which screening is related to families' access to early intervention, pre-school special education, and mental health services.

Phase I of the study was completed June through September 2009, and addresses the policies and procedures that county child welfare (CW) and early intervention (EI) agencies have put into place to implement the screening. Phases II and III of the study will view children's screening results, referral to services, and caregivers' experiences. These phases will be conducted March through December 2010. Counties are required to input necessary data to support completion of this evaluation.

➔ **See *Meeting Mandates in the Narrative Template.***

2-3h. CFSR Outcomes and Continuous Quality Improvement

Pennsylvania participated in the second round of the Child and Family Services Review (CFSR) with the on-site review, which occurred July 28 - August 1, 2008. Overall findings from the round two CFSR indicate the following areas needing improvement:

- Youth and family engagement throughout the life of the case (including engagement of non-custodial parent);
- Timely permanency (including implementation of concurrent planning);
- Assessments should identify underlying issues;
- Transition planning and preparing youth for adulthood; and
- Enhancing the quality of practice.

OCYF convened the Program Improvement Plan Workgroup to identify strategies to be implemented statewide to improve outcomes for children and families. The Program Improvement Plan was submitted to the Administration for Children and Families outlining the steps that will be taken to improve upon the areas mentioned above. Counties must assess their performance in these areas to determine if these areas need improvement within their county. Counties must describe efforts that have previously been initiated which they believe have had a positive impact on these areas, as well as any new initiatives to improve in these areas.

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Additional details concerning CFSR Outcomes and Continuous Quality Improvement are outlined in Appendix 5.

➔ See **Meeting Mandates in the Narrative Template.**

2-3i. Shared Case Responsibility:

On May 7,, 2010, OCYF issued a bulletin entitled “Shared Case Responsibility Policy and Procedures”, the purpose of which is to provide a framework for the County Children and Youth Agencies (CCYA) and Juvenile Probation Offices (JPO) to work to support the practice of Shared Case Responsibility (SCR), formerly referred to as Shared Case Management. This practice refers to the sharing of the responsibility for care of and services to youth who are under the direct supervision of either CCYA or JPO, or both concurrently, and the families of these youth. The intent is to emphasize issues related to the delivery of services provided to this target population, as well as to clarify accountability in claiming federal funds and data entry in the Adoption and Foster Care Analysis Reporting System (AFCARS).

Collaborative efforts between CCYA and JPO to meet the multiple service needs of this population of shared cases have been ongoing. This Bulletin reiterates and reinforces those efforts. By working closely together to meet not only the full spectrum of the needs of youth and families, but also the full continuum of case transitions, CCYA and JPO should be able to deliver better outcomes in terms of family integrity and durable gains for the youth.

CCYA and JPO must take responsibility to work together and develop a county level implementation plan as it relates to the requirements of this bulletin. In an effort to assist in this process, OCYF will offer technical assistance to counties through regional meetings, webinars or conference calls, starting in the Summer 2010. However, prior to setting up that structure, we are requesting that CYA and JPO, through individual county, multiple county or regional meetings, come together to form preliminary plans for building collaboration, and identify their unique technical assistance needs for strengthening their capacity for collaborative partnering. Within 60 days of the bulletin issuance date, counties must submit their preliminary plans to their respective OCYF regional office. OCYF will then review them in order to insure the provision of more targeted assistance. To aid in that endeavor, we are attaching an outline of elements to consider as you prepare for the interface with OCYF.

The effective date of this bulletin is October 1, 2010 in order to coincide with the Federal Fiscal Year (FFY), as well as the Adoption and Foster Care Analysis Reporting System (AFCARS) report period, as these processes will create a slight change to the AFCARS reporting process. Counties will have one full year to come into compliance with the bulletin requirements. During this one year period, the OCYF Regional Offices will cite counties during their annual licensing inspections for deficiencies related to the SCR process and these areas will be noted on the Licensing Inspection Summary, but will not impact license status. Through these notations, OCYF Regional Offices will be able to provide technical assistance to counties in order to assure a more thorough understanding and implementation of the SCR process.

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2-3j. The Child Abuse Prevention and Treatment Act (CAPTA) – Guardian Ad Litem training.

The Child Abuse Prevention and Treatment Act (CAPTA) is a federal law under which qualifying states can obtain grants for a variety of training programs and for the prevention, treatment, and investigation of child abuse and neglect. Some of the changes Pennsylvania adopted to become compliant required amendments to the Child Protective Services Law (CPSL) and the Adoption Act. Other changes only required administrative implementation for which no legislation was needed. One of the final areas being addressed related to compliance with CAPTA is the requirement that in every case involving an abused or neglected child which results in a judicial proceeding that a Guardian Ad Litem (GAL) appointed to represent the child has received pre-service training appropriate to their role prior to appointment.

The Office of Children, Youth and Families (OCYF) has worked closely with the Administrative Office of Pennsylvania Courts (AOPC) to develop a training plan focused on enhancing legal representation for children and youth. The Legal Representation Workgroup, comprised of key stakeholders from across the Commonwealth, has been meeting monthly to develop training recommendations and resulting curriculum for new GALs.

OCYF will be using the current Permanency Practice Initiative (PPI) structure as the basis for initial training implementation. New GALs, prior to being appointed to represent children, in the PPI counties will be required to attend pre-service training beginning in the summer of 2010. New GALs, prior to being appointed to represent children, in the remaining 40 counties will be required to attend pre-service training beginning in January 2011. Following the initial rounds of training, any newly selected GALs must attend the pre-service training referenced above prior to being appointed to represent a child.

Beginning in SFY 2011-2012, all counties must ensure that newly appointed GALs receive pre-service training prior to representing children. Counties may include mileage and lodging expenses for the cost of the GAL to attend the pre-service training within the Juvenile Act Proceedings Cost Center. DPW will not participate in the cost to reimburse GALs who have not received appropriate training. Counties will be required to maintain appropriate documentation of the GALs completion of the pre-service training and to submit this documentation to OCYF annually, utilizing the Guardians Ad Litem Worksheet, at the same time the fourth quarter invoice is submitted. The Guardians Ad Litem Worksheet must be submitted to OCYF via the following resource account – ra-ocyfgal@state.pa.us.

Additionally, the Legal Representation Workgroup is to develop a core training that will be available to all GALs. Counties are strongly encouraged to plan for participation for both existing and new GALs to attend the core training. Attendance at the core training would meet the pre-service requirement for new GALs, as long as attendance occurred prior to being appointed to represent a child. Counties may include mileage and lodging expenses for the cost of the GAL to attend the core training within the Juvenile Act Proceeding Cost Center.

2.3k. Chafee Foster Care Independence Program (CFCIP) - National Youth in Transition Database (NYTD)

The Foster Care Independence Act of 1999 (Pub. L. 106–169), established the John H. Chafee Foster Care Independence Program (CFCIP) at section 477 of the Social Security Act (the Act). The Act required the Administration for Children and Families (ACF) to develop and implement

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a data collection system that reports on the number and characteristics of children receiving services under section 477 of the Act and the type of services States provide. The Act also requires the development of outcome measures and the requisite data elements to track States' performance on the outcome measures. In order to comply with the above Act, ACF published the National Youth in Transition Database (NYTD) Final Rule in the Federal Register on February 26, 2008. Pursuant to the regulation, States will engage in two separate, but related data collection and reporting activities:

1. **Collecting information on youth and the independent living services** they receive that are paid for or provided by the State agencies that administer the Chafee Foster Care Independence Program (CFCIP); and
2. **Collecting outcomes information** on youth who are in or who age out of foster care.

States will be required to begin collecting data on October 1, 2010 and must transmit the first report period data no later than May 15, 2011. The law requires that ACF impose a penalty in an amount that ranges from one to five percent of the State's annual allotment on any State that fails to comply with the reporting requirements.

The NYTD data is divided into three reporting populations, each with its own reporting requirements:

1. **Served population** includes all youth who receive an independent living service paid for or provided by the State agency during a six-month report period;
2. **Baseline population** consists of all youth in foster care who reach their 17th birthday, regardless of whether the youth receives any services, in Federal Fiscal Year (FFY) 2011 (and every third fiscal year following FFY 2011); and
3. **Follow-up populations** are subgroups of the baseline population and include youth who turn 19 or 21 years old after participating in the State's outcomes data collection as part of the baseline population at age 17.

Pennsylvania has planned a phased-in approach to the implementation of the federal NYTD requirements. OCYF will begin collecting the outcomes information on October 1, 2010 for the baseline population using a web based statewide survey tool accessible to counties and youth.

NATIONAL YOUTH IN TRANSITION DATABASE REPORTING

Beginning October 1, 2010, OCYF will comply with NYTD requirements to collect and report information for all youth in agency care who are between age 17 and 17 and 45 days, within that time frame (baseline population) regardless of their receipt of IL services. OCYF will not collect NYTD information on IL services provided for any youth in agency care (served population) until a later date. Specific guidance will be distributed by OCYF prior to October 1, 2010 to provide detailed instructions regarding the following agency responsibilities:

- identification of youth expected to turn age 17;
- enrollment of youth via an internet-based process;
- minimal data input; and
- informing youth of their login information and instructions, and monitor their online submission.

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Costs associated with NYTD reporting should be reported as an administrative cost of federal Chafee Foster Care Independence Program (CFCIP) funds. OCYF anticipates minimal financial impact as this can be implemented with existing staff resources. Upon full implementation of NYTD reporting compliance, OCYF anticipates the discontinuance of the PILOTS data collection and submission.

➤ **See *Meeting Mandates in the Narrative Template.***

2.3l. Emergency and Disaster Planning

On October 9, 2009, the Office of Children, Youth and Family (OCYF) issued guidance to county and private children and youth agencies, and child residential and day treatment facilities, regarding the federal requirements for disaster response plans under the Child and Family Services Improvement Act of 2006 (Public Law 109-288), and also mandated the submission of updated disaster response plans to the appropriate OCYF regional office. The

Child and Family Services Improvement Act requires that agencies and programs funded by Titles IV-B and IV-E have a disaster response plan.

Agencies that are revising existing emergency or disaster response plans or developing emergency or disaster response plans must be certain that these plans are coordinated with County Emergency Management or other appropriate local planning authorities, and are updated to address the five federal requirements listed below:

- (A) Identify, locate, and assure continuity of services for children receiving services in their own home, under State care or supervision in child residential and day treatment facilities and resource family homes - who are displaced or adversely affected by a disaster or outbreak of disease;
- (B) Respond, as appropriate, to new child welfare cases in areas adversely affected by a disaster or other emergency situations, and provide services in those cases;
- (C) Remain in communication with caseworkers and other essential child welfare personnel who are temporarily displaced or debilitated because of a disaster or other emergency situation;
- (D) Preserve essential program records; and
- (E) Coordinate services and share information with other agencies, programs, and/or States.

Agencies having contracts for services with other agencies whose programs are funded by Titles IV-B and IV-E must be certain that these contracted agencies also have a disaster response plan. OCYF will issue additional guidance on disaster planning.

2.3m. Time-Limited Family Reunification (TLFR)

The TLFR grant initiative is funded by Federal Title IV-B sub-part 2 and must be used strictly for services and activities in the category identified as Time-Limited Family Reunification. These funds are used to support services and activities that are provided to a child who is removed from the child's home and placed in a foster family home or a child care institution, and to the parents or primary caregiver of such a child, in order to facilitate the reunification of the child

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safely and appropriately within a timely fashion. These funds may only be used to promote the reunification of a child during the 15-month period that begins on the date that the child is considered to have entered foster care.

The services and activities are the following:

- Individual, group and family counseling;
- Inpatient, residential or outpatient substance abuse treatment services;
- Mental health services;
- Assistance to address domestic violence;
- Services designed to provide temporary child care and therapeutic services for families, including crisis nurseries; and
- Transportation to or from any of the services and activities described above.

TLFR funding is meant to enhance/expand services for this population. Wherever possible other funds should be used to provide services for TLFR recipients.

CCYAs currently receiving Federal IV-B funds for the Time-Limited Family Reunification (TLFR) Grant, ending June 30, 2011, should request state funds through this submission to continue providing TLFR services as needed. For the new TLFR grant period, July 1, 2011 to June 30, 2014, priority will be given to new counties who have not previously received these funds. In the event that a county is awarded TLFR funds for FY 2011-12 AND has requested funds through this submission, an adjustment of state funds may occur.

- For TLFR Needs Based Funds, the match will be 80% state, 20% local.

➡ **See *Meeting Mandates* in the Narrative Template.**

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Section 3: General Indicators

This section asks counties to look at economic and demographic indicators which may affect counties' needs and budgets. It also asks counties to consider and list general service and need trends.

Changes from Previous Bulletins: To assist counties with the trend analysis in 3-2, the TREND DATA tab from the Budget Excel file has been renamed as *General Indicator* tab and moved to the Indicator Excel file. The format of the data input has changed, and all counties are asked to account for an additional 2 years of data.

Counties are responsible for populating **purple** cells. **Enter data into purple cells only.** (**NOTE:** Microsoft Excel 2007 users should populate the **blue** cells only.)

As the counties enter data on the *General Indicator* sheet, charts for each indicator will automatically generate on the *GI Charts* tab. Counties are encouraged to look at these charts for any significant trends or changes. As discussed below, counties are required to provide reasons for changes above/below a threshold determined by the Commonwealth.

In the Narrative Template, there are placeholders for counties to insert general indicator charts. To automatically paste the chart(s):

1. In the *GI Charts* tab of the Indicator Excel file, **click once** the "Copy Chart" button for the appropriate chart.
2. Go to the Narrative Template Word document and **click once** the appropriate placeholder.

This will automatically paste the chart as a picture into the narrative template. *If changes are made to data after this insertion, counties will need to repeat the copy and paste process to update the Narrative Template.*

*Additional instructions can be found in the *Tips* tab of the Indicator Excel file.

3-1: County Information/Background

- ❑ Describe the population and poverty population trends for the county, noting any increases or decreases. Discuss the impacts the county expects these changes to have on needs and services. Consider whether resource allocations (both financial and staffing, including vacancies, hiring, turnover, etc.) are appropriate to address these impacts. Please include the data source.
- ❑ Identify issues that surfaced through the annual licensing inspection and/or the Quality Services Review (QSR). Discuss any necessary changes to county services. Consider whether resource allocations (both financial and staffing, including vacancies, hiring, turnover, etc.) are appropriate to address these changes. Please discuss progress on any action items that resulted from the most recent QSR.
- ❑ Describe any other changes that have occurred in the county since submittal of the previous NBPB that affect child welfare service needs. Discuss the impacts the county expects these changes to have on needs and services, including funding impact. Please include the data source.

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3-2: General Indicators

Counties must examine trends in the county that may affect the county's service needs.

Very small counties may find it difficult to establish or rely on past short-term trends to project future requirements accurately. Small numbers may be statistically insignificant when attempting to establish a reliable trend. Small counties must describe any statistical aberrations that must be considered due to their size when discussing various trends.

At a minimum, please discuss the following demographics, data, and program items. In the Indicator Excel file, **all counties must enter the FY 2005/06-2009/10 actual data and FYs 2010/11 and 2011/12 projections.** The rate of change (Column I) will automatically calculate. Counties may refer to previous years' budget submissions for data. *Only enter data in purple cells (blue for Excel 2007 users).*

3-2a. Service Trends: Intake Investigations, Ongoing Services, and JPO Services

➤ **Complete section 3-2a in the *General Indicators* tab in the Excel file.** In the table, indicators with growth rates over/below a 10% threshold will automatically highlight. The county must track:

- ❑ The number of families/children that have been or are being investigated or assessed (beyond initial intake/screening activity) by CCYA staff in FYs 2005-06, 2006-07, 2007-08, 2008-09, 2009-10 and the projected numbers for FYs 2010-11 and 2011-12.

The number of families/children with an open case (i.e., Family Service Plan developed or being developed) in the CCYA in FYs 2005-06, 2006-07, 2007-08, 2008-09, 2009-10 and the projected numbers for FYs 2010-11 and 2011-12.

- ❑ The number of children (non-duplicated) under the supervision of the County's Juvenile Probation Office receiving services funded through the NBPB process, separated by the in-home services category, community-based placement, and institutional placement categories in FYs 2005-06, 2006-07, 2007-08, 2008-09, 2009-10 and the projected numbers for FYs 2010-11 and 2011-12.

➤ **See 3-2a *General Indicators* in the Narrative Template.**

- ❑ The county must provide explanations for all service trend indicators.

3-2b. Adoption Assistance

Complete section 3-2b *General Indicators* tab in the Excel file. **In the table, indicators with growth rates over/below a 10% threshold will automatically highlight. The county must track** the number of children (non-duplicated) who were receiving adoption assistance on the first day of each fiscal year, added during the fiscal year, and ending adoption assistance during the fiscal year for FYs 2005-06, 2006-07, 2007-08, 2008-09, 2009-10 and the projected numbers for FYs 2010-11 and 2011-12.

- ❑ The total days of care for each fiscal year.

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➤ **See 3-2b General Indicators in the Narrative Template.**

- ❑ The county must provide explanation(s) for all highlighted indicators in the **Narrative Template**. Counties may choose to address additional trends if space allows.

3-2c. Subsidized Permanent Legal Custody (SPLC)

Complete section 3-2c General Indicators tab in the Excel file. All counties **must** include a chart and an analysis of the Subsidized Permanent Legal Custody (SPLC) trends. In the table, indicators with growth rates over/below a 10% threshold will automatically highlight. The county must track:

- ❑ The number of children (non-duplicated) who were in placement on the first day of each fiscal year, entering during the fiscal year, and leaving placement during the fiscal year for FYs 2005-06, 2006-07, 2007-08, 2008-09, 2009-10 and the projected numbers for FYs 2010-11 and 2011-12.
- ❑ The total days of care for each fiscal year.

➤ **See 3-2c General Indicators in the Narrative Template.**

- ❑ The county must provide explanation(s) for all highlighted indicators in the **Narrative Template**. Counties may choose to address additional trends if space allows.

3-2d. Out-of-Home Placements

➤ **Complete section 3-2d General Indicators tab in the Excel file.** In the table, indicators with growth rates over/below a 10% threshold will automatically highlight. The county must track:

- ❑ The number of children (non-duplicated) in placement on the first day of each fiscal year, the number of children (non-duplicated) entering, and the number of children (non-duplicated) leaving **dependent** Foster Family Care during FYs 2005-06, 2006-07, 2007-08, 2008-09, 2009-10 and the projected numbers for FYs 2010-11 and 2011-12.
- ❑ Also enter the total days of care for each fiscal year. Separate the above numbers by the following types of **dependent** Foster Family Care:
 - Traditional Foster Care (Non-kinship)
 - Reimbursed Kinship Care
 - Non-reimbursed Formal Kinship Care (county agency has legal custody of the child)
- ❑ The number of children (non-duplicated) who were in placement on the first day of each fiscal year, the number of children (non-duplicated) entering, and the number of children (non-duplicated) leaving the following placement settings during FYs 2005-06, 2006-07, 2007-08, 2008-09, 2009-10 and the projected numbers for FYs 2010-11 and 2011-12.

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Also, enter the total days of care for each fiscal year.

- Dependent Community Residential
- Delinquent Community Residential
- Juvenile Detention
- Dependent Institutional Residential Services
- Delinquent Institutional Residential Services

NOTE: Alternative Treatment, shelter placements, and Independent Living placements are not to be reported.

➤ **See 3-2d General Indicators in the Narrative Template.**

- ❑ The county must provide explanation(s) for all highlighted indicators in the **Narrative Template**. Counties may choose to address additional trends if space allows.

3-2e. Aging Out

➤ **Complete section 3-2e General Indicators tab in the Excel file.**

- ❑ Most counties will not have sufficient data to complete charts, however, the Aging Out table should be completed regardless of the data available. If the county does have sufficient data, indicators with growth rates over/below a 10% threshold will automatically highlight.

Counties are expected to track the number of any dependent/delinquent youth (non-duplicated) leaving custody/responsibility of the Agency at age eighteen or older, and the number who have, at the time of leaving care:

- ❑ permanent residence;
- ❑ source of income to support him/herself (either employment or public benefits); and
- ❑ life connection (defined as the love and emotional support of at least one adult who is committed to their development and individual success).

☛ Counties may not have historical data available for this indicator. In those cases, insert N/A in the appropriate cell(s).

Going forward, this data will be included in the NBPB and should be tracked.

For each youth, the regional office will be following up with the county to obtain youth-specific information.

➤ **See 3-2e General Indicators in the Narrative Template.**

- If the county has sufficient data, it must provide explanation(s) for all highlighted indicators in the **Narrative Template**. If the county does not have sufficient data, it must describe its plan to collect such data in the future.

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3-2f. General Indicators Data Table

- **See *General Indicators in the Narrative Template*.** Counties must paste the entire General Indicators data table into the Narrative Template (in two separate parts). Click on the “Copy Part 1” button, then click the appropriate section in the Narrative Template. Repeat these steps for Part 2.

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Section 4: County Programs & Services

This section asks counties to describe how specific services are provided, and the status of specific programs.

4-1: Children/Families not Accepted for Service

Children/Families not accepted for service are defined as those whose needs are not appropriate for state-defined child welfare services.

➤ See *Children/Families not Accepted for Service* in the Narrative Template.

4-2: New/Enhanced County Programs

➤ See *New/Enhanced Programs* in the Narrative Template.

New programs which are program funded (as opposed to fee-for-service/per diem rates) will be reimbursed for a maximum of two years. After two years of a service being in operation, reimbursement by program funding will not be available unless the program funding has been approved by the Deputy Secretary for Children, Youth and Families. The program funding must be approved prior to July 1, 2010. A letter requesting program funding must be sent to the Deputy Secretary, with copies to Tom Diehl, and the Regional Director. If requesting the first year of program funding, the letter must contain an explanation regarding the service, the benefit of not having a per diem, the expected usage of the service and the manner in which the county will monitor the usage of the service, and the detailed program budget. If requesting the second year of program funding, the letter must contain an explanation regarding the service, the first year's expected and actual usage of the service, the second year's expected usage of the service and the manner in which the county will monitor the usage of the service, and the detailed program budget. The county must submit a listing of all program funding for residential and non-residential programs and whether the Deputy Secretary approved a waiver.

← New for Fiscal Year 2011-2012 is the requirement for a Parent Anonymous program to receive approval from the Deputy Secretary for Children, Youth and Families.

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Section 5: Outcome Indicators

This section asks counties to answer questions about specific outcome indicators that can help to identify agency strengths and weaknesses.

Changes from Previous Bulletins: New outcome indicators were added to the 2010-2011 Needs Based Plan and Budget. Counties are now required to answer outcome-specific questions utilizing the HZA data packages to assist their outcome analysis. The questions are designed to help counties analyze current resource allocations (both financial and staffing, including vacancies, hiring, turnover, etc.) and determine the appropriate allocations in the future.

For this NBB submission, counties are required to utilize the HZA packages OCYF will distribute no later than June 15, 2010..

5-1: Reunification & Permanency

5-1a. Population Flow

This indicator tracks the numbers of children entering and exiting care during each six-month period, the number in care at the beginning and end of each period, and the total number served during each period. Breakdowns include each data point by age group.

➤ **See *Population Flow* in the Narrative Template.**

5-1b. Reunification Survival Analysis

This indicator reports on the percentage of children entering care for the first-time during each year and are ultimately reunified within twelve months of the removal. This measure includes breakdowns of 30 days, 60 days, 6 months, 12 months, and 24 months from the initial removal.

➤ **See *Reunification Survival Analysis* in the Narrative Template.**

5-1c. Adoption Rate, 17 Months

This indicator tracks the number of children in care for 17 months or longer, as of the beginning of each year, who is ultimately adopted within the following twelve months. Children in kinship care are excluded from the analysis, since placement in kinship care is an exception to the Adoption & Safe Families Act (ASFA) requirement that a Termination of Parental Rights (TPR) be pursued after a child has been in care 15 of the most recent 22 months.

➤ **See *Adoption Rates, 17 Months* in the Narrative Template.**

5-1d. Permanency, 24 Months

This indicator tracks the number of children in care for 24 months or longer, as of the beginning of each year, who achieves permanency (defined as a discharge to parents or relatives, adoption or guardianship) within the following twelve months.

➤ **See *Permanency, 24 Months* in the Narrative Template.**

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5-2: Placement Stability

These three measures are currently provided as CFSR Measures 4.1, 4.2 and 4.3, and measure placement stability (two or fewer placement settings) for children in care fewer than 12 months, 12 to 24 months and 24 months or longer, respectively.

5-2a. Placement Stability, Less than 12 months (CFSR Measure 4.1)

➤ See *Placement Stability, Less than 12 Months* in the Narrative Template.

5-2b. Placement Stability, 12 to 24 months (CFSR Measure 4.2)

➤ See *Placement Stability, 12 to 24 Months* in the Narrative Template.

5-2c. Placement Stability, Longer than 24 months (CFSR Measure 4.3)

➤ See *Placement Stability, Longer than 24 Months* in the Narrative Template.

5-3: Other

5-3a. Prevention Services

Prevention Services are defined as those programs and services which are intended to prevent out-of-home placements.

➤ See *Prevention Services* in the Narrative Template.

5-3b. (Optional): Outcomes Previously Introduced

➤ See *Previously Introduced Outcomes* in the Narrative Template.

5-4: Case Management

While the data profile is used to analyze performance related to specific outcome measures, the statewide self-assessment also identified areas needing systemic improvement. Focus groups with families, youth, and other stakeholders led to the identification of several areas that need to be enhanced or implemented and which may be impacting county outcomes.

➤ See the Narrative Template for each of the following areas.

5-4a. Family Engagement in Case Planning (note use of Family Group Decision Making and High Fidelity Wraparound (where behavioral health is present with the child and/or the parent/guardian) as an engagement process)

5-4b. Youth Involvement in Case Planning

5-4c. Transition Planning & Preparation

5-4d. Implementation of Concurrent Planning

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Section 6: Administration

This section contains all requested information related to business operations and administration. Requests falling under this category are not related to direct service provision, but rather overall business processes and functions. Similar items are grouped together in subsections.

6-1. Workforce

6-1a. Salary & Benefits

Submit the salary and benefit costs for county personnel. The maximum salary and benefit costs for county personnel in which the Department will participate is the total of salary and benefits, when compared to a similar Commonwealth personnel position.

➤ See “**Personnel Summary**” and “**CY Staff Summary**” tabs in Budget Excel file.

6-1b. Employee Benefit Detail

➤ See the *Employee Benefits* in the Narrative Template.

6-1c. Organizational Changes

Submit any changes to the county’s organizational chart which occurred since the county’s last submission.

6-1d. Staff Evaluations

Describe the county’s method for evaluating the effectiveness of Children and Youth staff in providing required services. Address any staff retention or training issues.

6-1e. Contract Monitoring & Evaluation

Identify the staff person or unit that oversees and monitors county contracts. Describe how the county evaluates the effectiveness of each provider’s service contract.

6-1f. Largest Providers Contract Review

➤ See *Contract Review* in the Narrative Template.

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6-2. Program Oversight

6-2a. Document Maintenance for Residential Providers

The county must ensure that its contracts with Residential Providers include the following provisions:

- ❑ Residential Providers must maintain centrally located documentation on each referral that the provider receives from a county agency (CYS or JPO). The provider may maintain the documentation however it chooses, as long as it is centrally located. Information the provider must maintain includes:
 - the date of receipt of referral;
 - the requesting county and agency (CYS or JPO);
 - the name, age, and race of the child;
 - presenting primary problem;
 - whether the child was accepted or rejected for admission to the program; and
 - the reason the child was accepted or rejected.

- ❑ Residential Providers, with the exception of emergency shelters and detention centers, must maintain centrally located documentation for each child that is discharged from their residential programs. The provider may maintain the documentation however it chooses, as long as it is centrally located. Information the provider must maintain includes:
 - the date of the discharge from the residential program;
 - the county and agency (CYS or JPO) that placed the child at the program;
 - the name, age, and race of the child; and
 - the reason that the child was discharged from the residential program (including the successful progress of original presenting problem, AWOL, negative discharge, etc.)

- ❑ Residential Providers must maintain centrally located documentation for all arrests by law enforcement regarding children and youth being served by the provider. The provider may maintain the documentation however it chooses, as long as it is centrally located. Information the provider must maintain includes:
 - the date of the arrest;
 - the county and agency (CYS or JPO) that placed the child at the program;
 - the name, age, and race of the child; and
 - reason for arrest by the law enforcement agency.

- ❑ Residential Providers must maintain centrally located documentation for all restraints of children/youth served. The provider may maintain the documentation however it chooses, as long as it is centrally located. Information the provider must maintain includes:
 - the date and time of the restraint;
 - the county and agency (CYS or JPO) that placed the child at the program;
 - the name, age, and race of the child;
 - reason for restraint;
 - intervention attempted by staff prior to restraint;
 - type of restraint used;
 - name of employee(s) who performed the restraint;
 - duration of restraint;
 - name of employee(s) who observed the child; and
 - the result of restraint (i.e. injuries incurred by, hospitalization, etc...).

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- ❑ Residential Providers must maintain centrally located documentation for the period that the youth was placed out-of-home with the same provider as to whether the youth has been truant (3 unexcused absences within the school year);
- ❑ Residential Providers, with the exception of emergency shelters and detention centers, must maintain centrally located documentation as to whether the youth is attending school and/or is employed full-time (37.5 hours per week) within 6 and 12 months after discharge from placement; and
- ❑ Residential Providers must maintain centrally located documentation as to whether every youth has received a full EPSDT screening within 60 days of entering placement, unless the child has had a screening and the results of the screening are available, and whether the subsequent treatment indicated has been initiated/scheduled within 90 days upon entering placement. Youth transferring from one foster care agency to another and youth transferring from a facility licensed under Chapter 3800 to a foster care agency may be exceptions. Please see Policy Clarification 3700-07-03, dated May 25, 2007.

6-2b. Children served by county staff (In-home services only)

➡ See “Children Served” tab in Excel Budget file.

6-3. Grant Funded and Special Programs

In this subsection, paragraphs 6-3a through 6-3c must be answered in the Narrative Template for each Special Grants Initiative (SGI) that the county has an approved allotment for the Implementation Year 2010-11. Counties may also have the opportunity to renew, request new, or expand for FY 2011-12 depending on several factors highlighted below as well as in the individual grant special grants sections.

To ensure proper evaluation of any special grant request, counties must provide brief and sufficient explanations and justifications to the questions in the Narrative Template. Counties are advised to prepare informative responses that offer a clear understanding to help the reviewer recommend approval, rather than a denial or reduction in funds because of missing or unclear information.

Additionally, if a county is requesting a renewal or an expansion of an existing special grant and there was under-utilization and/or under-spending of the grant in FY 08-09 and/or FY 09-10, the county must provide detailed explanations as to the cause(s) of the under-utilization and/or under-spending and must identify measures the county will utilize to prevent the underperformance in both FY 2010-11 as well as FY 2011-12.

If a county is requesting a new grant, it must provide succinct details as to the target population, planned utilization, realistic timeframes for implementing the special grant and outcomes expected to be achieved.

In addition to the Narrative Template, the county must enter SGI fiscal information for each fiscal year in the Budget Excel File. That file will be the primary source for fiscal information. Please ensure fiscal costs in the Narrative Template match the Budget Excel File. Instructions for completing the Excel files are included in Appendix 9 and in the Excel file.

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The Special Grants Budget Form for 2010-11 requests 2008-09 and 2009-10 actual expenditures with Needs-Based Fund adjustments and line-item budget information for each SGI in Appendix 9 with the exception of State Reintegration. CCYAs are also required to enter fiscal information in the FY 2011-12 Special Grants Funding Request Form.

6-3a. Evidence Based Programs

All Evidence Based programs and/or practices are now managed as a separate grant. The process for requesting Evidence Based Programs and/or Practices funding is in Appendix 9.

☛ **See the Narrative Template for forms to request or transfer funds within Evidence Based Programs.**

Describe the status of Evidence Based practices and/or programs which are provided by the county or through a contracted private provider. Evidence Based practices and/or programs include **only**:

1. Multi-Systemic Therapy (MST)
2. Functional Family Therapy (FFT)
3. Multidimensional Treatment Foster Care (MTFC)
4. Family Group Decision Making (FGDM)
5. Family Development Credentialing (FDC)
6. Family Finding (FF) for FY 2010-11
7. High-Fidelity Wrap Around (HFWA)

☛ The Department met with the Administrative Office of the Pennsylvania Courts and determined that there will not be a special grant for Family Finding in FY 2011-12.

Describe these practices and/or programs for FYs 2008-09, 2009-10 and FY 2010-11, the outcomes of these services (via use of available data), and the county's plans for expansion of these practices and/or programs during FY 2011-12. The county must discuss how many children are expected to be served, and the expected reduction in placements. Counties must also address any under-utilization or under-spending in FYs 2008-09 and 2009-10 and its plan(s) to correct the underperformance(s) in FY 2010-11 and FY 2011-12.

☛ **See the Narrative Template for each program.**

6-3b. Pennsylvania Promising Practices

The county may identify one outcome-based dependency program and one outcome-based delinquency program, for a total of two, for special funding consideration. The State encourages outcomes-based (i.e. non-Evidence Based) services, and the county must report on each program's services and outcomes. The information the county submits regarding dependency and delinquency outcome-based programs must include a discussion of how many children are expected to be served, and the expected reduction in placements.

The State will fund county identified Pennsylvania Promising Practices as special grants for two years. Thereafter the Promising Practice, if producing desirous outcomes, becomes part of the county's operating practices and is fiscally represented in the needs based budget. If the program is not producing desirous outcomes, the county may choose to end the program or fund it through other resources.

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If the county was approved for an outcome-based dependency program and/or an outcome-based delinquency program in the NBB 09/10 and 10/11 those programs are no longer eligible for funding under a Promising Practice Grant. If the county was approved for an outcome-based dependency program and/or an outcome-based delinquency program in the NBB 10/11, the county may continue to request funding for those programs from the State. If the county is participating in two promising practices programs from the NBB 10-11, requests for additional programs will not be considered. If the county has not requested or been granted two Promising Practices, it may request special funding consideration for a maximum of two programs in NBB 11/12. Finally, if a county has exhausted its two year limit for a Promising Practice Grant, the county may request special funding consideration for a maximum of two **new** programs in NBB 11/12.

➤ **See the Narrative Template.**

6-3c. Housing Initiative

The Housing Initiative is designed to meet the needs for housing resources for dependent and delinquent youth in order to:

1. prevent children and youth from entering out of home placement; or
2. facilitate the reunification of children and youth with their families; or
3. facilitate the successful transition of youth aging out, or those who have aged out of placement to living on their own.

CCYAs are encouraged to establish broad guidelines that serve to meet the intended purposes of the initiative and where no other viable or timely resource is available.

➤ **See the Narrative Template.**

6-3d. Alternatives to Truancy Initiative

The county may identify one practice or program designed to address truancy issues among school-age children and youth in order to:

1. reduce the number of students referred for truancy;
2. increase school attendance among student participants;
3. improve educational outcomes among student participants who may not have otherwise benefited without the program;
4. increase appropriate advance to the next higher grade level;
5. decrease child/caretaker conflict; or
6. reduce the percentage of children entering out of home care because of truancy.

➤ **See the Narrative Template.**

➤ **See the Budget Excel file.** Enter the above amount in the “SG BDGT 1011” and “11-12 SGI BDGT RQST” and “SGI Contact List 10-11” tabs in Excel Budget File.

6-3e. State Reintegration Program (SRP)

Effective aftercare furthers the goals of promoting a balanced approach to juvenile justice while providing rehabilitation and treatment to delinquent youth. As counties move toward

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collaboration and integrating services, it is critical that youth involved in the juvenile justice system have timely access to necessary services for successful re-entry into the community.

A model system must ensure that county children and youth agencies and juvenile probation departments include services to support aftercare planning for youth in the juvenile justice system each year in their Needs Based Plan and Budget request.

Counties are encouraged to use the SRP as an aftercare service, and must express an interest in the program. OCYF is committed to providing quality reintegration services to all youth in the YDC/YFC system, and the SRP is designed to serve youth leaving the youth development center/youth forestry camp (YDC/YFC) system. This program will support youth in making a smooth transition back into the community, which thereby improves the likelihood of successful reintegration, increases accountability to victims, and makes communities safer.

During the FY 2008/09 year, 789 youths were committed to the YDC/YFC system and 262 youths were referred and accepted into the SRP. Outcome studies indicate that 83% of youth who participated in the SRP were not re-adjudicated delinquent within 6 months of release. Based on current Youth Level of Service/Case Management Inventory (YLS/CMI) data, 61% of the youth entering the YDC/YFC system have been assessed to be either very high or high risk/need.

FY11/12 requests are to be submitted through the Special Grants Funding Request form in the Budget Excel file. A maximum of 613 youth will be served by SRP during the FY 11/12. Should the total number of requests made by counties exceed the maximum number of youth to be served; awards will be proportionate to the number of youth placed in the YDC/YFC system during the FY 2009/10 by the requesting counties. Additional information about SRP can be found at: <http://www.srppa.com/>

- **See the Narrative Template.** If requesting funds for FY 2011-2012, determine the dollar amount of the SRP Initiative in the Template. See Appendix 9 for more information.
- **See the Budget Excel file.** Enter the above amount in the “11-12 SGI BDGT RQST” tab.

6-3f. Independent Living (IL)

The Independent Living Services (ILS) Grant was implemented for the FY 2009-2010 NBPB in order to accurately account for, and report on, the amount of funds used for IL Services. This effort combined the federal Chafee Foster Care Independence Program (CFCIP) Funding and Act 148 funds. For FY 2011-2012 all IL services for youth most likely to remain in foster care until age 18 and those discharged from foster care until age 21 will continue to be reimbursed as a separate special grant which includes federal, state and local funds. All counties should request sufficient funds to meet the IL needs of youth for FY 2010 - 11 through the ILS Grant. There should be no expenditures in the Supervised Independent Living cost centers for IL Services.

Additional instructions concerning the allowable use of this grant and updated documentation and necessary justification for allowable costs are outlined in Appendix 6.

- **See the Narrative Template.**
- **See “10-11 IL CY-814 Bdgt,” “10-11 IL CY-815 Bdgt,” and “11-12 IL CY-Grant” and “SGI Contact List 10-11” tabs in Excel budget file.**

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6-3g. Information Technology

The county must request all IT costs through the IT Grant. Guidance on the completion of the IT Grant can be found in Appendix 4. Funding for IT costs will not be approved through any other funding sources of the NBPB. Counties must provide information regarding their IT operations and any new initiatives in the Narrative Template.

In 2009, the Department of Public Welfare (DPW) completed a Feasibility Study and Alternatives Analysis for the implementation of a Statewide Child Welfare Information System Solution. The outcome of the Study resulted in a Statewide Child Welfare Information System Strategic Plan (Statewide Plan) that encompasses child welfare programs administered by the Office of Children, Youth and Families and the County Children and Youth Agencies. The goals of the Statewide Plan include a statewide solution that supports interoperability, access to real time information, standardized data across counties, and access to a sustainable case management system for all counties. In addition, the Commonwealth's plan requires the reuse of existing IT assets, whenever possible, in order to lower overall IT costs.

As part of their FY 2011-12 NBPB, counties need to provide information on how their county Information Technology plan aligns with the goals of the Commonwealth's Statewide Plan and must request all anticipated Information Technology Costs for FY 2011-12 through the IT Grant. Information received from the county will be reviewed to ensure alignment with the Statewide Plan and for compliance with federal and state regulations.

Counties will need to evaluate if and how their current IT system(s) efficiently and effectively supports the goals of the Statewide Plan and whether they need to plan for the transfer to another sustainable system. Counties with non-sustainable systems can elect to transfer to another county's case management system following these guidelines:

1. The Statewide Plan identifies the Child Accounting and Profile System (CAPS) case management as a system that supports many of the child welfare business functions and as technically sustainable. Counties that want to transfer to the CAPS case management system should obtain estimates from Avanco, Inc. for FY 2011-2012. The estimate should include 1st year costs for hosting, training, and conversion and ongoing annual cost for hosting and maintenance.
2. The Allegheny County system (KIDS) may be an alternative system for larger counties. Counties that are considering transferring to KIDS should, at a minimum, identify how they plan on evaluating KIDS and determining whether it is the most appropriate system to meet their needs. Where feasible, the county should provide estimated FY 2011-2010 costs for implementation of KIDS and estimated total costs for subsequent years' implementation and maintenance.
3. Counties that want to transfer to a system other than CAPS or KIDS should obtain the estimated one time implementation costs and any ongoing annual maintenance costs for that system. Counties will need to identify why they chose another system and how this system efficiently and effectively meets their business need.
4. Counties that use a system other than those listed above and consider their system to be sustainable need to identify how they determined their system currently meets the goals of the Statewide Plan or, if modifications are needed for the system to meet the

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goals, how those modifications are more cost efficient than transferring to a sustainable system. DPW will evaluate other county systems for sustainability upon request.

5. If a county must continue to maintain an existing system during the transition to a sustainable system, the county should include those costs in the IT grant request. Counties should describe how and when they will retire the current system.

Counties requesting an evaluation of a planned or existing system should be prepared to present the business and technical feasibility of the solution to the DPW, Office of Children, Youth and Families and Bureau of Information Systems. To assist counties requesting an evaluation, a template will be provided identifying business and technical information that must be included in the presentation. Examples of the types of questions that will need to be answered in the review are:

- Does the solution adequately satisfy all critical business functional requirements and all critical technical non-functional requirements?
- Will the solution completely and reliably support the county's day-to-day business operations?
- Does the solution require extensive customization in order for it to successfully function in the county environment and interface with the state?
- Does the solution require extensive business process re-engineering to be utilized successfully in the county environment?
- Is the system scalable?
- Can the system be adequately supported and maintained?
- Is the total cost of ownership (TCO) reasonable and realize value added business outcomes and services?
- How extensive is the level of effort required to fully implement the solution?

Planning for Statewide Information Technology Initiatives

Counties should also plan and budget for any county system modifications that may be necessary as a result of the Statewide Information Technology Initiatives planned for implementation in SFY 2010-2011 and SFY 2011-2012.

SFY 2010-2011

Master Client Index (MCI)

The information provided here is for planning purposes. Additional information on the MCI service, conversion and process will be provided to all counties in June, 2010.

Implementation of the MCI is planned for October 4, 2010. Through access to a web service, counties will be required to perform an initial search on children upon receipt of a report as part of the screening process. Counties will then perform a clearance on children in the MCI using a predefined business process. The clearance process registers a child and assigns a unique statewide identification number to the child.

Beginning in July 2010, counties will need to prepare for conversion of current child records. This will involve sending a predefined file of all active children to DPW. DPW will run the file against the MCI to identify children already known to MCI. A list of children with their assigned MCI number will be returned to each county and the county will need to enter the MCI number

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into their case management system. Each county will also receive a list of children that need manual intervention to complete the matching process. Counties with automated systems will need to add an MCI number field to their application and database to record this information and should consider how they will process the initial conversion of multiple children.

Beginning with the October 1, 2010 – March 31, 2011 reporting period for the Adoption and Foster Care Analysis and Reporting System (AFCARS), counties will discontinue using a child's Social Security Number (SSN) and begin using the MCI number as a child's AFCARS ID. This will require counties with automated systems other than the Lotus Approach Interim Solution to modify the mapping of this field. The 12 digit AFCARS ID field will use the MCI number (9 digits) with three leading zeros. Interim Solution Counties will receive further instructions for how the MCI number will be used in that system.

National Youth in Transition Database (NYTD) Baseline Population

Section 2.3k, Chafee Foster Care Independence Program (CFCIP) of this Bulletin describes the reporting requirements established by the Foster Care Independence Act of 1999 (Pub. L. 106–169) and Pennsylvania's plan for a phased-in approach to meet those requirements.

Pennsylvania's plan includes the collection of the outcomes information on October 1, 2010 for the baseline population using a web based statewide survey tool accessible to counties and youth. The Baseline population consists of all youth in foster care [who are between the ages of 17 years and 17 years and 45 day within Federal Fiscal Year (FFY) 2011 (and every third fiscal year following FFY 2011) FFY 2011 runs from October 1, 2010 through September 30, 2012. Additional guidance will be issued with detailed information on the implementation of this survey and other NYTD requirements under separate cover.

OCYF is developing the survey tool that will be accessible to all CCYA and youth required to participate in the survey. Counties will be responsible for identification of the youth required to participate in the survey prior to their 17th birthday so that they are registered in a timely manner. Counties should plan for how they will perform this identification of youth and determine if their automated systems already have this functionality or if it will need to be added.

Information Technology costs associated with NYTD reporting should be reported as part of the IT Grant Budget; however, will need to be costs allocated to federal Chafee Foster Care Independence Program (CFCIP) administrative funds or state and local funds. They are not eligible for title IVE administrative funds.

SFY 2011-2012

National Youth in Transition Database (NYTD) Served Population

Pennsylvania's planning efforts for collection of the NYTD Served population will occur in SFY 2011-2012. The Served population includes all youth who receive an independent living service paid for or provided by the State agency during a six-month report period.

Although the Pennsylvania Independent Living Outcomes Tracking System (PILOTS) currently tracks some of this information, there is additional information required by NYTD that it does not collect. The collection of data for the Served population is expected to be incorporated into the

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long term statewide solution. Upon implementation of that solution, OCYF anticipates the discontinuance of the PILOTS data collection and submission.

Counties should plan and budget for any needed modifications to sustainable case management system to meet the reporting requirements for the Served population. The NYTD reporting requirements can be found at the following websites:

Administration for Children and Families (ACF)
<http://www.acf.hhs.gov/programs/cb/systems/>

National Resource Center for Child Welfare Data and Technology at:
<https://www.nrccwdt.org/index.html>

➤ **See *Information Technology* in the Narrative Template.**

➤ **See “Info Tech Request” tab in Budget Excel budget file.**

6-3h. Statewide Adoption And Permanency Network (SWAN)

Each county will receive a funding allocation for SWAN services. The allocation amount will be mailed to county administrators by May 15th. **Counties are expected to provide their permanency services directly or via the SWAN Prime Contract.** Private contracts for specialized adoption services that cannot be provided by the county and/or are outside of the scope of the SWAN prime contract must be approved by the appropriate regional office.

6-3i. Nurse Family Partnership (NFP)

The county may **not** request funding through the NBPB for additional NFP services over and above the allocation of their Office of Child Development and Early Learning (OCDEL) grant. The county is encouraged to purchase other effective and outcome driven home visitation services.

➤ **See the Budget Excel file.**

6-3j. Medical Assistance (MA) Services

Consistent with regulations, OCYF will no longer reimburse for medical and/or behavioral health treatment services for MA-eligible children and will no longer participate in the reimbursement of staff that provide such services. Such services include, but are not limited to: Pediatricians; Primary Care Physicians; Specialty Care Physicians; Dentists and Orthodontists; Psychiatric and Psychological Evaluations; Psychiatric Residential Treatment Facilities (PRTF); and Outpatient (individual, group and family therapy; medication management and monitoring) services.

OCYF will reimburse for medical and/or behavioral health treatment services for children who are not eligible for MA and/or for services that are not reimbursable through MA if the services are ordered by the Court. The county must document that the services were ordered by the Court and/or that the child is not eligible for MA benefits (copy of Eligibility Verification System documents) and maintain documentation in a centralized manner so that OCYF may review whether it is permissible to reimburse such expenditures. Reimbursement will only be permitted

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up to the maximum amount of the MA reimbursement rate for such services in that particular county. Reimbursement will not be permitted if providers of the medical and/or behavioral health treatment services refuse to enroll in MA. The county must submit a listing of all expected reimbursement for medical, dental, and/or behavioral health services. If service is ordered by a Court, reimbursement will be according to the Juvenile Act Proceedings Services of the NBPB.

6-3k. Assessment Tool

The Department is coordinating with the Juvenile Court Judges Commission and the Pennsylvania Council of Chief Juvenile Probation Officers on researching valid screening and assessment tools. The intent is to support a common tool to provide consistency in understanding the planning needs for youth and families. The county is encouraged to request reasonable costs associated with the implementation of valid screening and comprehensive assessment tools.

6-3l. Older Adolescent Initiative/Independent Living Initiative (youth ages 14-21)

Detail current and planned efforts for transitioning dependent and delinquent youth from the child welfare and juvenile justice systems to adulthood (including, but not limited to, Chaffee funded programs). Such efforts include peer mentoring, housing subsidies, job coaching, case planning, transition specialists, resource families for aging out youth, and an information/referral hotline or web-based resource for aging out youth. The county must include information on its Older Adolescent Initiative, whether it is provided by the county directly or through a contracted private provider.

6-3m. Child Care

The OCYF and the Office of Child Development and Early Learning (OCDEL) issued a joint bulletin that establishes policy guidance and fiscal requirements on how county children and youth agencies (CCYA) may fund child care support through the needs based plan and budget process. The CCYAs are responsible for complying with the requirements and procedures set forth both in these NBPB guidelines and the joint OCDEL-OCYF bulletin in creating its needs based budget request and implementation plans.

The joint OCDEL-OCYF bulletin clarifies policy regarding appropriate circumstances in which the county children and youth agencies may subsidize child care, as well as the reimbursement rates that the Department is allowed to participate for subsidized child care. The joint bulletin also strongly encourages CCYAs to always use high quality subsidized child care for the children it serves and promotes the use of Keystone STARS wherever and whenever possible. Furthermore, in issuing the joint bulletin, the Department seeks to ensure quality in the purchase of child care services; ensure efficient use of public resources and promote coordination with the Child Care Works program.

In order to monitor child care expenditures and the provision of quality child care services to children served through the child welfare system, DPW will be issuing an addendum to the joint OCDEL-OCYF bulletin under separate cover. This addendum will provide specific data elements that are to be tracked and submitted to DPW on a regular basis. All CCYAs are encouraged to review their current child care contracts and if the current provider is not a Keystone STARS provider, to seek such a provider for future contracts.

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6-3n. Integrated Child Service Planning (ICSP)

Funding will not be provided for the same purpose under NBPB and ICSP. The county may request funding through the NBPB and ICSP and must note in both the NBPB and ICSP requests that the county is requesting funding through both systems.

Information Technology (IT) funding through ICSP must also be noted in the NBPB. Counties should describe how the implementation of the technology supports the counties ongoing and long term IT needs and what results they hope to achieve. If subsequent years' funding of the technology will be requested through the NBPB, estimated future costs and associated years should be noted.

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6-4 Accurint Search Tool

DPW/OCYF purchased access to the online use of the Accurint Search Tool on behalf of the county children and youth agencies in April 2009. For FY 2009-10, OCYF assigned a specific number of users to each county agency for whom DPW will cover the monthly cost per user. While there is no direct cost to the counties for Accurint, DPW needs to track the number of users needed by each county. As there is limited funding for Accurint, counties must not exceed their allotted number of users assigned in FY 2009-10 until the final allocation is provided to you. Specific requests for the total number of users for FY 2011-12 and the justification for the request must be provided in the Narrative Template.

Refer to the Needs Based Plan and Budget Instructions, Appendix 8 for more information.

➡ **See the Narrative Template.**

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Section 7: Required & Additional Language

7-1. Assurances

- See the *Assurances* section in the Narrative Template.

7-2. Federal Outcomes Background

- See Appendix 5.

7-3. Special Notes on Indicators

7-3a. Population Flow

- Using the standard AFCARS file containing only one record per child understates the count of children for each event occurring during the reporting period. Using the AFCARS longitudinal file will result in more accurate counts of children in care at any point in time or entering or leaving care during periods.
- First-day, last-day and served counts are unduplicated, representing unique children, while entry and discharge counts appearing in this measure relate to movements into or out of care and thus can tally each child more than once.
- Each period represents six months of activity.

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Appendix 1: Budget Forms & Instructions

Note: All data is to be entered into the **Budget Excel file**.

FY 2011-12 Needs Based Plan and Budget Forms

This part of the NBPB is intended to provide detailed justification for modifications to the current service levels and projected associated expenditures. The forms are designed to start with the county's most recent Act 148 invoicing expenditure and revenue report forms and through a multiple-step process develop the county's NBPB request with adequate support documentation.

The NBPB submission of the Budget Excel file will include the following steps:

1. First complete the **Fiscal Management** form. Enter the County Code in the space provided. Enter the original submission date in the space provided. If the NBPB is revised, enter the revision date(s) and revision number(s) in the space(s) provided. Enter the Actual Fiscal Year in the space provided (entry format: 2009/10). Enter the date of the most recent Certified/Allocation letters for both the Actual and Implementation years. Enter the Certified Expenditures and Revenue Allocations from these letters in the appropriate columns.
2. Secondly, enter the expenditure and revenue data from the most recent Act 148 invoice submitted to the Bureau of Financial Operations (BFO) into the **Actual Act 148 Invoice** form. If corrections or revisions were submitted to BFO, use the data from the most recent submission which should include the Title IV-E stimulus claims for the 2nd, 3rd and 4th quarter.
3. If the most recent Act 148 Invoice is for a quarter other than the fourth quarter, the county's Annualized Expenditures are projected assuming level spending throughout the year or 25 percent per quarter with the exception of fixed assets. Fixed assets are considered to be one-time costs and therefore not annualized. Revenues are projected at the same ratio to appropriate expenditures as exist in the actual report submitted but not to exceed existing "capped" allocations.
4. Complete the two required supporting forms, **Schedule of Services** and **Personnel Summary**. The data on these forms must detail the expenditures reported in the "Purchased Services" and "Wages and Salaries" major objects of the most recent Act 148 invoice. The forms provide necessary data to analyze the county's existing services and personnel. **Both of the forms are unprotected. Be careful with data entry so that formulas are not deleted or altered. Copying and pasting data from a previous FY NBPB file creates formula errors.** They may be separately completed, and then specific contract and employee data may be copied into the worksheets of the Excel workbook. Insert rows if additional rows are needed, then copy the formulas (in hidden columns) by selecting the row number to highlight the entire row (including hidden columns) then paste to the inserted rows.
 - a. **Schedule of Services** details by cost center the children/family services purchased by the county and reported as Purchased Services. This form should: (1) assist in the identification of program/service types; (2) connect services with a cost center;

and (3) provide through analysis a more accurate picture of what is actually being delivered through the counties and provider network to children, youth, and families. The completion of this form will enable the Department to understand the components to be in a better position to justify the county's budget request. The Department recognizes that in some cases this information may be lengthy; however, it will help the Department understand the county's specific service needs. The worksheet in the county's NBPB file must be completed; a separately submitted computer-generated form is not acceptable.

- The County Name populates based on County Code entered in the Fiscal Management form.
- The report period populates based on the quarterly report number entry in the Actual Act 148 Invoice form.
- List each provider from which services were purchased and reported in the above Actual Expenditure Report under the "Purchased Services" column. Each cost center must be separately listed in the order that they appear on the expenditure report. Do not combine dependent and delinquent cost centers.
- The cost centers are automatically subtotaled in the table created in the upper section of the form; therefore, there is no need to subtotal by cost center within the schedule. The cost center subtotals must agree with the corresponding cost center's "Purchased Services" on the Actual Act 148 Invoice form.
- Any error message(s) in the upper section of the schedule must be reconciled with the corresponding cost center on the "Actual Act 148 Invoice" worksheet (expenditure report).
- Provide for each service provider within each cost center the following:
 - (1) "Cost Center" - list the appropriate dependent and delinquent cost center by using the drop down menu. (List the cost center for each service provider; otherwise, the subtotals will not automatically calculate in the cost center table.)
 - (2) "Provider" - list the name.
 - (3) "Rate" - or county contract rate or cost per unit of service.
 - (4) "Define Rate" – Describe the unit on which the county contract rate is based (e.g., day, hour, session, etc.)
 - (5) "Number of Units provided" – Show the number of units provided during the period.
 - (6) "Total Cost" – county contract rate times units (column three multiplied by column five).
 - (7) "Target population" - identify the primary population to be served.

- (8) "Description of Service" – very briefly describe the service that best identifies what will be received by the children/families through the provider.

Schedule of Child/Family Services Reported as Consultants

A separate table has been developed (located below the Schedule of Purchased Services) for detail on any child or family services that are reported as a Consultant service within the major object, Operating. Provide the same information concerning the Consultants as is required for Purchased Services. Cost center subtotals are not required.

NOTE: Per the February 1, 2006 Special Transmittal, "Child-Specific Expenditure and Client Data Reporting," expenses incurred for the delivery of child/family services by an individual or contracted agency must be reported as a Purchased Service. Examples of child or family services that must be reported as a Purchased Service are parenting education programs, prevention programs (including before/after school programs), guardian ad litem services, etc.

- b. **Personnel Summary** details current filled and vacant Department approved positions. The worksheet in the county's NBPB file must be completed; a separately submitted computer-generated form is not acceptable.
- The County Name will automatically populate.
 - Enter the number of approved positions for FY 2009-10 based on the total number of Department-approved positions per the county's most recent FY 2010-11 allocation letter.
 - Identify the report period which will be the same as the most recent Act 148 Invoice.
 - Enter the "Total Salaries" and "Total Benefits" for the period. Both must crosswalk with the totals in the Actual Act 148 Invoice form.
 - List the Position Number for all positions that were filled for any time during the report period. Do not use social security numbers or names in place of position numbers.
 - Enter the staff category number ("1" thru "7") based on categorization in the "CY Staff Summary" form. (Reference Staff Category Definitions/Instructions in Section 8 below.)
 - If a position is less than full-time, enter the appropriate percentage in the "percentage of time" column. Enter as a percentage or decimal. If full-time, leave blank.
 - If a position was held by different employees at different times, list the position multiple times with beginning and ending dates. Enter the employee-specific number, not a generic employee number.

- ❑ If an employee held different positions during the report period, list that individual with each position, the salary for each position, and beginning and ending dates.
- ❑ If an employee held the same position from July 1 until the end of the reporting period, “Beginning Date” and “Ending Date” columns **do not need to be completed**. Complete these two columns only if an employee was hired after July 1 or terminated employment before the end of the report period or changed positions during the report period.
- ❑ “Approved Annual Salary” column must be the employee’s current approved annual salary and only needs to be completed for those lines with no ending date.

Under the “YTD Paid Salary” column list the amount of salary paid to that individual while in that position.

Total of “YTD paid Salary” of all employees must agree with the total “Wages and Salaries” column of the Actual Expenditure Report.

- ❑ In addition, individually list all vacant positions as of the ending date of the report period. The “Approved Annual Salary” column must be the **entry level** salary of an employee if the position was filled. Enter the position number. Employee numbers for vacant positions are left blank.
- ❑ Do not enter formulas to total “Approved Annual Salary” column (Col J) or “YTD Paid Salary” column (Col K) within those columns as this will create error messages in the Personnel Summary and CY Staff Summary worksheets will not crosswalk.
- ❑ Based on data entries, the following calculations will occur and display:

Full time equivalent (FTE) positions filled at start of period; FTE positions filled at the end of the period; Number of FTE vacant positions at the end of the period; Average number of full- and part-time positions filled for the period based on the total number of days positions were filled in the report period divided by number of days in the report period (per employee); Departure rate which is determined by dividing the number of full- or part-time employees that departed during the report period by the total number of full- or part-time positions that were filled for the report period; Vacancy rate which is determined by dividing the number of days positions were vacant in the report period divided by the total number of days available in the report period.

5. The ***Children and Youth Staff Assessment Summary*** contains information on positions and costs for FY 2009-10 year-to-date through FY 2011-12. Positions are shown on this form as full-time equivalent (FTE); i.e., part-time staff numbers are shown using a decimal.

Column 1 – FY 2009-10 Positions and Personnel Costs per most recent Act 148 Invoice and Personnel Schedule

This column will automatically populate based on the entries in the "Personnel Summary" worksheet. The "No." column will contain the number of current (FTE) filled staff positions. The "Salaries" column will show year-to-date personnel costs.

CROSSWALK: The total personnel cost in Column 1 must crosswalk to the total salaries and benefits totals in the "Personnel Summary" form and the "Actual Act 148 Invoice" worksheets. Otherwise, an error message will appear.

Column 2 – FY 2009-10 Adjustments to Most Recent Act 148 Invoice

Show the positions and costs that have increased/decreased as a result of adjustments to the Act 148 invoice. The total salaries must crosswalk to the "Summary of Adjust. To Actuals" worksheet. Enter the associated expenditure adjustment number(s) in the salmon colored box (located in the last row of the column).

Column 3 – FY 2009-10 Estimated Actuals

This column will automatically calculate by totaling both the positions and expenditures from Columns 1 and 2.

CROSSWALK: The total personnel cost in Column 3 must crosswalk to the salaries and benefit total on the "County's Adjusted EST. Actuals" worksheet. Otherwise, an error message will appear.

Column 4 – FY 2010-11 Annualization Adjustments

Show the increased/decreased costs per staff category to annualize such costs as a result of adjustments to the Implementation base. Enter the associated expenditure adjustment number(s) in the salmon colored box (located in the last row of the column).

Column 5 – FY 2010-11 Maintenance Adjustments

Show the increased/decreased costs per staff category for staff raises and benefits increase as a result of adjustments to the Implementation base. Enter the associated expenditure adjustment number(s) in the salmon colored box (located in the last row of the column).

Column 6 – FY 2010-11 Certified Positions

This column will automatically populate based on the total number of positions approved per staff category as contained in the certified letter for FY 2009-10.

Column 7 – FY 2010-11 Vacant and New Staff Adjustments

Show the number and cost of vacant and new staff per associated adjustment to the Implementation base, if any. Enter the associated expenditure adjustment number(s) in the salmon colored box (located in the last row of the column).

CROSSWALK: The total personnel costs in Columns 4, 5, and 7 must crosswalk to the salaries and benefits total on the "Summary of Adj. To IMP Base" worksheet.

Column 8 – FY 2010-11 Non-reimbursable Positions/Costs

Show the number and cost of non-reimbursable full- and part-time staff for FY 2009-10. These costs (which are a part of the personnel costs shown in Columns 3, 4, 5, and/or 7) include those that exceed the allowable costs established in Chapter 3170 as well as costs for staff that were not certified for FY 2009-10.

Column 9 – FY 2010-11 Implementation Costs

This column will automatically calculate by totaling the positions and expenditures from Columns 3, 4, 5, and 7. (Non-reimbursable staff and costs are not included in this column. If appropriate, they must be entered in Column 15 for FY 2010-11.)

CROSSWALK: The total personnel cost in Column 9 must crosswalk to the salaries and benefits total on the “County’s IMP PLAN” worksheet. Otherwise, an error message will appear.

Column 10 – FY 2011-12 Annualization Adjustments

Show the increased/decreased costs per staff category to annualize such costs as a result of adjustments to the NBPB base. Enter the associated expenditure adjustment number(s) in the salmon colored box (located in the last row of the column).

Column 11 – FY 2011-12 Maintenance Adjustments

Show the increased/decreased costs per staff category for staff raises and benefits increase as a result of adjustments to the NBPB base. Enter the associated expenditure adjustment number(s) in the salmon colored box (located in the last row of the column).

Column 12 – FY 2011-12 Vacant Position Adjustments

Show the number of approved positions by each staff category projected that were vacant as of July 1, 2010 as reflected in the adjustment to the NBPB base. Vacant staff costs are limited to ten months funding and must be projected based on historical trends for filling vacant positions. Assurances that projected vacancies will be filled must be included in the narrative. Enter the associated expenditure adjustment number(s) in the salmon colored box (located in the last row of the column).

Column 13 – FY 2011-12 Increased Staff/Costs

Show the increased staff/costs per associated adjustment as reflected in the adjustment to the NBPB base, if any. New initiative positions, if approved, may be funded for six months unless cost savings meet the requirements of Section 3140.17(c)(9). If the required cost savings will be achieved, up to ten months funding may be included. Enter the associated expenditure adjustment number(s) in the salmon colored box (located in the last row of the column).

CROSSWALK: The total personnel cost in Columns 10, 11, 12, and 13 must crosswalk to the salaries and benefits total on the “Summary of Adj. to NBPB Base” worksheet.

Column 14 – FY 2011-12 Total Positions/Cost

This column will automatically calculate by totaling the positions and expenditures from Columns 9, 10, 11, 12, and 13.

CROSSWALK: The total salaries in Column 14 must crosswalk to salaries and benefit totals of the “County’s NBPB” worksheet. Otherwise, an error message will appear.

Column 15 – FY 2011-12 Non-reimbursable Positions/Cost

Show the number and cost of non-reimbursable full- and part-time staff for FY 2010-11. These costs (which are a part of the personnel costs shown in Column 14) include those that exceed the allowable costs established in Chapter 3170.

Staff Category Definitions/Instructions

Caseworkers 1 – Include all entry-level staff with an active case management caseload.

Caseworkers 2 and 3 – With the exception of supervisors, include all staff with an active caseload that has case management responsibility for cases. Staff that provide services to clients but do not have case management responsibility for cases would be included and specified under "Other".

Supervisors – Staff that directly supervise direct service staff and caseworkers.

Managers – Staff that directly supervise supervisors, caseworkers, and direct service staff.

Administrators – Staff that performs administrative or supervisory duties that do not supervise direct care staff. Include the children and youth agency director when the director supervises direct service staff.

Clerical – Staff that performs secretarial or general office work functions.

Child Care – Staff that care directly for children, such as residential care workers.

Other – Include staff that does not fit one of the other categories. Specify their classification and function in the space provided on the form, identifying the number with the same classification and function.

Subtotal Staff/Salaries – The cells will automatically calculate by totaling the staff salaries for each staff category.

Benefits – Enter the benefit amount in the appropriate columns.

Total Personnel Costs – The cells will automatically calculate by totaling salaries and benefits in Columns 1 through 15.

6. Complete the **Fixed Assets Inventory** worksheet. List all fixed assets purchased with any funding provided through Department of Public Welfare (DPW) and still in the possession of the CCYA. In addition, list all fixed assets purchased with any funding provided through DPW since July 1, 2005 through the most recent Act 148 invoice period that are no longer in the possession of the CCYA. The worksheet in the county's NBPB file must be completed; a separately submitted computer-generated form is not acceptable.

The detail on this form must tie to the invoice expenditure report as submitted DPW's Bureau of Financial Operations (BFO) for FYs 2005-06 through FYs 2009-10 (year to date). If differences, an explanation must be provided on the worksheet, **F.A.**

Reconciliation; e.g., acquisitions made with funding sources not reported on the Act 148 invoice such as special grants or a repair that "extends the life" of an existing asset.

Insert rows if additional rows are needed. In the spaces provided, enter the following: Description of asset, serial number (if available), county identifier (if available), acquisition date, acquisition cost, disposal date, and funds received for disposal.

7. Complete the **Children Served** worksheet. The county must enter the County name in the space provided. In the “Explanation/Calculation” section, briefly explain the methodology used to identify the unduplicated count of children served in each of the In-Home cost centers by county staff, including specifics as to what children were included in that count. (Each child is counted one time per cost center but may be counted in multiple cost centers.)
8. The county has the opportunity to make adjustments to the Annualized Expenditures, which are projected assuming level spending throughout the year or 25 percent per quarter (if a quarter other than the fourth quarter is used) with the exception of fixed assets. Revenues are projected at the same ratio to appropriate expenditures as exist in the actual report submitted but not to exceed existing “capped” allocations. The county must provide justification for all dollar differences. All adjustments to the assumptions must be justified on the form labeled “Adjustments to Estimated Actuals Base – FY 2009/10” which is located in the Access file. Counties access this file through the “Enter Adjustments” macro located at the top left of the **Summary of Adjustments to Actuals** form.

➤ **Reference Appendix Two for adjustment form instructions.**

All “Adjustments to Estimated Actuals Base – FY 09/10” forms are summarized on the **Summary of Adjustments to Actuals** expenditure report by major object by cost center, per instructions in Appendix 2.

9. The county’s Adjusted Estimated Actuals (Annualized Expenditures) becomes the baseline for the Implementation Plan. Any dollar adjustment over the baseline must be justified. Revenues must be projected at the same ratio to appropriate expenditures as exist in the actual report submitted but not to exceed existing “capped” allocations. All adjustments over the baseline must be justified on a form labeled, “Adjustments to Implementation Plan Base – FY 10/11” which is located in the Access file. Counties access this file through the “Enter Adjustments” macro located at the top left of the **Summary of Adjustments to Implementation Base** form.

➤ **Reference Appendix Two for adjustment form instructions.**

All “Adjustments to Implementation Plan – FY 10/11” forms are summarized on the **Summary of Adjustments to Implementation Base** expenditure report by major object by cost center, per instructions in Appendix 2.

10. The County’s Implementation Plan submission becomes the baseline for the Needs Based Budget Request. Any adjustment over the baseline must be justified on separate form for each activity. All adjustments over the baseline must be justified on a form labeled “Adjustments to Needs Based Plan and Budget Base – FY 11/12” which is located in the Access file. Counties access this file through the “Enter Adjustments” macro located at the top left of the **Summary of Adjustments to NBPB Base** form.

➤ **Reference Appendix Two for adjustment form instructions.**

All “Adjustments to Needs Based Plan and Budget Base – FY 11/12” forms are summarized on **Summary of Adjustments to NBPB Base** expenditure report by major object by cost center, per instructions in Appendix 2.

11. The **Actual Act 148 Invoice**, **County Adjusted Estimated Actuals**, **County Implementation Plan**, and **County NBPB** worksheets require data of the number of **children being served and days of care** for all cost centers.

- **In-Home Cost Centers**

- a. In the “Children Served (County Staff)” column, for each cost center, provide an unduplicated count of children being served for the year by county staff associated to the non-purchased/subsidy expenditures in that cost center.
- b. In the “Children Served (Purchased)” column, for each cost center, provide an unduplicated count of children being served for the year by the expenditures reported in the “Purchased Services” column.
- c. In the block, identified as “Number of Children receiving only NON-PURCHASED In-Home Services” provide an unduplicated count of children being served for the year by county staff. If a child receives multiple services from county staff and is counted in several different cost centers in (a), count the child only once in this block.

- **Community Based and Institutional Placement Cost Centers**

- a. In the “Days of Care” column, for each cost center, provide the number of bed days being purchased or provided by the county for the year associated to the expenditures in that cost center.
- b. In the “Children Served (Purchased)” column, for each cost center, provide the unduplicated count of children served with the “Days of Care” reported in (a).

12. The **Explanation of Revenue Adjustments** form should be completed if circumstances exist in a county that would affect either the Program Income, federal Title IV-E placement maintenance claim, or the cost pool construction for the Title IV-E administrative claim. Those circumstances must be described so that the Department has the ability to determine how the circumstances must be reflected in the calculation. Example: purchase of a motor vehicle exceeding \$25,000 that cannot be included in the cost pool for the Title IV-E administrative claim. Follow the instructions below to complete the Explanation of Revenue Adjustments form:

- Complete the text box by indicating the FY(s) for which the adjustment(s) is being made. Describe the need for the adjustment and provide detailed documentation to support the requested adjustment. Show the calculations to determine the amount of the adjustment and distribution by cost center of the total requested adjustment. The text boxes are expandable.

- Summarize the county’s requested adjustment(s) on the revenue report of the appropriate FY **Summary of Adjustment...** worksheet; i.e., **manual entry of the adjustment(s) is required** on the **Summary of Adjustment...** worksheet.
13. The **Cost Center Analysis** form automatically populates. This is a comparison of expenditures by cost center covering the Estimated Actual, Implementation Plan, and the Needs Based Plan and Budget years. The “Total Expenditures” columns of the respective years’ Expenditure Reports are brought forward to the appropriate column of this form.
14. The **CY-348s** (Fiscal Summaries) and **Budget Summary** form automatically populate with data from the appropriate expenditure and revenue reports, with the exception of Subsidized Permanent Legal Custodianship (SPLC) information on the **CY-348 that requires manual entry of SPLC data (number of children served and days of care).**

Revenue Detail (automatically adjusts and calculates through automation program)

Revenue projections are based on the ratio of revenue to the appropriate type of expenditures as exists in the YTD data entries but not to exceed existing “capped” allocations. If circumstances exist in a county that would require a revenue adjustment, those circumstances must be described so that the Department has the ability to determine how the circumstances should be reflected in the calculation. **(Reference Appendix Three for instructions on how to complete the justification for a Revenue Variance.)**

- a. The federal financial participation (FFP) rate for Title IV-E Placement Maintenance (PM) and Adoption Assistance (AA) will be 54.52 percent through September 30, 2010 and 54.81 percent October 1, 2010 through September 30, 2011. These FFP rates are **NOT** the enhanced FFP rates related to the American Recovery Reinvestment Act. The FFP rates for training and administration remain at 50 percent. The counties can assume continuation of these FFP rates until further notice.
 - b. Title XX and IV-B for FY 2011-12: Counties must budget based on their FY 2010-11 final allocation.
 - c. Temporary Assistance for Needy Families (TANF) funds for FY 2011-12: Counties must budget based on their FY 2010-11 final allocation.
 - d. Counties must not budget State Transition Grant (STG) for FY 2011-12.
 - e. The State Act 148 and county level funds will be determined by first subtracting all other source revenues from total allowable costs, and applying the appropriate, required reimbursement percentage to approved services.
15. Complete the **Legal Representation Costs for Juveniles in Dependent and Delinquent Proceedings** sheet. This form is used to report Legal representation costs for FY 2009-10 Year-to-Date Actuals *only*. (This is a breakdown of costs that are included in the Act 148 invoice and/or Needs Based Budget. Guardian ad Litem costs for dependent children are not included.) **The form is unprotected. Be careful with**

data entry so that formulas are not deleted or altered. Insert rows if additional rows are needed. The county name and submission date will automatically populate once the Fiscal Management form is completed. Enter the name of the county contact and the contact's telephone number. List each provider from which legal representation services were provided.

Provide for each service provider the following:

1. "Provider" - list the name.
2. "Rate" - or county contract rate or cost per unit of service.
3. "Define Rate" – Describe the unit on which the county contract rate is based (e.g., day, hour, session, etc.)
4. "Number of Children Served" – Show the number of units provided during the period.
5. **"Total Cost" - rate times units (column three multiplied by column five).
6. "Major Object" – indicate whether invoiced/budgeted as a Purchased Service or Operating Cost
7. "Cost Category" - list the appropriate cost.
8. "Target population" - identify the primary population to be served.

The following calculation worksheets are optional:

Maintenance of Purchased Services calculation worksheet (Optional). The "maintenance" worksheet can be used to project the cost of maintaining purchased services from the Estimated Actual Year to the Implementation Plan and from the Implementation Plan to the Needs Based Plan. The worksheet is automatically populated with both Estimated Actual and Implementation Plan purchased service expenditures by cost center. Enter a "maintenance" percentage increase in the space provided, and the form will automatically populate with the projected expenditure adjustment totals by cost center. The results may be used in an adjustment within the Access program. The worksheet is a calculation tool; therefore, calculations may be overwritten.

Calculation Worksheets (Optional). Two (unprotected) "calc worksheets" may be utilized to link with other data with the EXCEL workbook to make desired calculations for adjustment purposes. Columns may be added and formulas may be developed as needed. The worksheet may be retained in the automated workbook for future use or reference.

Fiscal Crosswalks & Checks Worksheet (Optional). The worksheet can be used as a tool for counties to self-check a number of fiscal checkpoints and crosswalks. All responses must be "Yes" or "N/A." Otherwise, correction is required prior to submission of the budget package.

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Appendix 2: Expenditure Adjustment Form – Instructions

Note: All data is to be entered into the **Budget Excel file**.

ADJUSTMENT FORM INSTRUCTIONS:

- Click on the worksheet for the appropriate fiscal year (“Summary of Adj. to Actuals” or “Summary of Adj. to Imp Base” or “Summary of Adj. to NBPB Base”). In the upper left corner of the worksheet, “click on” the button labeled “Enter Adjustments.” This will open the Access database to the Start-up Form and close the Excel file. **Important:** Wait until Excel file closes before working in Access. If you left click on the Excel program on the Windows task bar, it will close quicker.
- Select the County name by using the drop down menu.
- Select the appropriate button “Enter Adjustments to Est./Act Plan,” “Enter Adjustments for Implementation Plan,” or “Enter Adjustments to NBB Plan.” You will automatically be taken to the last record (adjustment). Go to the bottom left of the screen, “Record” section. Using the left or right arrow, click to another record (forward or back) until you get to the record of choice.
- Each adjustment must be justified separately based on an activity or particular adjustment. Examples for Estimated/Actual Year: County Indirect Expenditures are charged to the program in the fourth quarter; Vacancies will be filled in fourth quarter; or declining number of placements during the year will continue in the 4th quarter. Examples for Implementation Plan or NBPB Years: Salary Increases for Existing Staff; Increase Cost of Existing Services; or Utilization of Services; Hiring of New Staff for Adoption Unit; New Services; or Purchase of Automobile.

NOTE: Do not cut and paste to relocate an entry. Do not use the space bar to delete an entry. Use delete key if data is incorrectly or inaccurately entered.

- In the “Adjustment Title” section, give the adjustment a brief name for easier identification.
- Select the county name by using the drop down menu. The only county name that will be available to you is the county name selected on the start-up form. If no county name or an incorrect county name is available in the drop down menu, return to the start-up form to select or correct the selection.
- The “Classification” section contains a drop down to categorize the increase/decrease. Description and examples follow:

NOTE: Each adjustment may represent only one category or classification. For example, do not combine an increase/decrease for “Maintenance” with an increase/decrease in “Utilization.” However, one adjustment may include multiple major objects of expenditures and/or cost centers.

A – Annualization – Increasing/decreasing expenditures to adjust expenditures budgeted for a portion of the prior fiscal year. Examples: All of county indirect costs are

reported in the 2nd Q are overstated in Est. Actual year based on system default therefore an adjustment to decrease is needed; a new initiative implemented for six months that will require full-year funding in the next year; staffing changes that requires full-year funding in subsequent fiscal year.

E – Expansion of Existing Service/Program – Increasing expenditures to enrich a service currently provided. Example: Visitation service currently funded expanded to include a debriefing for the parents after the visitation. This does not related to serving more youth/families but rather maintaining the same level of service but providing the service in a enhanced manner to achieve outcomes.

F – Fixed Assets (if not a part of another category; e.g., fixed assets for new staff delivering a new service or program would be included in the “New Program/Service” category).

M – Maintaining Existing Service/Program – Funding request to maintain the current level of service in the following year. Staff raises or changes in the cost of benefits for existing staff, changes in unit cost or per diems of existing providers for the same services, changes in same operating costs that currently exist.

N – New Program/Service – Funding requested for a program or initiative which is not currently provided/funded or salaries/benefits/operating/fixed assets for staff that will support a new program. Examples: Funding requested for a different type of visitation program beyond what is currently provided whether or not it is a new or different provider; salaries/benefits/operating/fixed assets for an adoption unit which does not currently exist.

U – Utilization Increase/Decrease – Increase or decrease in units (days of care or children served) for a service currently purchased or provided by county staff.

Examples:

- general increase/decrease in placement days of care;
 - cost shifting (e.g., decrease in foster care due to increase in adoption or SPLC);
 - change in cost allocation (e.g., salary/benefits/operating) due to a change in time study results;
 - expenditures associated with staff complement changes to adjust caseload ratios (either a new position or filling vacant position);
 - school-based program established in additional locations;
 - program/service that is discontinued;
 - funding source changes (e.g., grant pickups (service is not new or enhanced but is now included in the NBB), etc.);
 - Changes in resources; e.g., Medical Assistance Services, IL, etc.
- In the “Description of Service” section, briefly describe service being adjusted.
 - In the “Justification Narrative” section, the county must provide the detailed information and data to support the decision to make the adjustment. The box to complete this section is expandable. Provide necessary detail to support the adjustment. For all changes in requested expenditures, the county must detail the steps taken to minimize any increase. Appropriately justify the county’s request as follows:

- The predicted goal of the strategy which must relate to an outcome that assures the safety, permanency or well-being of the children served or the Balanced and Restorative Justice principles of Accountability, Competency Development and Community Safety.
 - The level of improvement expected in the relevant measure(s) because of the requested change.
 - Evidence indicating that the strategy will succeed in achieving its intended outcome and the measurement of the outcome.
 - Detail regarding the personnel costs (wages and salaries and employee benefits), fixed asset, or purchased service changes that specifically relate to the proposed activity.
 - How and to what level the requested activity will reduce or stabilize funding.
- If number of children or units is affected by the adjustment, provide the numbers in the section provided and include the number on the expenditure report of each year. The children served and days of care do not auto-populate into the related fiscal year's expenditure report in the Excel file therefore manual input is required.
 - The "Projection of Cost" section must detail the components of the calculation that produces the total estimate of cost, and the allocation plan distributing into the appropriate cost centers. This data box is expandable; therefore, provide sufficient detail to support the request amounts. If the cost projection is based on proposed Program Funding of the service, this should also be identified.
 - **Offsets, if applicable** – If an adjustment to one cost center or major object of expenditure results in a decrease in another cost center or major object, the offset must be narrated in the "Justification Narrative" section and the expenditures must be a part of the calculation in the "Projection of Cost" section. If other adjustments are needed that affect those cost centers or major objects, they must be separately presented in another adjustment. **(Example:** Three children will be adopted. The foster care cost center (purchased services) will be reduced and the adoption assistance cost center (subsidies) will increase. A separate adjustment must be done if foster care placement increases are anticipated.)
 - The "Cost Center Adjustments" section is a breakdown of the total dollar amount for this particular adjustment by major object within each cost center affected. Use the drop down menu to select a cost center.
 - "Totals for Adjustment" is a total of all cost centers listed in above. To update this section, go to the bottom left of the screen, "Record" section. Using the left or right arrow, click to another record (forward or back) and then return to the record being created. This will update the grand total for all cost centers in the adjustment.
 - When completed with processing the adjustment(s), close the window (not the program) by clicking on the small black **x** in the upper right of the screen. Do not click on the large black **X** in the upper right corner because that will close the program, not the window.

- The Start-Up Form reopens. At the bottom of the screen, click on the button “Return to Excel” which closes the Access database and opens the Excel File to “Summary of Adjust. to Actuals” worksheet.
- In the upper left corner of the worksheet, click on the macro button labeled “Refresh Data” which totals all adjustments and summarizes by major objects within each cost center to the worksheet.
- Input the children served and days of care into the appropriate cost centers based on the Adjustments that have been entered for that fiscal year.
- Click on the “Print” button (upper left corner of the worksheet) to print the Excel summary worksheet.
- Revenue must be projected at the same ratio to appropriate expenditures as exist in the actual revenue report. If additional revenue adjustments are needed, the county must provide on separate documentation form, “Adjustments to Revenues” (form available in the Excel file), justifying the revenue adjustments and displaying the calculations made to determine the dollar amount. (Reference Appendix 1 for instructions.)
- All “Adjustments to Revenues” for the actual year must be summarized on the “Adjustments to Actual Revenues” worksheet.
- All Expenditure and Revenue Adjustments will be reviewed by the regional program and fiscal staff for need and reasonableness.
- To delete an adjustment, place arrow and click on “Edit”, then click on “Delete Record.” When prompted to confirm, click on “Yes.”
- To print all adjustments, click on box on the summary of adjustment (Excel) worksheets. To print an individual adjustment record, click on the box at the bottom of the form to print that one record. Another print option is to click on “File” (which is located at the top of adjustment form screen). Then select “All” to print all adjustments or “Selected Record” to print the adjustment that is currently open.

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Appendix 3: CY919 Instructions

Note: All data is to be entered into the **Budget Excel file**.

INSTRUCTIONS FOR COMPLETING THE PERMANENCY SERVICES WORKSHEET (CY919)

INTRODUCTION

The Permanency Services Worksheet provides a detailed picture of the county children and youth agency's (CCYA) total projection for permanency services, projected units and projected costs. **The form is completed for FY 2011-12 only.** These services may be COUNTY PROVIDED SERVICES (Column 1), COUNTY PURCHASED SERVICES (Column 2) from a licensed adoption service provider, or requested from the SWAN PRIME CONTRACTOR (Column 3). **However, counties are expected to provide their permanency services directly or via the SWAN Prime Contract.** Private contracts for specialized adoption services that cannot be provided by the county and/or are outside of the scope of the SWAN prime contract must be approved by the appropriate regional office.

The worksheet, which is included in the budget form workbook, must be completed. Each county will receive a funding allocation for SWAN services. The allocation amount will be mailed to county administrators by May 15th.

PURPOSE

To aggregate planned permanency services and associated costs that are provided by the county, private contractors, or are referred to the SWAN prime contractor.

GENERAL INFORMATION

Unit costs for permanency services have been established in OCYF Bulletin #3350-03-01, Statewide Adoption Network (SWAN) Policies and Procedures. The unit costs listed below are the amounts that the SWAN Prime Contractor will pay affiliate agencies.

Adoption Services	Unit Cost
Child Profile	\$2,000
Child Preparation	\$2,000
Child Specific Recruitment	\$3,000
Placement	\$4,000
Finalization	\$3,500
Family Profile	\$2,500

Post-Permanency Services (3):

Advocate for Post-Permanency	\$500 per month for a maximum of 6 months
Support Group	\$250 per quarter per family
Respite	\$300 per month per family

SERVICE CATEGORY DEFINITIONS

CASE MANAGEMENT

Coordination of all adoption service activities and final case decisions made by the CCYA that has legal custody and responsibility for children in care. A “Unit” of Case Management is an unduplicated child receiving services. Do not include case management costs for Subsidized Permanent Legal Custodianship or Kinship Care. **The case management costs for these services must be shown in the cost center where staff services for services are shown.** The total units must agree with the number of “Children Served (County Staff)” in Line 1-A, (Adoption Services) of the “County’s NBPB Expenditures”. This service is not available from the SWAN Prime Contractor.

SWAN Services:

CHILD PROFILE

The child population served includes children in the legal custody of county agencies who are in out of home placement, regardless of their placement setting or court-ordered permanency goal, including children who have a court-ordered goal of reunification, adoption, placement with a permanent legal custodian, placement with a fit and willing relative or another planned permanent living arrangement. A child profile is a review and assessment of the child’s life to assist in identifying a permanent family, to identify strengths and risk factors, and to maintain a history for the child. Topics to be addressed in the child profile are contained in the OCYF Bulletin #3350-03-01 on page 16 and in Attachment B.

CHILD PREPARATION

The child population served includes children in the legal custody of county agencies who are in out of home placement, regardless of their placement setting or court-ordered permanency goal, including children who have a court-ordered goal of reunification, adoption, placement with a permanent legal custodian, placement with a fit and willing relative or another planned permanent living arrangement. This service is described in OCYF Bulletin #3350-03-01 on page 18 and in Attachment E. This unit involves the development and implementation of the written child preparation plan for the planning and preparation of the child for permanent placement.

CHILD-SPECIFIC RECRUITMENT

The child population served includes children in the legal custody of county agencies who are in out of home placement, regardless of their placement setting or court-ordered permanency goal, including children who have a court-ordered goal of reunification, adoption, placement with a permanent legal custodian, placement with a fit and willing relative or another planned permanent living arrangement. Child-specific recruitment includes all activities used to identify an individual or family who is interested in adopting or providing permanency to a specific child. This person or persons whose qualifications match the service needs of the child are identified through specialized activities.

However, when the county agency has been unable to identify a permanent family using local resources, registration with the Pennsylvania Adoption Exchange and other contacts, the agency may make a referral to the SWAN Prime Contractor requesting child-specific recruitment services which are described in OCYF Bulletin #3350-03-01 on page 24 and in Attachment I.

CHILD PLACEMENT

This unit applies to adoption cases and is also used for legal-risk families (see the definition in OCYF Bulletin #3350-03-01, page 5). This unit is NOT available in cases where the family is adopting a child placed in their home for foster care (foster/adopt cases). This service involves the implementation of the plan for placement and the family selection by the county agency.

ADOPTION FINALIZATION

This unit applies only to adoption and foster/adopt cases. This service includes all services provided to the child, the adopting family and the county agency with custody of the child leading to the issuance of a decree of adoption by the court. These services are described in OCYF Bulletin #3350-03-01 on page 22 and in Attachment H.

POST-PERMANENCY SERVICES (3 types)

These three services are now available to children and youth in county custody and/or children and youth who have a goal of adoption, placed with a permanent legal custodian, or placed permanently with a fit and willing relative as well as those children and youth in need of post-permanency services.

These services may take many forms depending on the needs of the permanent family following finalization. Families may access these services directly from the SWAN Prime Contractor or the county. Because these services are family driven, funding for services is not allocated to county agencies through SWAN, nor are services provided deducted from county allocations. These services are described in OCYF Bulletin #3350-03-01 on page 26.

Available services are limited to the annual allocated funding amount. Once the funding amount is expended, no additional services will be accepted until the following state fiscal year. SWAN is not intended to be the sole provider of post-permanency or post-adoption services, but rather another option by which families could find such services.

Advocate for Post-Permanency Services

This service is a management function performed by an affiliate agency to ensure that families access services to meet the needs that may occur after permanency has been achieved. An affiliate agency may invoice the prime contractor for authorized services at \$500 per month for a maximum of six months.

Support Group

This service encourages structured group meetings of eligible families to occur on a regular basis. An affiliate agency may invoice the prime contractor for authorized services at \$250 per quarter per family.

Respite

This service provides permanent families with planned periods of respite in order that parents are able to maintain a consistent level of parenting and enhance permanency in families. Families may receive a maximum of 48 hours of this service per month. Families will work through an affiliate agency to arrange this service at a maximum of \$300 per month per family.

FAMILY PROFILE

The family profile includes families interested in providing permanency for children identified in the “Child Population Served” on page 6 of the CYF Bulletin #3350-03-01 and who are approved in accordance with Attachment F. These services are also available to all permanent families that now include kinship, permanent legal custodianship and adoption. This extensive process is described in OCYF Bulletin # 3350-03-01 on page 13 and in Attachment F, and is used by a licensed adoption agency to determine the suitability of a prospective individual or family’s qualifications to parent a specific child based on the child’s individual needs.

COLUMN INSTRUCTIONS

COLUMNS 1 AND 2

For each service, enter the projected number of units to be provided as COUNTY PROVIDED SERVICES (Column 1) or as COUNTY PURCHASED SERVICES (Column 2). Complete the Total Cost for each unit in each column which **MUST** agree with the Total Expenditures on line 1-A, Adoptive Services, of the “County’s NBPB Expenditures”. Services provided directly by the county may include personnel and appropriate operating expenditures. Counties are expected to provide their permanency services directly or via the SWAN Prime Contract. Private contracts for specialized adoption services that cannot be provided by the county and/or are outside the scope of the SWAN prime contract must be approved by the appropriate regional office. **The totals of Columns 1 and 2 are totally separate from the SWAN units in Column 3 of this worksheet.**

COLUMN 3

For each appropriate service, enter the number of units of service that the CCYA projects to request from the SWAN PRIME CONTRACTOR based upon the amount of funds allocated for SWAN services. These units may not be duplicated in the projected units and costs in Columns 1 and 2.

Enter the number of each SWAN Direct Service in the Units Column. The sum for the Total cost of each unit of service will automatically populate.

SWAN Post-Permanency services are not included on the CY 919 but county agencies must fill out columns 1 and 2 on the CY 919 for any Post-Permanency Services that are county provided or county purchased. Funds for SWAN Post-Permanency Services are not allocated directly to counties, nor are such funds deducted from a county’s allocation as families self-refer for services.

SWAN units are totally separate from county provided or purchased services that are presented in Columns 1 and 2 of the form. They are NOT included in the “County’s NBPB Expenditures” Worksheet.

TOTALS

The sum of the Total Cost Column under COUNTY PROVIDED SERVICES, the sum of the Total Cost Column under COUNTY PURCHASED SERVICES, and the sum of the Total Cost Column under SWAN Prime Contractor Services will automatically populate.

SWAN Legal Services Initiative/Adoption Legal Services Project

Each county must enter the number of positions they currently have funded through the SWAN Legal Services Initiative (or Adoption Legal Services Project) into the box under the area titled Number Of SWAN Paralegals in FY 2010-2011 and the number of paralegals they are requesting for FY 2011-2012 into the box under the area titled Number Of SWAN Paralegals Requested for FY 2011-2012. The only information requested here is the number of positions. There is no cost for the county to report or request. If CCYA has a part time or half time paralegal, they should enter the number of position as .25, .50, etc.

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Appendix 4: Information Technology

This appendix includes information on Information Technology costs for FY 2011-12 and instructions for completing the Information Technology Grant Fund Summary and Information Technology Invoice Forms for FY 2010-11, including revisions to budget.

INFORMATION TECHNOLOGY COSTS FY 2011-12

I. Information Technology Costs

County Children and Youth Agencies (CCYAs) must provide documentation of all anticipated Information Technology Costs for FY 2011-12. This documentation will be reviewed to ensure compliance with federal and state regulations. All costs will be considered in terms of how they align with the goals of the Statewide Child Welfare Information System Strategic Plan (Statewide Plan) and for compliance with federal and state statutes and regulations. Costs submitted on the Information Technology Schedules in the Budget Excel file should be supported by the county's technology plan and responses to the questions in the Information Technology section of the Narrative Template.

II. Federal Financial Participation (FFP)

When planning for IT costs, counties must consider whether those costs are eligible for Federal Financial Participation (FFP). FFP eligible costs are those that have received prior approval through the county IT Grant and meet the federal requirements at (45 CFR 95 Subparts F and G) and outlined in multiple Department of Health and Human Services (DHHS), Administration for Children and Families (ACF) Action Transmittals and Information Memorandums, which can be found at <http://www.acf.hhs.gov/programs/cb/systems/sacwis/federal.htm>.

Counties must identify any IT costs that are not eligible for FFP and report those costs separately from the costs that are eligible for FFP. Examples of IT costs not eligible for FFP are those associated with new development and/or contracted costs that have not received prior approval from ACF or are proprietary.

Anticipated contracts for IT related purchases which exceed \$1 million for sole source acquisitions or exceed \$5 million for competitive bid acquisitions must have individual prior approval from the ACF in order to be eligible for FFP.

III. Contract Language

IMPORTANT: FEDERAL PARTICIPATION IS PROHIBITED FOR PROPRIETARY APPLICATIONS SOFTWARE DEVELOPED SPECIFICALLY FOR CCYAs (45 CFR 95.617).

In addition, the Commonwealth will not participate in funding for IT development of new software or modifications of existing software unless the county and Commonwealth retain ownership of the software code.

Software and Ownership Rights

If a CCYA is using federal or Commonwealth funds for the development of new software or for modifications of software, the CCYA must include a clause in its contracts and procurement instruments that reads as follows: “The Contractor hereby grants to the Commonwealth of Pennsylvania and the Federal Government a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use and to authorize others to use for State and Federal Government purposes software or modifications thereof and associated documentation designed, developed or installed with Federal financial participation, except in the case that the software purchase is of proprietary operating/vendor software packages (e.g., ADABAS or TOTAL) which are provided at established catalog or market prices and sold or leased to the general public.”

County Children and Youth Agencies (CCYAs) should ensure that the vendor acknowledges county ownership of data and that the vendor must return data on demand in a non-proprietary format.

County contracts with a vendor must be terminable at the county’s discretion.

IV. Definitions and Information Technology Allowable Costs

This document has been updated to reflect all applicable costs that are allowable. Please pay close attention to definitions and the level of detail that is required.

The Information Technology Schedule on which counties submit their ITG request has been divided into two separate schedules in order to differentiate between IT costs that are eligible for FFP and IT costs that are not eligible for FFP. Counties should report all FFP costs on the Schedule labeled FFP Costs and any NON-FFP costs on the Schedule labeled NON-FFP Costs. The Total NON-FFP Costs will appear on both Schedules and the Grand Total Costs (FFP and NON-FFP) will appear on the FFP Costs Schedule.

Counties will only be reimbursed for the purchase of IT equipment that is in compliance with Commonwealth standards. A list of DPW Hardware and Software Configuration and Cost Standards is included in this document.

Counties must include documentation to justify purchases which exceed the Commonwealth standard prices.

Justification for sole source contracts must be included in the request. Individual IT related costs over \$100,000 must be explained and justified in writing.

Definitions:

Development costs are defined by Health and Human Services Administration (HHS) as “the definition of system requirements, detailing of system and program specifications, programming and testing.” Those tasks, which are included in the original creation and implementation of a new software application or distinct area of functionality, will be deemed as “development costs”. “IT Development” expenditures will be reimbursable on a case-by-case basis and upon prior approval by the Department. Requests for “IT Development” expenditures must include the following documentation in order to be considered for reimbursement:

- Business Need;
- High Level Requirements;

- Project Cost Proposal, and
- Cost/Benefit Analysis that demonstrates new development provides a better return on investment than adoption of an already existing system or component.

Operations are defined as “the automated processing of data used in the administration of State plans for titles I, IV-A, IV-B, IV-D, IV-E, X, XIV, XVI (AABD), XIX, and XXI of the Social Security Act. Operation includes the use of supplies, software, hardware, and personnel directly associated with the functioning of the mechanized system.” Operational costs will be reimbursable as described below.

Application Maintenance costs are defined by three general categories to ensure continuity of operations. Those categories include:

- **Corrective Maintenance**, which includes all tasks necessary for defect correction for existing functionality;
- **Mandatory Maintenance**, which includes alterations to support changing business or technical environments due to new mandates; and
- **Preventative Maintenance**, which includes the restructuring and/or rewriting of code for immediate ease of maintenance and/or improved security and stability.

Allowable Costs:

A. Hardware – Single purchases of \$5,000 and over must be depreciated following current Commonwealth practices. Hardware costs over the \$5,000 threshold should only appear as a Depreciable Hardware Column Line Item on the Information Technology Schedule.

1. **Personal Computers (PC’s), Laptops, Tablets** (*“PCs” will be used in this document to discuss all the above listed categories of personal computing devices*) - CCYAs may purchase/lease one type of PC per user. The numbers of users are determined by the number of casework, supervisory, administrative, and clerical staff listed in the CCYAs latest Needs-Based Plan and Budget. CCYAs may replace broken computers and/or provide computers for new workers when no existing office computers are available. The expectation is that PCs will not need to be replaced until, a minimum of, four years of use; documentation must identify the replacement timeline for those being requested. The cost of PCs must fall within Commonwealth standards and must be justified within the criteria identified in regards to age and usage. PCs, whether purchased or leased should include a maintenance package. PC packages that are purchased at a higher price than the Commonwealth low-end standard configuration must clearly identify the details to justify the higher cost. All requests must include the following documentation in the comments section of the IT Schedule: make, model, length of maintenance package (if applicable) and a list of software included (if applicable).
2. **File Servers** – Purchases under \$5,000 must be clearly identified and justification provided for replacement of all outdated servers over five years old or for the provision of additional space or functionality for the software programs that support CCYA operations. All requests must include the following documentation in the additional comments section of the IT Schedule: make, model, type (application, print or file) and length of maintenance package (if applicable). File servers purchased with a cost of \$5,000.00 and over must be depreciated following current

Commonwealth practices and entered on the Depreciable Hardware Column Line Item.

3. **Printers** – Counties may purchase one (1) printer per group of users. A typical number of users per group would be five (5) to ten (10) staff per printer. The cost per printer should include at least a one-year equipment warranty period. Replacement of printers is permitted after five years of use, whether the printer is networked (shared by multiple users), along with documentation to identify the additional staff that will be supported or the printer to be replaced. Printers must be listed with basic information, such as make, model, and type, number of staff to be supported and length of maintenance package (if applicable). All requests for stand-alone/portable printers require additional justification to support the need.
4. **Other Hardware** – CCYAs will use this line item to include requests for routers, switches, battery back ups, scanners, etc. Additional information such as number of items, cost per item and make and model for purchases if applicable must be included in the additional comments section of the IT Schedule.
5. **Depreciable Hardware** – Hardware with an individual cost of \$5,000 or over must be entered on this line item of the IT Schedule. Enter only the amount of depreciation for each item. Additional information must specify type of hardware, make, model, year of purchase and depreciation year (i.e. 1st, 2nd, 3rd, etc). If information has been entered on this line item, completion of the Equipment Depreciation Form is required.

B. Software

1. **Server Operating System** – The file server operating system is listed separately due to the available multi-user-pricing schemes. Additional information must include a complete list of the software being purchased, number of copies/licenses being purchased, cost per user/or license and length of licensing agreement if applicable.
2. **PC Application Software** – The CCYA may purchase single-user application software, such as Microsoft Office 2007, that operates directly from an individual PC. CCYAs may spend up to \$550 per PC for PC application software at the time the PC is purchased and will be figured in the cost of individual purchases if identified. Provide a complete list of the software being purchased, number of copies for each software title, cost per copy and whether this software will be loaded on a newly purchased PC. Renewal of anti-virus/security software should be included under the Other Operating Cost line item.
3. **Software Hosting** – Counties may request reimbursement for the purchase of software hosting based on the following:
 - Counties approved in prior budget years may continue to request reimbursement for hosting services.
 - Counties not approved in prior budget years may request approval and reimbursement for software hosting services for FY 2011-12.
 - All counties requesting reimbursement for software hosting services must meet the requirements of Section III, Contract Language of these instructions.

Counties must identify the name of the software, vendor's name, address and phone number and the number of users that will be supported. A copy of the current contract or, if no contract is yet in place, a copy of the unsigned anticipated contract must be included with the request.

C. Communications

1. **Network Wiring** – The costs to purchase and install wiring to connect IT equipment to the CCYAs local area network is allowable. Additional information must include justification to support the cost (i.e. new employees, new building, upgrade, etc.), the type of connection and number of users.
2. **Connections to Wide Area Network** – Charges to install connections to the state networks and the periodic charges for these connections. Additional information must include type of connection, vendor's name, address and phone number and whether the charges are to support new or existing connections to the state's network.

D. Consultants

Counties may charge the cost of technical consultants needed to maintain their current IT operating system. Based on the cost per system user for CCYAs operating an existing child welfare information system, counties may budget and spend up to \$500 per system user for consultant costs. Any costs requested above this figure must be clearly identified and detailed justification provided in regards to existing contracts with vendors or pricing associated with maintenance in allowable categories identified above. The State does understand the need to support counties in their provision of local services and is only focusing specifically on disallowing funding for new development efforts that do not align with the goals of the Strategic Plan. *Development and production of reports from existing applications may be charged as costs if they provide information to be used in more efficient and effective programmatic and fiscal management.* CCYAs must provide the name, address and cost per user or hour for consultants. All in-house county IT costs should be listed under the county staff cost line item. Additional information must include per user or hourly cost.

Counties must clearly identify costs for new development versus system maintenance for correction of application defects and software upgrades for performance and or security needs. Please ensure that you include the necessary justification for new development in the Information Technology Section of the Narrative Template. If there is additional documentation, that will support the business need, please upload this documentation via MOVEit DMZ, at the time of your Needs Based submission using the following naming convention: NBB00_11-12_Name of document.

Example for Adams County: NBB01_11-12_IT Justification.doc

E. Maintenance of Equipment

New equipment usually comes with a one-, two-, or three-year warranty. Service can be either on-site or off-site. We suggest that all new equipment be purchased with at least a one-year, preferably, a three-year, maintenance contract. CCYAs can budget for ongoing equipment maintenance on this line item when the new equipment maintenance

contract expires. CCYAs can also identify PC package maintenance costs beyond the warranty on this line item. A guideline of current rates is close to \$15/PC per month, \$35/server per month and \$20/laser printer per month. All costs in this category must be identified in regards to the equipment being maintained and if it is beyond the PC package warranty maintenance cost at the original purchase and include additional justification if necessary to support need. Additional information needed: Name, address and phone number of the maintenance vendor, length of contract, cost per unit and number of units, and additional justification when cost is above the amount per user.

F. County Staff Costs

CCYAs may budget the cost of salaries, wages, and benefits for county technical staff needed to maintain and operate the county's existing IT system or for the adoption of an approved sustainable case management system. The costs of IT related employee travel includes allowance for meals, lodging and other related expenses such as parking fees and tolls as well as travel related to participation in statewide information system planning, testing, change management and implementation. Federal and State participation will adhere to prevailing County practice but will, in no case exceed the rates paid by the Commonwealth for its employees. Additional information needed: The number of staff, the amount of time spent on the project, cost per staff member, number of users supported and what is being maintained.

G. Other Costs

1. Training - CCYAs may budget the cost for associated with user training on information systems or for training county technical staff that maintain and operate the county IT system.

2. Miscellaneous Operating Costs - costs associated with the purchase of consumable supplies such as computer disks, printer cartridges and costs for consultants and/or technical expertise that are necessary for the set up of PCs and technical equipment for the ongoing operation of the current CCYA's IT system.

H. Total FFP Costs – the total of A through G on the FFP Costs Schedule.

I. Total NON-FFP Costs – the total of A through G on the NON-FFP Costs Schedule.

TOTAL FFP and NON-FFP Costs – the total of H and I (located on the FFP Costs Schedule).

V. Requirements for Inventory of Hardware

Recipient property management standards (45 CFR 74.34 (F)) clarify the information that must be provided for equipment acquired with federal funds and must include all of the following for equipment currently in the CCYA possession:

- description of the equipment;
- serial number, model, federal stock number or other identification number;
- source of the equipment;
- whether title vests in the recipient or the federal government;

- acquisition date and cost;
- location and condition of the equipment; and
- unit acquisition cost.

CCYAs are being asked to complete a Fixed Asset Inventory, in which most of the above listed information will be collected. CCYAs must review the information requested above and be aware that they may be required to provide such information in future documentation.

Questions concerning IT forms need to be addressed to Ms. Susan Stockwell, (717) 772-6902.

**Hardware and Software Configuration and Cost Standards
February 2010**

I. Standard Desktop Configuration

DPW Standard Desktop		
Material Description	Configuration	Price
Base Unit:	OptiPlex 780 Minitower, Intel Pentium Dual Core E5300, Virtualization Technology (VT) (2.60GHz, 2M, 800MHz FSB)	
Memory:	2GB DDR3 Non-ECC SDRAM, 1066MHz, (2 DIMM)	
Keyboard:	Dell Multimedia Pro Keyboard with Detachable Palmrest	
Monitor:	Dell 23 Inch E2310H Widescreen Flat Panel	
Video Card:	Integrated Video, Intel Graphics Media Accelerator (GMA) 4500	
Hard Drive:	160GB SATA 3.0Gb/s and 8MB DataBurst Cache	
Floppy Disk Drive:	No Floppy Drive with Filler Panel	
Operating System:	Windows XP Professional SP3 with Windows 7 Professional License	
Mouse:	Dell USB 2-Button Optical Mouse with Scroll	
NIC:	Integrated Intel 82567LM Ethernet LAN (10/100/1000)	
Systems Management:	Intel Standard Manageability, Hardware Enabled	
Optical Drive:	16X DVD+/-RW SATA Drive	
Sound Card:	Integrated	
Speakers:	Internal Chassis Speaker	
Documentation:	Resource DVD contains Diagnostics and Drivers	
Manufacturer's Warranty Terms:	Basic Support: Next Business Day Parts and Labor Onsite Response 4 Years and Dell Hardware Limited Warranty Plus Onsite Service 4 Years	
		\$611.00

II. High-End Desktop Configuration

DPW High-End Desktop		
Material Description	Configuration	Price
Base Unit:	OptiPlex 960 Minitower, Intel Core 2 Duo E8400 with VT (3.0GHz, 6M, 1333 MHz FSB)	
Memory:	2GB DDR2 Non-ECC SDRAM, 800MHz, (2 DIMM)	
Keyboard:	Dell Multimedia Pro Keyboard with Palmrest	
Monitor:	Dell 23 Inch E2310H Widescreen Flat Panel	
Graphics Card:	Integrated Video, Intel GMA 4500	
Hard Drive:	160GB SATA 3.0Gb/s and 8MB DataBurst Cache	
Floppy Disk Drive:	No Floppy Drive	
Operating System:	Windows XP Professional SP3 with Windows 7 Professional License	
Mouse:	Dell USB 2 Button Optical Mouse with Scroll	
Systems Management :	vPro Secure Advanced Hardware Enabled	
Optical Drive:	16X DVD+/-RW SATA Drive	
Speakers:	Internal Chassis Speaker	
Documentation:	Resource DVD contains Diagnostics and Drivers	
Manufacturer's Warranty Terms:	Basic Support: Next Business Day Parts and Labor Onsite Response 4 Years and Dell Hardware Limited Warranty Plus Onsite Service 4 Years	
		\$736.00

III. Standard Notebook Configuration

DPW Standard Notebook		
Material Description	Configuration	Price
Base Unit:	Latitude E5400, Intel Core 2 Duo P8700 with VT (2.53GHz, 3M L2 Cache, 1066MHz FSB) Dual Core	
Display:	14.1 inch Wide Screen WXGA LCD Panel	
Memory:	2.0GB, DDR2-800 SDRAM, 2 DIMMs	
Keyboard:	Internal English Keyboard	
Graphics Card:	Intel Integrated Mobile GMA 4500MHD	
Hard Drive:	160GB Hard Drive, 9.5MM, 5400RPM	
Mouse:	Single pointing touchpad	
Floppy Disk Drive:	No Floppy Drive	
Operating System:	Windows XP Professional SP3 with Windows 7 Professional License	
AC Adapter:	90W A/C Adapter	
Optical Drive:	8X DVD+/-RW Drive	
LAN:	Dell Wireless LAN 1510 (802.11a/b/g/n) MiniCard	
Battery:	6-Cell/54-WHr Battery	
Modem:	Internal 56K Modem	
Documentation:	Resource DVD contains Diagnostics and Drivers	
Manufacturer's Warranty Terms:	Basic Support: Next Business Day Parts and Labor Onsite Response 4 Years and Dell Hardware Limited Warranty Plus Onsite Service 4 Years	
		\$730.00

IV. High-End Notebook Configuration

DPW High-End Notebook		
Material Description	Configuration	Price
Base Unit:	Latitude E6500, Intel Core 2 Duo P8700 with VT (2.53GHz, 3M L2 Cache, 1066MHz FSB) Dual Core	
Display:	15.4 inch Wide Screen WXGA LED Display	
Memory:	2.0GB, DDR2-800 SDRAM, 2 DIMMs	
Keyboard:	Internal English Keyboard	
Graphics Card:	256MB NVIDIA Quadro NVS 160M	
Hard Drive:	160GB Hard Drive, 7200RPM (Free Fall Sensor)	
Mouse:	Standard Touchpad	
Operating System:	Windows XP Professional SP3 with Windows 7 Professional License	
Floppy Drive:	No Floppy Drive	
AC Adapter:	90W A/C Adapter	
Optical Drive:	8X DVD+/-RW Drive	
LAN:	Dell Wireless LAN 1510 (802.11a/b/g/n) MiniCard	
Documentation:	Resource DVD with Diagnostics and Drivers	
Modem:	Internal 56K Modem	
Battery:	9-Cell/85-WHr Battery	
Feature:	Microphone without web cam	
Manufacturer's Warranty Terms:	Basic Support: Next Business Day Parts and Labor Onsite Response 4 Years and Dell Hardware Limited Warranty Plus Onsite Service 4 Years	
		\$940.00

V. Tablet Configuration

Dell Tablet		
Material Description	Configuration	Price
Base Unit:	Latitude XT2, Intel Core 2 Duo SU9600 with VT (1.60GHz, 800MHz FSB, 3M L2 Cache)	
Display:	12.1" WXGA (1280 x 800 resolution) LED backlit thin-and-light	
Memory:	2.0GB DDR3 SDRAM, (1GB Integrated) 2 DIMMs	
Keyboard:	Internal English Keyboard	
Graphics Card:	Intel Integrated Mobile GMA 4500MHD	
Hard Drive:	120GB hard drive, 5400RPM (Free Fall Sensor)	
Mouse:	No Mouse	
Operating System:	Windows XP Tablet with Windows 7 Professional License	
Floppy Drive:	No Floppy Drive	
AC Adapter:	65W AC Adapter	
Optical Drive:	E-Module with 8X DVD Drive	
LAN:	Dell Wireless LAN 1397 (802.11b/g) MiniCard	
Documentation:	Resource DVD and Quick Reference Guide	
Battery:	6-Cell/42 WHr Battery	
Modem:	External USB Modem	
Manufacturer's Warranty Terms:	Basic Support: Next Business Day Parts and Labor Onsite Response 4 Years and Dell Hardware Limited Warranty Plus Onsite Service 4 Years	
		\$1,685.00

VI. Servers

Servers		
	Low-End*	High-End*
File/Print	\$9,171.00	\$13,024.00
Web	\$11,347.00	\$14,133.00
Database	\$20,406.00	\$28,631.00
Note* Prices vary considerably and are approximate ranges for the various server categories.		

VII. Printers

Printers		
	Low-End*	High-end*
Network	\$445.00	\$1,750.00
Small Networked Multi-Function Device (MFD)	\$1,857.00	\$3,867.00
Large Networked MFD**	\$6,585.12	\$18,680.64
<p>Note* Prices vary considerably and are approximate ranges for the various printer categories.</p> <p>**Prices represent the total to lease the MFD for 48 months because the Commonwealth's Large MFD contract does not have the option to purchase the unit. The contract only gives agencies the ability to lease Large MFDs for a 48 month timeframe.</p>		

VIII. Software – MS Office

Software	
Microsoft Office – Standard	\$240.36 (+ \$27 for media)
Microsoft Office – Professional	\$312.48 (+ \$27 for media)

IX. Networking Equipment

Networking Equipment	
Router	\$4,200.00
Switches	\$2,400.00

X. Standard Equipment Maintenance Prices

DPW Maintenance Price			
EQUIPMENT CATEGORY	Next Business Day (NBD) Monthly Service Rate Per Unit 24 Hour Solution Time (ST) Principal Period of Maintenance (PPM) 12 Hrs X 6 Day	Mission Critical (MC) Monthly Service Rate Per Unit 4 Hour Solution Time (ST) Principal Period of Maintenance (PPM) 24 Hrs X 7 Day	Bulletin Guideline
Braille Embosser	\$17.72		
Cluster Controller	\$ 4.22		
Digitizer	\$1.40		
Diskless Workstation	\$3.14		
External Drive – Floppy	\$0.71		
External Drive – Hard	\$0.71		
External Drive – Optical	\$0.71		
External Tape Drive	\$0.71		
Graphics Tablet	\$1.40		
Interface Controller	\$0.42		
Jukebox	\$25.14		
Lan Data Storage – CD ROM	\$0.77		
Lan Data Storage – RAID	\$14.14		
Lan Data Storage – Serial System	\$9.48		
Lan Repeater/Converter	\$1.23		
Lan Router	\$7.26		
Lan Switch	\$1.64		
Lan Wiring Hub	\$3.50		
Laptop Docking Station	\$2.00		
Laptop/Notebook/Portable	\$4.47		
Mid Range Server	\$14.22		
Modem	\$0.27		
Monitor - CRT	\$0.23		
Monitor - LCD larger than 22"	\$11.19		
Monitor - LCD up to and	\$1.17		

including 22"			
PC - Desktop/Tower	\$1.26		
Plotter – Desktop	\$5.34		
Plotter – Floor Model	\$5.34		
Printer – Daisy/Rotary	\$1.32		
Printer – Dot Matrix	\$1.32		
Printer – Inkjet	\$1.36		
Printer – Laser	\$2.54		
Printer – Multifunction	\$2.36		
Printer – Specialized	\$1.86		
Printer – Thermal	\$1.64		
Scanner – Bar Code	\$0.46		
Scanner – OMR	\$1.86		
Telesensory Equipment	\$16.85		
Terminal	\$1.85		
Terminal – POS	\$9.10		
UPS (1-1500 Watts)	\$1.91		
UPS (1501 – 6000 Watts)	\$3.57		

INSTRUCTIONS/FORMS FOR COMPLETING INFORMATION TECHNOLOGY GRANT FUND SUMMARY AND INFORMATION TECHNOLOGY INVOICE FORMS FY 10-11

Program Change/Reduction within the Information Technology Grant (ITG)

County Children and Youth Agencies (CCYAs) may use the Budget Revision Request (BRR) process to move funds from one category to another within the ITG. The **BRR may not exceed the total allocation for the Fiscal Year (FY) 10-11** and must be accompanied by detailed justification for the proposed changes. Due to the various categories within the ITG, the justification must address the following:

- Explain why the change is requested. What are the deciding factors to move from one category to another? Is the change because of funds available; better understanding and match of program's information technology needs?
- Explain the cost per unit/item for the original request and the increase or decrease to the desired line item.

The Information and Data Management Unit will receive the BRR, confer with the Regional Office, and make recommendations to the Deputy Secretary for the Office of Children, Youth and Families (OCYF) who will approve or deny the BRR.

General Instructions for all Fiscal Forms:

- Complete all required information on the form (including signatures).
- Type all amounts, including cents for all information technology invoice forms, whole dollars for budget forms.
- Double-check all calculations.
- OCYF approved budget column must match your most recent approved budget.
- Enter total amount for each line item listed (0 if no funds allocated or spent).
- Enter the total for each Category (Hardware, Software, Communications, Consultants, Maintenance of Equipment County Staff and Other Operating Costs).

Due Dates:

Information Technology Invoices – Invoices must be submitted within 45 days of the end of each fiscal quarter. (i.e. First Quarter Report for July, August and September is due November 15th). The FY 2010-11 ITG Invoice will be sent under separate cover.

Budget Revisions – Budget Revisions and Budget Revision Requests may be completed for the current FY any time between July 1 and May 15th. *No Budget Revisions will be accepted after May 15.*

Assets:

Recipient property management standards (45 CFR 74.34 (F)) clarify the information that must be provided for equipment acquired with federal funds and must include all of the following for equipment currently in the CCYA possession:

- description of the equipment;
- serial number, model, federal stock number or other identification number;
- source of the equipment;
- whether title vests in the recipient or the federal government;
- acquisition date and cost;

- location and condition of the equipment; and
- unit acquisition cost.

CCYAs are being asked to complete a Fixed Asset Inventory located in the current year's Needs Based Plan and Budget. CCYAs must review the information requested above and be aware that they may be required to provide such information in future documentation.

Audit:

The CCYAs shall maintain a record of grant expenditures until audited by the Auditor General or five years, whichever occurs first, unless the fiscal agent is requested to retain the records for a longer period. A county must include these grant program expenditures as part of the county's audit.

Each Information Technology Grant Fund Summary report must contain the following data:

- County;
- Invoice Number;
- Name and telephone number of a fiscal contact person;
- Whether or not this is the Original or a Revised Submission;
- Date Submitted;
- County Federal I.D. number;
- SAP Vendor Code; and
- Reporting Quarter.

Definition of Line Items and Column headings

Information Technology Grant Fund Summary

This document should be submitted for all IT costs for which the county is seeking reimbursement. IT costs eligible for Federal Financial Participation (FFP) must be reported separately from costs that are not eligible for FFP. Prior to entering your information in this form Counties should be cost allocating across benefiting programs. Counties could potentially have different cost allocation plans based on the type of system that they are using and whether it is already cost allocated at the time of submission of this request or at the time of invoice.

FFP Quarterly Expenditure (column A) – insert the grand total for the expenditures being reported for the current report period found on Line H of the Information Technology Invoice form.

IT Title IV-E (column B) – self calculating once the Statewide RMTS ITG results and County RMTS Penetrations Rate (Q and R) are entered.

IT Medicaid (column C) – self calculating once the Statewide RMTS-MEDITG results is entered.

State/Local Base (column D) – self calculating:

- Column A - B & C.

State (column E) – self calculating:

- Column D times 60%.

Local (column F) – self calculating:

- Column D times 40%.

Total Payment – self calculating:

- Column B + Column C + Column E.

NON-FFP Quarterly Expenditure (column P) – insert the grand total for the expenditures being reported for the current report period found on Line I of the Information Technology Invoice form.

State (column Q) – self calculating:

- Column P times 60%.

Local (column R) – self calculating:

- Column P times 40%.

Total Payment – self calculating:

- Equals Column Q.

Grand Total Payment - self calculating:

Column B + Column C + Column E + Column Q

Information Technology Invoice Form

Lines A through G should only include costs that are eligible for Federal Financial Participation (FFP). These costs are then totaled in Line H. If a county is reporting NON-FFP costs in Line I, the county should submit a separate Invoice Form listing the NON-FFP costs in the appropriate Lines A-G. The county should provide a footnote explaining why those costs are not eligible for FFP.

Hardware (Line A): computer equipment and peripherals: the equipment and devices that make up a computer system as opposed to the programs used on it.

Single purchases of \$5,000 and over must be depreciated following current Commonwealth practices. Hardware costs over the \$5,000 threshold should only appear as a Depreciable Hardware Column Line Item.

Personal Computers (PC's), Laptops, Tablets ("PCs" will be used in this document to discuss all the above listed categories of personal computing devices) – costs associated with the purchase/lease of one type of PC per user. The expectation is that PCs will not need to be replaced until, a minimum of, four years of use; documentation must identify the replacement timeline for those being requested. The cost of PCs must fall within Commonwealth standards and must be justified within the criteria identified in regards to age and usage. PCs, whether purchased or leased should include a maintenance package. PC packages that are purchased at a higher price than the Commonwealth low-end standard configuration must clearly identify the details to justify the higher cost.

File Servers – costs associated with purchases of file servers under \$5,000 must be clearly identified and justification provided for replacement of all outdated servers over five years old or for the provision of additional space or functionality for the software programs that support CCYA operations. File servers purchased with a cost of \$5,000.00 and over must be depreciated following current Commonwealth practices and entered on the Depreciable Hardware Column Line Item.

Printers – costs associated with the purchase of one (1) printer per group of users. A typical number of users per group would be five (5) to ten (10) staff per printer. The cost per printer should include at least a one-year equipment warranty period. Replacement of printers is permitted after five years of use. All requests for stand-alone printers require additional justification to support the need.

Other Hardware – costs associated with the purchase of items such as Routers, Switches, Battery Back Ups, Scanners, etc.

Depreciable Hardware – costs associated with the purchase of hardware with an individual cost of \$5,000 or over. Enter only the amount of depreciation for each item. CCYAs will be required to attach the Equipment Depreciation Form.

Sub-total Hardware – sum of all hardware categories.

Software (Line B): is a general term for the various kinds of programs used to operate computers and related devices.

IMPORTANT: FEDERAL PARTICIPATION IS PROHIBITED FOR PROPRIETARY APPLICATIONS SOFTWARE DEVELOPED SPECIFICALLY FOR CCYAs (45 CFR 95.617).

In addition, the Commonwealth will not participate in funding for IT development of new software or modifications of existing software unless the county and Commonwealth retain ownership of the software code.

Software and Ownership Rights

If a CCYA is using federal or Commonwealth funds for the development of new software or for modifications of software, the CCYA must include a clause in its contracts and procurement instruments that reads as follows: “The Contractor hereby grants to the Commonwealth of Pennsylvania and the Federal Government a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use and to authorize others to use for State and Federal Government purposes software or modifications thereof and associated documentation designed, developed or installed with Federal financial participation, except in the case that the software purchase is of proprietary operating/vendor software packages (e.g., ADABAS or TOTAL) which are provided at established catalog or market prices and sold or leased to the general public.”

County Children and Youth Agencies (CCYAs) should ensure that the vendor acknowledges county ownership of data and that the vendor must return data on demand in a non-proprietary format.

County contracts with a vendor must be terminable at the county’s discretion.

Server Operating – costs associated with the purchase of software that resides in a server and provides services to multiple users on the network. The file server operating system is listed separately due to the available multi-user-pricing options. Additional information must include a complete list of the software being purchased, number of copies/licenses being purchased, cost per user/or license and length of licensing agreement if applicable.

PC Application Software – costs associated with the purchase of program or group of programs designed for the end user. The CCYA may purchase single-user application software, such as Microsoft Office 2007, that operates directly from an individual PC. CCYAs may spend up to \$550 per PC for PC application software at the time the PC is purchased.

Software Hosting – costs associated with the outsourcing of some or all of the enterprise-application software from service-providers who may also provide training, backup, and upgrade services. Counties must provide cost and service information for possible reimbursement. CCYAs not currently in a hosting agreement must have prior approval of such contract before requesting reimbursement.

Sub-total software – sum of all software categories.

Communications (Line C) : the process of conveying information from a sender to a receiver with the use of a medium in which the communicated information is understood the same way by both sender and receiver.

Network Wiring - costs associated with the purchase and installation of wiring used to connect IT equipment to the CCYAs local area network.

Connections to Wide Area Network – costs associated with the installation of connections to the state networks and the periodic charges for these connections.

Sub-total Communications – sum of all communication categories.

Consultants (Line D): cost of technical consultants needed to maintain CCYAs IT system. Based on the cost per system user for CCYAs operating an existing child welfare information system, counties may budget and spend up to \$500 per system user for consultant costs. Any costs requested above this figure must be clearly identified and detailed justification provided in regards to existing contracts with vendors or pricing associated with this maintenance. Development and production of reports from existing applications may be charged as costs if they provide information to be used in more efficient and effective programmatic and fiscal management. Consultant costs must be identified as maintenance and operation costs or as development costs. New development costs must be explained and justified.

Maintenance and Operations – consultant costs associated with operations and maintenance of existing IT systems.

Development - consultant costs associated with ongoing or new development of IT systems or functionality.

Management reports – consultant costs associated with the maintenance or development of management reports.

Maintenance of Equipment (Line E): costs associated with ongoing equipment maintenance when the new equipment maintenance contract expires. CCYAs can also identify PC package maintenance cost beyond the warranty on this line item. All costs in this category must be identified in regards to the equipment being maintained.

County Staff Costs Line F): costs for county technical staff needed to maintain and operate the county's IT system. Costs may include salaries, wages and benefits. The costs of IT related employee travel includes allowance for meals, lodging and other related expenses such as parking fees and tolls as long as the travel is related to participation in statewide information system planning, testing, change management and implementation. Federal and State participation will adhere to prevailing County practice but will, in no case; exceed the rates paid by the Commonwealth for its employees.

Other Costs (Line G):

Training – costs associated with user training on information systems or for training county technical staff that maintain and operate the county IT system.

Miscellaneous Operating Costs - costs associated with the purchase of consumable supplies such as computer disks, printer cartridges and costs for consultants and/or technical expertise that are necessary for the set up of PCs and technical equipment for the ongoing operation of the current CCYA's IT system.

Total FFP Costs (Line H): enter the total of Lines A through G.

Total NON-FFP Costs (Line I): enter the total IT costs that are not eligible for FFP. If costs are entered into this line, the county should submit a separate Invoice Form listing the NON-FFP costs in the appropriate Lines A-G. The county should provide a footnote explaining why those costs are not eligible for FFP.

Grand Total: enter the total of Lines H and I.

OCYF Approved Budget – the amount of the state share for the current approved budget.

Expenditures for Reporting Period - Enter the amounts expended for the reporting quarter.

Year to Date – this column tracks a cumulative total of expenditures. It should represent the reporting quarter and any prior quarters within the FY.

Budget Balance – this column tracks the remaining funds available for use.

Category Expenditure Justification Detail Form - record notations on purchases/expenditures for each of the major categories.

Reports must be submitted within 45 days of the end of each fiscal quarter.

- First Quarter: November 15
- Second Quarter: February 15
- Third Quarter: May 15
- Fourth Quarter: August 15

An original and a copy of the quarterly expenditure form must be submitted within 45 days following the quarter in which the expenditures occurred to:

Send original to:

Information and Data Management Unit
Department of Public Welfare
Office of Children, Youth and Families
Bureau of Policy and Program Development
P.O. Box 2675
Harrisburg, Pennsylvania 17105-2675

Budget Revisions/Budget Revision Requests - ALL FY 2010-11 BUDGET REVISIONS AND BUDGET REVISION REQUESTS ARE DUE BY MAY 15th, 2011 – NO EXCEPTIONS.

A Budget Revision must be submitted, including justification, for the reallocation of funds among approved line items. The revision only needs to be submitted if the cost exceeds 10% of the original approved line item within a budget category (i.e. within the hardware category moving funds from PC to laptop).

A budget revision does require prior DPW approval. Upon receipt of a budget revision, DPW will forward an approval letter indicating the effective date of the budget revision. Budget Revision's for FY 2010-11 must be received no later than May 15, 2011.

The total grant amount may not be exceeded.

A Budget Revision Request form must be submitted with justification if you are making any changes to your approved budget, consistent with the following guidelines:

- Prior OCYF approval is needed to reallocate funds between budget categories (Hardware, Software, Communications, Consultants, Maintenance of Equipment, County Staff and Other Operating Costs). No new cost categories can be created; OR
- Prior OCYF approval is needed if the approved number of Desktop or Laptop personal computers is being increased.
- Prior OCYF approval is needed to reallocate funds among any line items within a budget category in excess of 10% of that Category Subtotal. (i.e. if you submit a budget revision for a 5% change in January and then another budget revision for 6% in February. The total change from the original amount is 11% therefore the request for February would have to be a budget revision request).
- Prior OCYF approval is needed to reallocate funds from maintenance and operations to development within the Consultants category.

To obtain prior approval of budget revisions, please submit a revised budget on the Information Technology Invoice and submit a detailed justification for the change(s) on the Category Expenditure Justification Detail form. Please mark this clearly as a Budget Revision Request # 1, 2, 3, etc. and submit it to:

Information and Data Management Unit
Office of Children, Youth and Families
Bureau of Policy and Program Development
P.O. Box 2675
Harrisburg, Pennsylvania 17105-2675

Requests to move funds between line items within a category amounting to 10% or less than the Category Subtotal do not need prior approval but should be reflected on Information Technology Invoice and an explanation of the change reported on the Category Expenditure Justification Detail when the invoice is submitted.

DPW approval is required prior to the implementation of this revised budget. The DPW approval letter will indicate the effective date of the budget revision request. Budget Revision Request's for FY 2010-11 must be received no later than May 15, 2011.

The total grant amount may not be exceeded.

Simply stated, a budget revision must be submitted to DPW for any changes to the approved budget. If the budget reallocates funds among budget categories, adds any line items, or is in excess of 10% of the original line item amount, then prior approval from DPW is required.

Note: DPW OCYF will only accept current budget forms. The format must remain the same and it must be single-sided.

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Appendix 5: CFSR Outcomes and Continuous Quality Improvement

Pennsylvania participated in the second round of the Child and Family Services Review (CFSR) with the on-site review which occurred July 28 - August 1, 2008. With the development of the two-year Program Improvement Plan (PIP), it is crucial that all counties familiarize themselves with the federal outcome measures and national standards since it is those measures that will reflect Pennsylvania's performance in achieving safety, permanency and well-being.

Overall findings from the round two CFSR indicate the following areas needing improvement:

- Youth and family engagement throughout the life of the case (including engagement of non-custodial parent);
- Timely permanence (including implementation of concurrent planning and action);
- Assessments needed to identify and to resolve underlying issues as opposed to concentration only on resultant actions/inactions;
- Transition planning and preparing youth for adulthood; and
- Enhancing the quality of practice.

Counties must assess their performance in these areas to determine if these areas need improvement within their county. Counties must describe efforts that have previously been initiated which they believe have had a positive impact on these areas, as well as any new initiatives to improve in these areas.

While these statewide areas needing improvement have been identified, it is critical that each County assess their own areas of strength and areas needing improvement. The establishment of a Continuous Quality Improvement (CQI) process at the local level will be the primary vehicle to drive change in Pennsylvania. This approach is grounded in Pennsylvania's child welfare values and principles of inclusion and engagement. By supporting a process that is locally driven, it utilizes the strength of the local community within each county to define its vision and outcomes, assess its current state, to develop and implement a plan to achieve identified outcomes and to monitor progress through quantitative and qualitative means according to specific needs. Pennsylvania is committed to formalizing the connections between the five phases of quality improvement: Define, Assessment, Planning, Implementation, and Monitoring.

The locally driven assessment will be an inclusive process, recognizing that the achievement of positive outcomes will only be realized when the full resources of a community are garnered. The assessment process will lead into the planning process which will also be an inclusive one cumulating in the completion of each county's NBPB. The counties will be developing their own improvement plan based on the mutually identified needs. The counties will be supported during the implementation of their plan through a coordinated effort of all those providing technical assistance to the counties. The monitoring process will be driven by both internal and external quality reviews. As the CQI process will be implemented through a phased-in approach, it is critical that you consider enhancing or developing a CQI process as Pennsylvania is moving in this direction.

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Appendix 6: Independent Living Services Grant, FY 2011-12

PURPOSE: The purpose of these instructions is to transmit guidelines for the preparation and submission of FY 2011-12 Independent Living Services (ILS) grant requests from County Children and Youth Agencies (CCYA) for funding of Independent Living (IL) services, as defined in this Appendix. These instructions also require the preparation and submission of FY 2010-11 Intermediate Object (10-11 IL CY814 Bdgt), Implementation Year Budget Change Request (10-11 IL Change), and Implementation Budget by Source of Funds (10-11 IL CY815 Bdgt).

These instructions serve as the sole means to request funding for the provision of IL services in FY 2011-12 for adolescents in substitute care as well as youth who have discharged from foster care up to age 21.

All youth may be eligible for the full array of services in this grant using a combination of CFCIP, state and local funds.

BACKGROUND: All youth (dependent, delinquent, shared case) in foster care should be provided IL services designed to assist them in preparing for employment, education and successful management of adult responsibilities.

Pennsylvania's purpose for providing IL services to youth in care and those who have exited care is to make every effort possible to reduce or eliminate the instances of homelessness, poverty and delinquent or criminal behavior.

The intent of these services is to increase employability, high school graduation rates, enrollment in post-secondary or vocational institutions and to support the successful transition from youth to adulthood. The design and delivery of services to this population must be responsive to the individualized needs and goals of youth in transition.

DISCUSSION: The ILS grant is a combination of funding including CFCIP, state and local funds. A local match of 15 percent is required for the state funds awarded. CCYA are not required to match federal funds awarded.

Placement maintenance costs for children placed in IL residential programs and foster family care will continue to be requested through the Needs Based Plan and Budget and not as part of this grant.

County allocations of CFCIP funds will be revised based on the request for services, the availability of funds and may be related to AFCARS data. All counties requesting funding for IL Services from July 1, 2011 – June 30, 2012 must submit an application as outlined in these instructions.

NEW ADDITIONS OR UPDATES: The following items are added or updated in these instructions and will assist counties in completing the Narrative Template.

- Fostering Connections requirement for a transition plan is included in Direct Services, A. Needs Assessment/Case Planning.
- G. Housing is renamed to G. Location of Housing to reduce confusion and conflict with other services and initiatives.
- J. Indirect Services and K. Program Administration are revised and condensed.

- The request to designate an IL Services Coordinator for each CCYA is added and explained.
- Payment Provisions have been adjusted.
- Brief information about the National Youth In Transition Database reporting requirements is included.

**ILS Grant Guidelines and Components
Youth Eligibility Requirements**

CFCIP Eligibility – IL services are provided to youth involved with CCYA utilizing a combination of federal CFCIP funds, state and local funds. CCYA can provide IL services to many subgroups of youth who are under age 21, including youth who are under age 16¹, youth who are returned home or placed with relatives, and any delinquent youth. State and local funds may be used to pay for IL services for youth excluded from CFCIP eligibility.

The following table identifies youth who may receive IL services and their eligibility for CFCIP funds. In general a youth must be younger than 21 years old at the beginning of the state fiscal year and:

YOUTH STATUS and ELIGIBILITY	CFCIP Funds	State/Local Funds
Be in, or have been in, out-of-home placement on or after age 16*, including youth adopted or entering permanent legal custodianship arrangements after age 16 and:	✓	✓
Have been adjudicated dependent; or	✓	✓
Have been dually adjudicated dependent and delinquent; or	✓	✓
Have been adjudicated delinquent with shared case responsibility between the CCYA and the Juvenile Probation Office (JPO); or	✓	✓
Have been adjudicated delinquent only; or		✓
Is a pre-adoptive and adoptive youth; or	✓	✓
Is a qualified alien child; or	✓	✓
Is an undocumented alien child or alien child legally admitted on a temporary basis for work, study or pleasure; or		✓
Is a youth with special needs; or	✓	✓
Is a non-CFCIP youth with special needs; or		✓
Is a youth not in, or never in, out-of-home care.		✓

*CCYA may provide IL services to youth under 16 with an approved request to OCYF.

Out-of-County/State Foster Care Youth – Youth who are placed out-of-county/state must be provided IL services. The provision of these services is the responsibility of the CCYA to whom the youth is committed. The sending CCYA can directly provide or arrange for the provision of these services by the receiving county/state agency or private provider, but the responsibility ultimately falls on the sending CCYA.

1

Out-of-County/State Former Foster Care Youth – Youth formerly in the child welfare system remain eligible for IL services up to age 21 through the county/state in which the youth now resides.

Aftercare Services – The Foster Care Independence Act of 1999 (FICA) requires states and their CCYAs to make aftercare services available to youth formerly in foster care. **The availability of aftercare services is mandatory.** Aftercare services are defined as IL services available to any youth who exited substitute care on or after his or her 16th birthday and prior to his or her 21st birthday. Aftercare services may include the full range of services available to IL participants, including any service areas addressed in the assessment, counseling and/or stipends; however, if the youth entered an adoptive or PLC situation before turning age 16, he or she would not be eligible for any stipends. The aftercare services provided to an individual youth must be described in the youth’s IL/CPP.

CCYA and private providers of service must maintain, within the youth’s case record, documentation that Aftercare Services have been offered to all eligible youth. The aftercare services policy must include a statement signed by the youth indicating they are aware of the availability of aftercare services, in which they may participate after discharge and until they reach their 21st birthday. All youth eligible to receive IL services should be presented with Aftercare Services information and availability at the onset of services. Youth must also be informed of this service prior to their discharge from agency care. In cases in which youth, age 16 or older, are being adopted or entering into PLC, it is recommended that the caregiver also sign a statement acknowledging that IL services are available to the youth up until age 21.

Room and Board Eligibility – CFCIP funds are limited to “**children who have left foster care because they have attained age 18 years of age, and who have not attained 21 years of age**” (Section 477(b)(3)(B) of the Social Security Act).

IL Room and Board services are fundable through information in this Appendix and the OCYF Special Grant Housing Initiative with State and local funds only. CCYA may use allocated and available Housing Initiative funds for CFCIP eligible youth after CFCIP funds have been exhausted. The following table illustrates the appropriate funding sources by youth status and eligibility.

YOUTH STATUS and ELIGIBILITY	CFCIP	OCYF Housing Initiative
Exited agency care on or after age 18, but less than 21	✓	optional
Exited agency care after age 16, but before age 18	NA	✓
Exited agency care prior to age 16	NA	✓

CCYA should request and budget sufficient federal, state and local funds to make available room and board funding and programming which can help to prevent homelessness of youth who exited, or may not remain in agency care.

IL Grant Activities – The following are the minimum services that CCYA must provide to receive grant funds:

- Assessment;

- Service Planning;
- Service Delivery; and
- Transition Planning.

Direct Services – Direct services are activities conducted on behalf of a youth to achieve the goals and objectives established in the written description of services listed in the Child’s Permanency Plan (CPP).

All youth should be actively engaged in the assessment of their strengths and needs, the development of the IL/CPP and the delivery of IL services.

The following direct services may be included but are not limited to:

A. Needs Assessment/Case Planning

Individualized assessment of the strengths and needs of eligible youth and the development of a written description of services to be provided which is based on that specific assessment. The use of the needs assessment and the development of a written description of services in the ILP/CPP that targets the specific IL services to meet a youth's needs is a critical first step in ensuring a youth's successful transition to independence.

Fostering Connections and OCYF policy require that the Transition Plan be reviewed by the court. During the 90-day period immediately prior to the date the child will discharge from the child welfare system at age 18 or older, the CCYA must **“provide the child with assistance and support in developing a Transition Plan that is personalized at the direction of the child, includes specific options on housing, health insurance, education, local opportunities for mentors and continuing support services, and work force supports and employment services, and is as detailed as the child may elect”** (42 U.S.C. § 675(5)(H)). Ensuring that an up-to-date CPP, IL plan and Transition Plan are in the youth’s case record will help the CCYA meet this requirement.

B. Life Skills Training

Programs and services designed to teach the necessary skills to assist youth to effectively function as a self-sustaining member of society. These programs and services may include, but are not limited to, individual and group classes on:

- locating and using needed community resources (police, clergy, lawyer, insurance, dentist, banker);
- utilizing community socialization activities (churches, recreational activities, parks, concerts, etc.);
- obtaining personal identification;
- obtaining a driver’s license;
- time management;
- human sexuality;
- money management (budgeting/banking);
- work attitudes, including worker responsibilities and proper dress habits;
- transportation;
- consumer/shopping skills;
- health care, including physical and behavioral health care;
- locating housing;
- insurance (auto, health, etc.);
- nutrition; and

- obtaining and maintaining a residence, including locating residence, negotiating a lease, home management skills (i.e. food preparation, laundry, cleaning, living cooperatively, basic maintenance, etc.).

Youth often successfully complete IL services and are discharged into some type of IL status, only to experience serious difficulties. These problems are frequently caused by a lack of “soft skills” and the ability to cope when addressing crises in their lives. The inability to resolve conflict, negotiate, and problem solve in society can result in youth regressing after obtaining success in their lives. Soft skills are defined as those intangible skills needed to deal with personal issues, which include, but are not limited to:

- decision making
- self-esteem
- negotiation skills
- impulse control
- assertiveness
- peer interactions
- conflict resolution
- coping strategies
- managing stress
- anger management
- problem solving
- communication skills

C. Prevention Services

Prevention activities and skills – Activities in this area of service may include:

- instruction to increase routine health and dental care;
- education to reduce the instances of drug, alcohol or tobacco use; and
- education and instruction to prevent teenage pregnancy and knowledge of safe sex practices.

D. Education

Education and vocational training services; these services include, but are not limited to:

- Vocational;
- High School Support and Retention;
- GED;
- Assistance in Obtaining Higher Education; and
- Education and Training Grant Provision and Retention

All youth in the Commonwealth have the right to receive an education to receive a high school diploma up to 21 years of age even if the youth has withdrawn from high school in the past. In addition to traditional educational programs being available to these students, non-traditional options may also be available.

E. Support Services

Supportive services made available to youth include, but are not limited to:

Individual and/or Group Counseling which may be offered but not limited to:

- career planning (aptitude, interest, etc.);
- life planning/decisions;
- employment (relationships with co-workers, supervisors, stress, etc.);
- educational issues (relating to peers and teachers, discipline issues, tardiness);
- emotional/therapeutic concerns; and
- State Wide Adoption and Permanency Network (SWAN) units of service:
 - Child Profile
 - Child Preparation

- Child Specific Recruitment

Do not report costs associated SWAN units of service within this grant.

Stipends

A stipend is a sum of money given to a youth. A youth may receive a stipend as an incentive for program participation and/or completion. Stipends may also be provided based on need for specific purposes such as security or utility deposits, tools, uniforms for work or school, and clothing for job interviews.

When stipends for youth are a part of an CCYA's IL services, the CCYA must have written policy and procedures addressing the administration of stipends including, but not limited to addressing the following:

- conditions for earning or awarded based upon need;
- amounts that may be earned or awarded based upon need;
- payment procedures;
- conditions that would result in a stipend being withheld; and
- other specific eligibility criteria for stipends.

The stipend policy must be explained to the youth. Each youth shall sign a statement that the policy has been presented to him or her verbally and in writing prior to receiving a stipend. Staff who explained the policy to the youth must also sign the statement. This policy and signed statement must be maintained in the youth's record.

All CCYA and private providers must maintain documentation of any stipend made within the youth's case record. This documentation acknowledges that the youth has received a specific amount of funds from the IL program. This document must include the youth's signature, purpose of stipend, the amount of the stipend and date of payment. A copy of the purchase receipt must be kept with the signed acknowledgement statement for those payments made for a specific purpose (i.e. deposits, uniforms, etc.).

Services for Teen Parents

As part of the life skills training, the IL service should include the appropriate connections within the community for the youth to access infant services and supports. These services may include the Women, Infants and Children (WIC) supplemental food program for baby formula, agencies that provide car seats and baby furniture, parenting classes, etc. Activities that promote and assist teen parents and their children in making the transition successfully from foster care to adulthood should be utilized.

Mentoring

Studies have shown that mentored youth with positive permanent connections that can continue beyond age 21 were less likely to engage in drug or alcohol use, resort to violence or drop out of school. Mentored youth reportedly are more likely to improve their grades and their relationships with others.

- Mentoring and other permanent connections that can continue beyond age 21;
- Peer mentoring (i.e. former foster youth mentoring current foster youth)

F. Employment

Programs and services related to employment include, but are not limited to:

Job Placement

Job placement services that may be offered, but are not limited to:

- use of job placement services;
- arranging interviews;
- resume writing;
- job follow-up activities;
- practice interviews; and
- application/search assistance.

A youth's employment success is more likely to occur in placement settings that encourage and support the youth in all aspects of employment. For youth likely to remain in care until age 18, careful planning is necessary and should begin as early as possible. This includes the appropriate placement setting and geographic location. Youth formerly in substitute care often lack many supports. For these youth, it may be necessary for IL staff to provide additional supports and follow-up in conjunction with referrals to agencies responsible for employment.

Subsidized Employment

The CCYA's ability to interact and be linked with other agencies to provide subsidized employment services is essential. Subsidized employment services can be used for full time, part-time, summer and temporary job types. Subsidized employment services include, but are not limited to summer employment, agency operated only and tax credits.

G. Location of Housing

These IL services are intended to educate and assist youth to understand all housing issues and aid in location and securing of housing prior to discharge as well as assist former foster youth to locate safe and adequate housing.

Do not request Placement Costs within this grant.

Ways that youth can be assisted in locating permanent housing, but not limited to:

- referral to public housing agency;
- interview preparation;
- application assistance;
- accompany on inspection; and
- use local realtors as a housing resource.

Placement maintenance costs incurred by CCYA for the provision of Supervised IL placements for dependent or delinquent youth must be requested through the Needs Based Plan and Budget. Placement maintenance costs are not housing costs as defined in this application. Identifiable IL service costs not a part of the placement maintenance costs of these specialized placements may be funded through these instructions.

H. Room and Board

Pennsylvania defines Chafee eligible Room and Board as financial support for those youth who have aged out or are emancipated from substitute care on or after age 18 up to age 21. This support includes payments or reimbursements for shelter, food, rent, security deposits, utilities, furniture, household items and other start up expenses that may be incurred in the youth's living situation.

For FY 2011-12, CCYA are instructed to request funds for Room and Board only for Chafee eligible youth through information in this Appendix. CCYA are strongly encouraged to request state funds through the Housing Initiative to meet the needs of youth ineligible for Chafee Room and Board services.

Each CCYA that chooses to provide Room and Board services must design its own Room and Board policy within the state definition listed above and create a contract designed specifically for each individual youth. County IL program participation in the Room and Board service is optional, but highly recommended by ACF and OCYF.

I. Retreats and Camps

Retreats and Camps are activities designed to improve the youth's self-esteem and self-confidence; e.g. local or statewide retreats, youth conferences, Youth Advisory Board (YAB) events, leadership forums and workshops. These activities should promote the development of IL skills and the provision of IL services.

J. Indirect Services

Indirect Services are costs and activities that include the proportional share of administrative overhead costs, such as the cost of county clerical and fiscal staff that can be charged to the program and allocated on the basis of a sound allocation plan. Other allowable activities conducted to support an IL program may include, but are not limited to, the following:

- Training of staff, foster parents, adoptive parents and other residential child care providers to understand the IL grant program and their roles as directed by the agency;
- Community outreach and education efforts designed to stimulate support for housing, employment, education and other opportunities for youth leaving care;
- Interagency coordination to support IL activities and services at the local level such as an interagency steering committee and any interagency cooperative agreements; and
- System change efforts.

K. Program administration

Costs that can be directly attributed to the delivery and administration of IL Services include, but are not limited to, the following:

- Staff providing direct services and their managers (those costs not reported in other IL Service areas);
- Program reporting costs;
- Equipment, training materials, supplies, postage, facility expenses; and
- IL and Youth Advisory Board related travel.

IL Services Coordinator

CCYA must designate and identify an IL Services Coordinator who will be responsible to ensure that the agency, staff, courts and contracted providers meet the requirements of the IL Services Grant and the National Youth In Transition Database (NYTD). The IL Services Coordinator may have other tasks and responsibilities in addition to this role. The IL Services Coordinator will serve in the capacities to include, but not be limited to, the following:

- Serving as contact person for OCYF and it's training, support and technical assistance provider;
- Serving as primary contact for the agency to provide internal and external training, support and assistance;

- Cooperating with OCYF in a timely manner to assist with youth eligibility determinations for the ETG program, as necessary;
- Coordinating with OCYF and its contracted NYTD provider to meet the requirements for the NYTD data collection and submissions; and
- Having knowledge of, and participating in, the CCYA development and implementation of the IL Services Grant.

TECHNICAL ASSISTANCE/MONITORING

The Independent Living Project of the CWTP at the University of Pittsburgh has the responsibility to monitor the implementation of the IL program and provide technical assistance to IL programs as needed. This responsibility includes onsite visits to review IL programs and reporting. Site visits include a review of program records and interviews with the CCYA director, fiscal staff, IL coordinator, private provider and program participants.

A report containing the findings and recommendations from the visit is prepared and submitted to the county. CCYA that participate in the IL grant program are required, as a condition of the grant, to cooperate with the CWTP IL Project staff. CCYA are encouraged to contact project staff to answer any questions about completing the grant application, to discuss program ideas and/or to arrange for a technical assistance visit.

CCYA that participate in the IL grant program are strongly encouraged to have staff, private provider and program participants attend the SWAN/IL quarterly and statewide meetings.

PURCHASE OF ASSETS

An asset is **any specific item with a purchase cost of \$500 or more AND a useful life of more than one year**. Please provide written justification on the purchase of any equipment or vehicles for the project and **receive approval from DPW PRIOR to making the purchase**.

The information must include:

- a description of each item and the number of items to be purchased;
- the cost of each item;
- the intended use of each item;
- each item's purpose in relationship to grant goals and activities;
- a description of who will use the item; and
- a budget revision request or indication that the original budget included this purchase.

This information must be maintained in a separate IL Purchase of Assets file and be readily available for review by the CWTP IL Project Staff. Purchase requests should be submitted to the state IL Program Manager by fax at 717-214-3784, email at dderbes@state.pa.us or by mailing the request to:

PA Department of Public Welfare
Office of Children, Youth and Families
Division of Programs
P.O. Box 2675
Harrisburg, Pennsylvania 17105

FISCAL REPORTING AND PAYMENTS

CCYA are required to submit quarterly fiscal reports to DPW. Reports are due within 45 days of the end of each fiscal quarter and must be submitted on forms provided by DPW. Fiscal reports must show all expenditures for the Federal, state, and local funds, including interest income and

program expenditures. Expenditures must be shown by intermediate Object cost category (CY-814) and by source of reimbursement (CY-815).

Electronic forms are available from DPW upon request. Expenditure reports should be submitted to the state IL Program Manager by fax at 717-214-3784, email at dderbes@state.pa.us or by mailing the request to:

PA Department of Public Welfare
Office of Children, Youth and Families
Division of Programs
P.O. Box 2675
Harrisburg, PA 17105

Any interest earned on IL grant monies must be shown on the Expenditure by Source of Reimbursement form (CY-815) and should identify where these funds were expended. The amount of interest reported must be the full amount earned during the program year. The amount actually earned could be different than the full amount budgeted. This issue will be a subject for review in future State audits of the IL program. Failure to report interest could result in audit adjustments.

Payments

OCYF will make payments to CCYA's who complete timely fiscal reports and whose current year spending warrants payment according to the following schedule:

- 25% of the grant award in July
- 25% of the grant award in October
- 12.5% of the grant award in January, contingent upon receipt of the 1st quarter expenditure report.
- 12.5% of the grant award in April, contingent upon receipt of the 2nd quarter expenditure report.
- 12.5% of the grant award in June, contingent upon receipt of the 3rd quarter expenditure report.
- Up to 12.5% or balance due of the grant award upon receipt of final quarterly report, not to exceed the approved amount.

RECORD OF EXPENDITURE/AUDIT

The fiscal agent shall maintain a record of IL grant expenditures until audited by the federal government or for five years, whichever is later, unless the fiscal agent is requested to retain the records for a longer period. CCYA must include these grant program expenditures as part of the county's single audit. These program grant expenditures must be addressed in the audit as a related but distinct part of the CCYA program.

PROGRAM REPORTING

Youth Reporting Forms for PILOTS must be submitted to CWTP IL Project for each youth receiving IL services under the CCYA supervision at the time services are initiated; upon service completion; 90 days after completion; and at the time of discharge from placement. Aftercare reports must be submitted for each youth at the time of entry into aftercare, upon completion of aftercare, and 90 days after completion of aftercare. All CCYA and their contractual providers are required to participate in the electronic submission of this data in the PILOTS. All forms, instructions and technical assistance related to program reporting are provided by the CWTP IL Project staff.

NATIONAL YOUTH IN TRANSITION DATABASE REPORTING

Beginning October 1, 2010, OCYF will comply with NYTD requirements to collect and report information for all youth in agency care who are between age 17 and 17 and 45 days, within that time frame (baseline population) regardless of their receipt of IL services. OCYF will not collect NYTD information on IL services provided for any youth in agency care (served population) until a later date. Specific guidance will be distributed by OCYF prior to October 1, 2010 to provide detailed instructions regarding the following agency responsibilities:

- identification of youth expected to turn age 17;
- enrollment of youth via an internet-based process;
- minimal data input; and
- informing youth of their login information and instructions, and monitor their online submission.

Costs associated with NYTD reporting should be reported as an administrative cost of federal CFCIP funds. OCYF anticipates minimal financial impact as this can be implemented with existing staff resources. Upon full implementation of NYTD reporting compliance, OCYF anticipates the discontinuance of the PILOTS data collection and submission.

COUNTY PROGRAM CHANGES

CCYA with an approved application may alter or revise the provision of services, activities or programming with approval from DPW. CCYA may implement changes as long as the changes meet the guidelines and requirements of these instructions are consistent with the goals and requirements of CFCIP. CCYA must provide a written request to Christine Tirendi and include a budget revision, if deemed necessary, to DPW within 30 days following the implementation of the revision.

ILS GRANT APPLICATION

- **See the Narrative Template for the grant application.** The application must be included as part of the NBPB Narrative Template Submission.

Content

CCYA application must contain the following completed forms and information to receive approval:

- ❑ A: Independent Living Services Program Descriptions (included in the Narrative Template). Please see the following pages for instructions on completing those descriptions and the matching Excel sheet.
- ❑ B: Budget Forms (see instructions on following pages for completing these forms)
 - FY 2010-11 Intermediate object (10-11 IL CY814 Bdgt);
 - Implementation Year Budget Change Request (10-11 IL Change); and
 - Implementation Budget by Source of Funds (10-11IL CY815 Bdgt).
 - FY 2011-12 IL Grant Request
- ❑ C: Limited English Proficiency (LEP) Policy
 - The application includes the required submission of all policies regarding the CCYA responsibility to assure that all persons with LEP have meaningful access to the programs administered by the CCYA or related contractors.

Approval of Applications

OCYF staff will present their findings and recommendations to the Deputy Secretary for Children, Youth and Families, who will make the final decision on approval or disapproval of applications. Each CCYA will be notified in writing of approval or disapproval of its application. If the application is disapproved, the notification will identify the specific reason(s) for disapproval.

Note: If you have any questions about completion or submission of your proposal, please contact David Derbes, State IL Program Coordinator, at (717) 705-2911 or Wendy Unger, CWTP IL Project Coordinator, at (717) 795-9048.

INDEPENDENT LIVING GRANT REQUEST FORM INSTRUCTIONS

The **IL Grant Request** worksheet in the Budget Excel workbook is to be completed by counties and will assist in completing the Narrative Template for the IL Grant request.

➤ **See the IL Grant Request form in the Budget Excel file.**

In the Budget Excel workbook, for each IL service area column (Life Skills Training, Prevention, etc.) that the CCYA expects to provide services or supports to youth, enter all projected costs for that IL service area. The total for all services is calculated based on entries for the IL service areas A. through K in the Narrative Template.

➤ **Use these totals to complete the fund tables in the Narrative Template.**

CCYA are also required to project the number of youth expected to receive IL services A. through I. for youth in substitute care, delinquent youth and those discharged from substitute care until age 21. The unduplicated count of youth in care and discharge represents the projected total of youth receiving any IL service. Do not add columns A. through K. to obtain this count.

➤ **Report the total for each applicable IL Program Description in the Narrative Template.**

CY 814 Budget FORM INSTRUCTIONS

The Expenditure by Intermediate Object form (CY-814) is a two page form that shows cumulative grant expenditures by object of expenditure. Each of the lettered columns corresponds to one of the services on the Independent Living Services Grant Request. Except for the RMTS columns, there should be an entry on the CY-814 for each budgeted service. The CY-814 may be computer generated as long as all information contained on the CY-814 form is also contained on the computer generated form.

SUBMISSION - The CY-814 must be submitted within 45 days of the end of each fiscal quarter. Send an original of the report to:

PA Department of Public Welfare
Office of Children, Youth and Families
Division of Programs
P.O. Box 2675
Harrisburg, Pennsylvania 17105

COUNTY - Enter the county name.

REPORT PERIOD - Show the last day of the quarter for which the report is being submitted.

OBJECTS OF EXPENDITURE

Line 110: Enter the cost for all wages and salaries of county children and youth staff involved in the program. Do not include purchased service or probation staff wages and salaries.

Line 120: Enter the costs for employee benefits for county children and youth staff involved in the program.

Line 131: Staff development costs including training, subscriptions, dues and membership fees, agency library costs and miscellaneous expenses related to improving staff performance.

Line 132: Miscellaneous costs include purchased personnel services and other personnel expenses except staff development expenses.

Line 210: The cost of subsidies for participation in IL activities and other grants to youth.

Line 310: Occupancy expenses include rent, utilities, insurance, housekeeping, maintenance and occupancy taxes.

Line 320: IL related communications including telephone, postage, printing, duplicating and advertising expenditures.

Line 330: Administrative supplies include office supplies, minor office equipment and rental and maintenance of office equipment.

Line 340: Instructional service supplies including materials, program materials, equipment and other supplies provided for the use of youth and foster parents.

- Line 350: IL staff and client travel and transportation expenses.
- Line 360: Purchased services include costs for services such as job development, employment training, counseling and other contracted services provided to clients by individuals or agencies under contract to provide services for the county children and youth agency.
- Line 370: The cost of consultant services including, contracted staff to operate or improve the administration and delivery of services.
- Line 380: Court costs related to the adjudication and disposition of dependent or delinquent children under the Juvenile Act.
- Line 390: Other operating costs include interest expenses, auditing expense, moving expense and other costs which cannot be included on lines 310 through 380. On page 2, enter the result of RMTS calculation 19 in the "Matching IL" column.
- Line 399: Indirect administrative costs are the proportional share of county administrative overhead costs, such as the cost of the county comptroller's office or county personnel office that can be charged to the program. On page 2, enter the result of RMTS calculation 18 in the "Indirect IL Prgm. Admin." column.
- Line 412: The cost of service or office equipment purchased by the county for use in the program.
- Line 413: The cost of motor vehicles purchased by the county for use in the program
- Line 414: The cost of data processing equipment (i.e. computer equipment and software purchased by the county for use in the program). Purchase of any assets costing \$500 or more require prior approval of DPW.
- Line 420: The costs for repair and improvement of fixed assets including renovations and vehicle repair.
- Total: The total expenditures for each IL service should be shown in the appropriate column on this line. In the "Grand Total" column show the total of each object of expenditure as well as the total for the report.

CY 815 - Budget FORM INSTRUCTIONS

The Expenditure by Source of Reimbursement Form (CY-815) is a two page form that shows **cumulative** grant expenditures. Each of the lettered columns corresponds to one of the services on the Independent Living Services Grant Request. Except for the RMTS columns, there must be an entry on the CY-815 for each budgeted service. The CY-815 may be computer generated as long as all information required on the CY-815 is also contained on the computer generated form.

SUBMISSION - The CY-815 must be submitted within 45 days of the end of each fiscal quarter. Send an original of the report to:

PA Department of Public Welfare
Office of Children, Youth and Families
Division of Programs
P.O. Box 2675
Harrisburg, Pennsylvania 17105

COUNTY - Enter the county name.

REPORT PERIOD - Show the last day of the quarter for which the report is being submitted.

SOURCE OF EXPENDITURES AND DELIVERY METHOD

Show the expenditures for each service identified by source of funds and method of delivery - **Provided by the County and/or Purchased** - for each source and for each service identified. "Provided by the County" refers to IL services provided by county children and youth agency or county human service agency staff. "Purchased" refers to IL services provided by a contracted agency or individual through a service purchase contract.

Title IV-E IL Funds - Show the total of the Chafee Title IV-E IL grant funds expended for each budgeted IL service.

State Funds - Show the total of all State funds - Act 148 that has been expended for each budgeted IL service. Do not insert any RMTS amounts on this line.

Local Funds - Show the total of county funds expended for each identified IL service. Enter the result of RMTS calculation 18 in the "Indirect IL Program Administration" column; enter the result of RMTS calculation 19 in the "Matching IL" column. Because the CY-815 is a cumulative reporting form, you will need to add the RMTS amounts reported in the previous quarter of the program year to the amounts computed in calculation 18 and calculation 19.

Interest Earned - Show the interest earned on IL grant funds and the amount expended for each identified IL service.

Total Funds All Sources - Show the total expended from all sources for each IL service as well as the total amount spent for purchased IL services and IL services provided by the county.

Source Total (Page 2) - Show the total expenditures for each source of funds for all IL services as well as the total expenditures for IL services purchased and/or provided by the county.

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Appendix 7: Special Grant Initiatives

This appendix addresses special grants in Pennsylvania, including the following programs discussed in subsection 6-3: Evidence-Based Programs (EBP), Pennsylvania Promising Practices (PaPP), Housing Grants, Alternatives to Truancy Prevention (ATP), and State Reintegration.

PURPOSE

The purpose of these instructions is to transmit guidelines for the preparation and submission of FY 2011-2012 Special Grants Initiative (SGI) categories of EBP, PaPP, Housing Grants, ATP, and State Reintegration requests from county children and youth agencies (CCYA).

These instructions also provide additional guidelines for the submission of required information and documents for the FY 2010-2011 implementation year by CCYA with approved funding for the above mentioned SGI.

All instructions for EBP, PaPP, Housing Grants, ATP, and State Reintegration are contained in this Appendix.

BACKGROUND

Some EBP and a limited number of PaPP were extracted from the NBPB process through adjustments and extractions for implementation during FY 2008-2009 and FY 2009-2010. Funding to support the SGI during FY 2009-2010 was a combination of state and local funds. Programs and/or practices eligible at that time for the EBP included the following:

- Multi-Systemic Therapy (MST);
- Functional Family Therapy (FFT);
- Multidimensional Treatment Foster Care (MTFC);
- Family Group Decision Making (FGDM);
- Family Development Credentialing (FDC); and
- Family Finding (FF).

As a part of the NBPB process for FY 2010-2011, CCYAs were encouraged to request SGI funds for EBP, including High-Fidelity Wrap Around (HFWA), as well as, PaPP, ATP, Housing Grants, and State Reintegration. As part of the PaPP, including ATP, CCYA were eligible to identify and request funds for one outcome-based dependency program and one outcome-based delinquency program, as well as ATP for SGI consideration.

OCYF, the Office of Mental Health and Substance Abuse Services (OMHSAS) and the Pennsylvania Commission on Crime and Delinquency (PCCD) also collaborated to establish the Evidence-Based Prevention & Intervention Support Center (EPISCenter), Pennsylvania State University. The EPISCenter will provide technical assistance and support to OCYF and CCYA contracting or delivering services using MST, FFT and MTFC models and some of the PaPP.

Technical assistance for FF, FDC, HFWA, ATP, and both PaPP programs is to be provided by OCYF in conjunction with the Administrative Office of the Pennsylvania Courts and appropriate DPW Program Offices. The Pennsylvania Child Welfare Training Program (CWTP) continues to assist CCYA implementing FGDM.

FUNDING

The SGI is funded through a combination of state and matching county funds. The required match percentage varies dependent on the SGI and ranges from five percent to 20 percent. Requests for FY 2011-2012 SGI funds must include the appropriate county share as the total. Additionally, all county expenditure reporting must include the required match to continue to receive state funding.

The matching amounts for the SGI are as follows:

Program/ Practice	State	Local
EBP: (MST, FFT, MTFC, FGDM, FDC, FF, and HFWA)	95%	5%
PaPP	90%	10%
Housing – FY 2010-2011:	80%	20%
Housing – FY 2011-2012:	85%	15%
ATP	90%	10%
State Reintegration:	80%	20%

SUBMISSION INSTRUCTIONS

This Appendix and related Budget Narrative Template and Budget Excel worksheets are the sole application for CCYAs to request funds to renew, or implement new programs, designed to prevent child placement or return children timely and safely to their home. Information must be submitted for each SGI for both the implementation of FY 2010-2011 Year and Request for FY 2011-2012. The following information must be submitted for each SGI.

Implementation of FY 2010-2011

- Request for transfer or shifting of funds among EBP (optional)
- Request for transfer or shifting of funds among PaPP (optional)
- SGI Contact information for FY 2010-2011
- Report of 2009-2010 Outcomes
- Report of under-utilization and/or under-spending of grant funds in FY 2008-09 and/or 2009-10
- Proposed outcomes and target population
- Work statement
- Budget Narrative
- Technical Assistance Needs
- FY 2010-2011 Line item Budget (and 2009-2010 Actual Expenditures with

Request for FY 2011-2012

- Amount requested
- Amount requested
- Identify Programs/Practices
- Justification for amount requested
- Based upon Report of under-utilization and/or under-spending of grant funds in FY 2008-09 and/or 2009-10 steps that will be taken to ensure the minimize under-utilization and under-spending
- Anticipated provider(s)
- Proposed outcomes and target population
- Work statement
- Budget Narrative
- FY 2011-12 Special Grants Funding Request Form.

Adjustments)

CCYAs must complete all sections and pages outlined in these instructions. The submission for the SGI contained in this appendix must be submitted with the county's NBPB.

To ensure proper evaluation of any special grant request, counties must provide brief and sufficient explanations and justifications to the questions in the Narrative Template. Counties are advised to prepare informative responses that offer a clear understanding to help the reviewer recommend approval, rather than a denial or reduction in funds because of missing or unclear information.

Additionally, if a county is requesting a renewal or an expansion of an existing special grant and there was under-utilization and/or under-spending of the grant in FY 2008-09 and/or FY 2009-10, the county must provide detailed explanations as to the cause(s) of the underperformance and must identify measures the county will utilize to prevent the underperformance in both FY 2010-11 as well as FY 2011-12.

If a county is requesting a new grant, it must provide succinct details as to the target population, planned utilization, realistic timeframes for implementing the special grant and outcomes expected to be achieved.

In addition to the Narrative Template, the county must enter SGI fiscal information for each fiscal year in the Budget Excel File. That file will be the primary source for fiscal information. Please ensure fiscal costs in the Narrative Template match the Budget Excel File. Instructions for completing the Excel files are included in Appendix 9 and in the Excel file.

The Special Grants Budget Form for FY 2010-11 requests FY 2008-09 and FY 2009-10 actual expenditures with Needs-Based Fund adjustments and line-item budget information for each SGI in Appendix 9 with the exception of State Reintegration. CCYAs are also required to enter fiscal information in the FY 2011-12 Special Grants Funding Request Form.

APPLICATION REVIEW

OCYF will review the applications based upon the information requested and submitted. The purposes of the review will be to determine that the application content is consistent with the guidelines and to make funding and/or programmatic recommendations.

PROGRAM/ PRACTICE DESCRIPTIONS

ELIGIBLE PROGRAMS/ PRACTICES

CCYAs requesting SGI funds to implement EBP must comply with all program developer requirements and should budget sufficient funds to cover start up and ongoing costs. Providers of EBP are expected to become enrolled as Medical Assistance (MA) providers and comply with all eligibility requirements. MA providers will invoice DPW for reimbursable services and thereby, reduce the amount of SGI funds utilized for services by the CCYA.

Programs and/or Practices eligible for funding through the SGI in this appendix include the following:

I. **EBP** – CCYAs may request any or all of the following six programs/practices:

- Multi-Systemic Therapy (MST);
- Functional Family Therapy (FFT);
- Multidimensional Treatment Foster Care (MTFC);
- Family Group Decision Making (FGDM);
- Family Development Credentialing (FDC);
- Family Finding (FF) for FY 2010-2011; and
- High-Fidelity Wrap Around (HFWA).

II. **PaPP** – CCYA may request one each of the following outcome-based practices:

- Dependent; and
- Delinquent

III. **Housing Grant**

IV. **Alternatives to Truancy (ATP)**

V. **State Reintegration**

PROGRAM/ PRACTICE SUMMARIES

I. **Evidence Based Programs**

Multi-Systemic Therapy

MST is an intensive family- and community-based treatment that addresses the multiple determinants of serious antisocial behavior in juveniles. This approach views individuals as being nested within a complex network of interconnected systems that encompass individual, family, and extra familial (peer, school, neighborhood) factors. Intervention may be necessary in any one or a combination of these systems.

The primary goals of MST programs are to:

- decrease rates of antisocial behavior and other clinical problems;
- improve functioning (e.g., family relations, school performance); and
- achieve these outcomes at a cost savings by reducing the use of out-of-home placements (e.g., incarceration, residential treatment, hospitalization).

MST aims to achieve these goals through a service array that addresses risk factors in an individualized, comprehensive, and integrated fashion; and that empowers families to enhance protective factors.

Evaluations of MST have demonstrated for serious juvenile offenders:

- reductions of 25-70% in long-term rates of re-arrest,
- reductions of 47-64% in out-of-home placements,
- extensive improvements in family functioning, and

- decreased mental health problems for serious juvenile offenders.

Functional Family Therapy (FFT)

FFT is an empirically grounded, well-documented and highly successful family intervention program applied to a wide range of at-risk youth aged 11-18 and their families, including youth with conduct disorder, violent acting-out, and substance abuse with interventions that range from 8 to 12 one-hour sessions, up to 30 sessions of direct service. These interventions are conducted in both clinic settings as outpatient therapy and as a home-based model. The intervention program itself consists of five major components in addition to pretreatment activities: Engagement in change; Motivation to change; Relational/Interpersonal Assessment and planning for Behavior change; Behavior Change; and Generalization across behavioral domains and multiple systems; and each phase includes specific goals, assessment foci, specific techniques of intervention, and therapist skills necessary for success.

FFT has demonstrated positive program outcomes across a wide range of youth and communities including:

- Significant and long-term reductions in youth re-offending and violent behavior,
- Significant effectiveness in reducing sibling entry into high-risk behaviors,
- Low drop-out and high completion rates, and
- Positive impacts on family conflict, family communication, parenting, and youth problem behavior.

Multidimensional Treatment Foster Care

MTFC originated as an alternative to institutional, residential and group care placements for boys with severe and chronic criminal behavior and has been adapted and tested with children with severe emotional and behavioral disorders, girls with severe delinquency, and youth in foster care.

The program objectives include:

- creating opportunities for youth to successfully live in families rather than in group or institutional settings; and
- simultaneously preparing parents, relatives or other aftercare resources to provide youth with effective parenting so that the positive changes made with the youth while placed in MTFC can be sustained over the long run.

Program strategies include:

- six to nine months of placement;
- intensive, well-coordinated, multi-method interventions conducted in the MTFC foster home with the youth's aftercare family and with the youth through individual therapy, skill training and academic support; and
- daily phone calls with MTFC foster parents collect data on the youth's behavior.

Family Group Decision Making (FGDM)

FGDM is a family-centered practice that maximizes family input and decision making with professional agency support. The family defines its membership, which often extends beyond blood or legal ties. This practice is inclusive because the family is viewed both vertically (including multiple generations) and horizontally (both mother's and father's side even if one parent is not available). FGDM conferences are culturally relevant and responsive and includes an opening ritual selected by the family to emphasize their cultural link and to help participants to focus on the meeting's purpose. The community, as evidenced by agency and other professionals, is also supportive. Safety is the paramount concern. It is important for the family

conference to take place in a manner that is conducive to family interactions, safety and privacy. Preparation is critical to address issues that may compromise the creation and support for a family's plan and family alone time is provided when all agency representatives and other professionals leave the room and allow the family to make decisions and craft their plan. A county may request funds for both FGDM and HFWA; however, the county must agree that a family will not be subject to BOTH FGDM and HFWA.

Family Development Credentialing

The FDC Program is a professional development course and credentialing program for caseworkers (public and private) to learn and practice skills of strength-based family support with families. FDC trainees work with families across the life span including families with young children, teen parents, people with disabilities, and many other groups.

To earn the FDC, staff must complete 90 hours of interactive classroom instruction and portfolio advisement; prepare a Skills Portfolio with support of a portfolio advisor; and pass a state credentialing exam.

Family Finding

Family Finding was developed in 2003 by Kevin Campbell in the State of Washington. The goal is to identify qualitative relatives with functional strengths who may ultimately become resources for children and youth in the child welfare system.

Family Finding was first introduced in 2008 to 15 counties participating in the first phase of the Permanency Practice Initiative (PPI), a program initiated by the Administrative Office of Pennsylvania Courts (AOPC). Family Finding will be provided by the AOPC to 27 counties participating in the first and second phases of the PPI. For FY 2010-11, training costs for Family Finding are available through the NBB. Beginning in FY 2011-2012, counties will be able to access Family Finding Training through the Child Welfare Training Program with a commitment to participation in a future phase of the Permanency Practice Initiative. Technical assistance will be provided through a collaboration of Administrative Office of PA Courts and OCYF technical assistants.

Costs associated with the Accurint search engine are paid in full by DPW. Counties may not include costs related to Accurint in the request for funding for Family Finding training.

The Department met with the AOPC and determined that there will not be a special grant for Family Finding in FY 2011-12.

High-Fidelity Wrap Around (HFWA)

The wraparound process is a way to improve the lives of children with complex behavioral health needs and their families. It is not a program or a type of service. Instead, the process is used by communities to support children with complex needs and their families by developing individualized plans of care. The key characteristics of the process are that the plan is developed by a youth and family centered team, is individualized based on the strengths and culture of the child and their family, and is driven by strengths and needs, rather than services. Natural supports are a central aspect of the plan for the child and family. To be eligible to receive special grant funding for HFWA, the county must agree to the training provided by OMHSAS through an established and existing process. A county may request funds for both HFWA and FGDM however, the county must agree that a family will not be subject to BOTH FGDM and HFWA.

Ten guiding factors of HFWA include:

1. Family Voice and Choice;
2. Team Based;
3. Natural Supports;
4. Collaboration;
5. Community Based;
6. Culturally Competent;
7. Individualized;
8. Strengths Based;
9. Persistence; and
10. Outcome Based.

Some of the outcomes include:

Short-term

- Service/support strategies that “fit”;
- Strategies that are based on strengths; and
- Improved service coordination.

Intermediate

- Enhanced effectiveness of services and supports
- Increased resources and capacity for coping, planning, and problem solving; and
- Self-efficacy, empowerment, optimism, and self-esteem

Long-term

- Stable, home-like placements;
- Improved mental health outcomes (youth and caregiver);
- Improved functioning in school/vocation and community; and
- Improved resilience and quality of life.

II. Pennsylvania Promising Practices (PaPP)

The county may identify one outcome-based dependency practice/program and/or one outcome-based delinquency practice/program, for a total of two practices, in its request for special funding consideration. The state encourages outcomes-based services (i.e. non-certified evidence-based), and the county must report on each program’s services and outcomes. The information the county submits regarding dependency and delinquency outcome-based practice/programs must demonstrate a concurrent decrease in out-of-home placement days of care.

The state will fund county identified PaPPs as special grants for two years. Thereafter, if producing desirous outcomes, the PaPP becomes part of the county’s operating practices and is fiscally represented in the NBPB. If the program is not producing desirous outcomes, the county may choose to end the program or fund it through other resources.

If the county was approved for a specific outcome-based dependency program and/or an outcome-based delinquency program in the NBPB 2009-10 and 2010-11, those programs are no longer eligible for funding under a Promising Practice Grant. If the county was approved for a specific outcome-based dependency program and/or an outcome-based delinquency program in the NBB 2010-11, the county may continue to request funding for those programs from the

state. If the county is participating in two promising practices programs from the NBB 2010-11, requests for additional programs will not be considered. If the county has not requested or been granted two Promising Practices, it may request special funding consideration for a maximum of two programs in NBB 2011-12. Finally, if a county has exhausted its two year limit for a PaPP, the county may request special funding consideration for a maximum of two **new** programs in NBB 2011-12.

III. Housing Initiative

The Housing Initiative is designed to meet the needs for housing resources for dependent and delinquent youth in order to:

- (1) prevent children from entering out of home placement;
- (2) facilitate the reunification of children with their families; or
- (3) facilitate the successful transition of youth aging out, or those who have aged out, of placement to living on their own.

CCYAs are encouraged to establish broad guidelines that serve to meet the intended purposes of the initiative and where no other viable or timely resource is available.

The housing initiative further includes youth between the ages of 18-21 who do not meet the Chafee Room and Board eligibility requirements of discharge on or after age 18. CCYA may also include costs for youth discharged between the ages of 16 and 18 who agree to participate with IL Services. Housing costs for youth meeting the Chafee Room and Board eligibility requirements should be included in Appendix 6, IL Grant Services.

For FY 2011-12, the Housing Initiative local match requirement decreases from 20 percent to 15 percent.

IV. Alternatives to Truancy (ATP)

The county may identify one practice or program designed to address truancy issues among school-age youth in order to:

- (1) reduce the number of students referred for truancy;
- (2) increase school attendance among student participants;
- (3) improve educational outcomes among student participants who may not have otherwise benefited without the program;
- (4) increase appropriate advance to the next higher grade level;
- (5) decrease child/caretaker conflict; or
- (6) reduce the percentage of children entering out of home care because of truancy.

V. State Reintegration Program (SRP)

Effective aftercare furthers the goals of promoting a balanced approach to juvenile justice while providing rehabilitation and treatment to delinquent youth. As counties move toward collaboration and integrating services, it is critical that youth involved in the juvenile justice system have timely access to necessary services for successful re-entry into the community.

A model system must ensure that county children and youth agencies and juvenile probation departments include services to support aftercare planning for youth in the juvenile justice system each year in their Needs Based Plan and Budget request.

Counties are encouraged to use the SRP as an aftercare service, and must express an interest in the program. OCYF is committed to providing quality reintegration services to all youth in the YDC/YFC system, and the SRP is designed to serve youth leaving the youth development center/youth forestry camp (YDC/YFC) system. This program will support youth in making a smooth transition back into the community, which thereby improves the likelihood of successful reintegration, increases accountability to victims, and makes communities safer.

During the FY 2008/09 year, 789 youths were committed to the YDC/YFC system and 262 youths were referred and accepted into the SRP. Outcome studies indicate that 83% of youth who participated in the SRP were not re-adjudicated delinquent within 6 months of release. Based on current Youth Level of Service/Case Management Inventory (YLS/CMI) data, 61% of the youth entering the YDC/YFC system have been assessed to be either very high or high risk/need.

FY11/12 requests are to be submitted through the Special Grants Funding Request form in the Budget Excel file. A maximum of 613 youth will be served by SRP during the FY 11/12. Should the total number of requests made by counties exceed the maximum number of youth to be served; awards will be proportionate to the number of youth placed in the YDC/YFC system during the FY 2009/10 by the requesting counties.

When estimating costs, counties should utilize a combined case rate of \$3,613.00 per youth for the fiscal year. This case rate includes a 20% county match which will be deducted from quarterly Act 148 payments. This case rate includes facility-based planning efforts which the contractor that will be reimbursed on a fee-for-services basis and an average of four months of community-based services for which the contractor will receive a monthly case rate basis per youth actively participating in the program. Additional information about SRP can be found at: <http://www.srppa.com/>

FY 2010-2011 Special Grant Contact List

OCYF has created a new excel worksheet, SG 10-11 Contacts, for completion by CCYA for every budgeted SGI for the FY 2010-2011. This information request is removed from the Narrative Template and will be helpful for OCYF and technical assistance providers to share and distribute information.

FISCAL INFORMATION

PAYMENTS

For the implementation 2010-11 budget and continuing thereafter, CCYAs will be required to provide OCYF with periodic reports of the use and effectiveness of the EBP, PaPP, ATP and Housing SGIs. Details and frequency of the reports will be forthcoming in the imminent future.

OCYF will consolidate payments by each of the SGI categories of EBP, PaPP, ATP, and Housing. OCYF will make payments to CCYAs who complete timely fiscal reports and whose current and or past years' spending warrants payment according to the following schedule:

- 25% of the grant award in July
- 25% of the grant award in October
- 12.5% of the grant award in January, contingent upon receipt of the 1st quarter expenditure reports within each SGI category.
- 12.5% of the grant award in April, contingent upon receipt of the 2nd quarter expenditure reports within each SGI category.

- 12.5% of the grant award in June, contingent upon receipt of the 3rd quarter expenditure reports within each SGI category.
- Up to 12.5% or balance due of the grant award upon receipt of final quarterly reports within each SGI category, not to exceed the approved amount per program/practice.

The Bureau of Juvenile Justice Services (BJJS) will coordinate fiscal and program responsibilities with the contractor and with counties for the SRP.

CCYAs may retain the overpayment of unspent SGI funds for the fiscal year with the following caveats;

OCYF will deduct the prior year over payments from a future payment.

If the amount of unspent funds is excessive (more than 25% of the total), OCYF reserves the right to request refunds for the period.

If the special grant is not renewed for the CCYA for the following year, all over payments must be refunded to OCYF.

SGI PROGRAM BUDGETS

CCYA with approved allocations for the SGI in FY 2010-2011 must prepare and submit the Special Grants Budget Form and budget narrative found in the Budget Excel File and Budget Narrative Template. SGI funds for State Reintegration do not require a FY 2010-2011 budget.

FY 2009-2010 Actual Expenditures

Complete the first section of the Budget Excel File, SG BDGT 1011. Enter the total amount of the grant funds (state and local) and any NB funds used to support the program or practice during FY 2009-2010. If an adjustment was made, enter the adjustment number referenced in the county's Access file submission.

FY 2010-2011 SGI Funds Budget

The second section of the SG BDGT 1011 worksheet, of the Budget Excel File must be completed for all CCYA with approved FY 2010-2011 allocations for the SGI. Enter the combined total of state and local funds for each SGI. (Local match and state grant funds will be distributed by the appropriate match percentage for each line item and major category.) Do not budget for more than the FY 2010-2011 approved amount. Additional information is requested and found in the Budget Narrative Template.

Agencies arranging for service delivery through a contracted service provider or on a per diem scale may submit budget and expenditure report forms using the "Professional/ Technical Services" line item. If the agency elects to submit fiscal forms using this method, a narrative description must be attached which clearly breaks down this cost.

FY 2011-2012 SGI Funding Request Form

This worksheet is for completion by all CCYA to request funding amounts for the SGI contained in this Appendix for FY 2011-2012. Enter the combined total of state and local funds for each SGI. Additional information is requested and found in the Budget Narrative Template.

FFT Training Costs

CCYA budgeting for FFT should allow for \$10,000 to support active FFT providers with the new licensing fees required for FFT on-going certification. The request can not be for more than the \$10,000 as stated in the fee list for FFT. Services included under this fee are on-site one-day visit or regional supervisor follow-up training, monthly hour long phone conversation with a local FFT supervisor, supervisor and therapist access to the FFT Clinical Services System (CSS). The fee also covers on-going CSS/site review and consultation for Pennsylvania site certification as required by MA.

SGI EXPENDITURE REPORTING

Quarterly Expenditure Reports – **Reports must be submitted within 45 days of the end of each fiscal quarter.** (i.e. First Quarter Report for July, August and September is due November 15th.) Each Expenditure Report must contain the following data:

- County
- Grantee
- Program name (if applicable)
- Name and telephone number of a fiscal contact person
- Date Submitted
- Grantee Federal I.D. number
- Reporting Quarter
- An accompanying expenditures narrative which clearly describes the costs charged to the grant for the reporting period. This may include provider operating, personnel and other expenses; number of children/families served and per diem costs; county or other costs.

Fourth Quarter Expenditure Report – The fourth and final Expenditure Report is due each FY **NO LATER THAN** September 1st. Final payment will not be requested until the fourth and final Expenditure Report has been received and approved.

The quarterly expenditure form must be submitted within 45 days following the quarter in which the expenditures occurred to:

Department of Public Welfare
Office of Children, Youth and Families
Division of Programs
P.O. Box 2675
Harrisburg, PA 17105-2675

General Instructions for all Fiscal Forms:

- Please check the appropriate box at the top of all forms.
- Complete all required information on the form (including signatures).
- Type all amounts to the penny for all the expenditure forms, whole dollars for budget forms.
- Double-check all calculations.
- DPW Grant Funds Amount column must match your most recent approved budget, and should not include local match money.
- Enter total amount for each line item listed (0 if no funds allocated or spent).
- Enter the total for each Section (Personnel, Operations, and Equipment)

- Expenditure Reports and Budget Revisions must be completed for each of the special grant programs. The only exception is State Reintegration, which will be coordinated by the BJJS.

Budget Revisions/Budget Revision Requests - ALL BUDGET REVISIONS AND BUDGET REVISION REQUESTS ARE DUE BY MAY 15th, – NO EXCEPTIONS

A Budget Revision form must be submitted with justification for the reallocation of funds among approved line items within a budget category (i.e. Within Operations moving funds from Supplies to Evaluation) of 10% or less of the original approved line item amounts.

A budget revision does not require prior DPW approval. Upon receipt of a budget revision, DPW will forward an approval letter indicating the effective date of the budget revision. Budget Revisions must be received no later than May 15. The total grant amount may not be exceeded.

A Budget Revision Request form must be submitted with justification for any of the following actions:

- to reallocate funds between budget categories (i.e. from Personnel to Operations); OR
- to add any line item; OR
- to move funds from one program or practice to another within the SGI; OR
- to reallocate funds among any line items within a budget category in excess of 10% of the original approved line item amount. (i.e. if you submit a budget revision for a 5% change in January and then another budget revision for 6% in February. The total change from the original amount is 11% so February would have to be a budget revision request).

DPW approval is required prior to the implementation of this revised budget. The DPW approval letter will indicate the effective date of the budget revision request. Budget Revision Request's for the current must be received no later than May 15. The total grant amount may not be exceeded.

Simply stated, a budget revision must be submitted to DPW for any changes to the approved budget. If the budget reallocates funds among budget categories, adds any line items, or is in excess of 10% of the original line item amount, then prior approval from DPW is required.

Note: DPW, OCYF will only accept current budget forms. The format must remain the same and it must be single-sided.

Assets:

An asset is any individual item with a purchase cost of \$500 or more and has a useful life of more than one year. Assets purchased with grant funds are property of the DPW. DPW reserves the right to request the return of assets upon termination of grant activities. **Grantees must provide written information on the purchase of any asset and receive approval from the DPW PRIOR to making the purchase. (See IT/Computer Purchase below.)** Please send a written asset request to the Special Grants Program Manager. The written request must include as much detailed information as possible including:

- a detailed description of each item to be purchased;
- cost per item and number to be purchased;
- each item's purpose in relationship to grant goals and activities; and
- a description of who will use each item and where it will be physically located.

Computer Purchases

Effective May 1, 2008, all computer and IT purchases must be individually approved prior to purchase. This includes items that were in your original budget requests as well as any items requested with a budget revision. Please use the OCYF IT/Computer Purchase Request Form for each purchase request.

Audit

The Grantee shall maintain a record of grant expenditures until audited by the Auditor General or five years, whichever occurs first, unless the fiscal agent is requested to retain the records for a longer period. A county must include these grant program expenditures as part of the county's single audit.

Requests to Transfer/Shift Funds within Special Grant Categories

This section provides counties the opportunity to transfer or shift funds within the seven EBP (FFT, MST, MTFC, FGDM, FDC, FF and HFWA); or within the PaPP initiatives. The requests may not exceed the total allocation of the EBP or PaPP and must include detailed justification for the proposed changes. This opportunity is available only for EBP and PaPP. It is not applicable for Housing, ATP or State Reintegration. Additionally, county agencies may not shift funds across the main categories.

Refer to the Budget Narrative Template for instructions to prepare and submit a request to transfer/shift funds at the time of this application. Contact the OCYF Special Grants Coordinator(s) David Derbes or Julie Hohny for more information or for transfer requests occurring during another time of the grant year.

TECHNICAL ASSISTANCE AND PROGRAM REPORTING REQUIREMENTS

Technical Assistance (TA) and support for the SGI is available to counties and their providers through a combination of agencies and resources. The most commonly used resources include OCYF Division of Program Development (DPD), OCYF Regional Offices (RO), PCCD, CWTP, EPiSCenter, Pennsylvania State University and OMHSAS. Other TA resources may be accessible.

MST, FFT, MTFC	OCYF DPD/RO, PCCD, EPiSCenter, OMHSAS
FGDM	OCYF DPD/RO, CWTP
HFWA	OMHSAS CHILDREN'S BUREAU/HFWA CONTRACTOR
FDC	OCYF DPD/RO
FF	OCYF DPD/RO
PaPP	OCYF DPD/RO
Housing	OCYF DPD/RO
ATP	OCYF DPD/RO

CCYAs and their contracted service providers receiving SGI funds are required to participate with periodic and/or continuous program reporting in order to demonstrate program effectiveness and improved outcomes for children and their families. At minimum, programs will be required to submit quarterly program and fiscal reports. MST, FFT and MTFC providers who are not presently reporting through PCCD will be required to electronically input data via an online system in development with EPiSCenter. More information will be forthcoming.

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Appendix 8: Accurint Instructions

Introduction

DPW/OCYF purchased access to the online use of the Accurint Search Tool on behalf of the county children and youth agencies in April 2009. For FY 2009-10, OCYF assigned a specific number of users to each county agency for whom DPW will cover the monthly cost per user. While there is no direct cost to the counties for Accurint, DPW needs to track the number of users needed by each county. As there is limited funding for Accurint, counties must not exceed their allotted number of users assigned in FY 2009-10 until the final allocation is provided to you. Specific requests for the total number of users for FY 2011-12 and the justification for the request must be provided in the Narrative Template.

Purpose

The Department continues to support counties through the provision of tools that promote best practice. Recognizing that technology is a tool that can assist in implementation of Family Finding efforts, locating absent parents and in safety planning OCYF leveraged an existing Commonwealth contract to provide counties with the Accurint search engine. This tool will assist in promoting permanency for children served through the child welfare and juvenile justice system.

The outcomes that can be achieved with proper use of the Accurint Search Tool include, but are not limited to:

- Intensive searching at the intake phase to identify family members and significant others who may care for the child;
- Prevention of out-of-home placement;
- Reduce the number of children/youth adjudicated dependent and in court-ordered out-of-home placement;
- Reduce the length of time children/youth spend in out-of-home placement;
- Reduce the number of children/youth who re-enter foster care;
- Reduce the costs associated with children in foster care;
- Cost shifting to other services including supports, prevention, aftercare, adoption, and subsidies for adoption and subsidized permanent legal custodianship;
- Reduce the level of care provided (i.e. reduced number/percent of restrictive placements and increase in kinship care, when placement is needed);
- Increase placement stability (decrease the number of moves for children in out-of-home placement);
- Enhancement of safety planning with the identification of other individuals who may support and care for the child;
- Location of transient families using the People Finder feature;
- Location of absent or missing parents;
- Identification of permanent connections for older youth;
- Identification of family members and significant others to participate in the Family Group Decision Making conferences to support the child and family;
- Enhanced family engagement practices; and
- Compliance with the family finding provisions of the Fostering Connections to Success and Increasing Adoption Act.

Accurint Search Tool Quarterly Report Form and Instructions

The Office of Children, Youth and Families will begin tracking county outcomes beginning July 1, 2010, to understand the impact that this tool is having on improving outcomes for the children and families served. The report and instructions will be sent to the counties in June 2010. Reports are due quarterly to the Accurint Manager.

DPW/OCYF Accurint Manager

The Office of Children, Youth and Families is responsible for managing Accurint for county children and youth agencies. The Accurint Manager, Ms. Desiree Weisser, maintains a master list of users by county and tracks the county specific usage of the Accurint Tool on a monthly basis. When users are changed in a county, the Accurint manager must be notified immediately.

New users are required to complete and submit the *Accurint Search Engine Acceptable Use Policy* form to the Accurint Manager. If you do not have a copy of this form, please contact the Accurint Manager.

Users that are no longer permitted to access Accurint must be deleted from the system by the county's Accurint Administrator. For questions or assistance regarding Accurint, Ms. Weisser can be contacted at (717) 772-7011 or dweisser@state.pa.us.

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