

FY 2012-13 NBPB


Commonwealth of
Pennsylvania

Office of Children,
Youth and Families



NEEDS BASED PLAN AND BUDGET BULLETIN INSTRUCTIONS & APPENDICES

REVISED June 17, 2011

	OFFICE OF CHILDREN, YOUTH AND FAMILIES BULLETIN COMMONWEALTH OF PENNSYLVANIA DEPARTMENT OF PUBLIC WELFARE		
	NUMBER: 3140-11- 01	ISSUE DATE: May 27, 2011 REVISED June 17, 2011	EFFECTIVE DATE: July 1, 2011
SUBJECT: Revised Fiscal Year 2012-13 Children, Youth and Families Needs-Based Plan and Fiscal Year 2011-12 Implementation Plan Instructions		BY: Cathy A. Utz, Acting 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 revised instructions for the preparation and submission of the Fiscal Year (FY) 2012-2013 Needs-Based Plan and Budget (NBPB) and the FY 2011-12 Needs-Based Implementation Plan which must be submitted by August 15, 2011.

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 months funding during the first year or up to ten 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 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 four parts: the Budget Narrative, Budget Excel file, ACCESS file 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 Hornby Zeller Associates (HZA) Data Package (HZA package to be distributed to counties by June 15, 2011) 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.

NOTE: For NBPB 2012/13, counties must use their fourth quarter invoice in the actual year.

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 Excel file and Access file.

Electronic Submission:

Counties are required to submit the NBPB package electronically. The electronic submission of the completed Narrative and General Indicator Excel file **must be submitted through Se-government by August 15, 2011.** The Budget Excel file and ACCESS file must be submitted electronically through Se-government by September 15, 2011. Hard copies of these electronic forms are **not** to be mailed. Instructions for uploading and submitting the automated files will be sent via email and posted on DocuShare.

Any problems or questions about Se-Government should be directed to Barbara Cek at email address: c-bcek@state.pa.us.

The Assurance of Compliance/Review Form provided in the Budget Narrative template 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 FY 2012-2013 NBPB 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 2012-2013 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 2012-2013 Needs Based Plan and Budget (NBPB) 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 2012-2013 NBPB consists of seven pieces:

1. Instructions
2. Budget Narrative Template
3. Budget Excel File
4. General Indicator Excel File
5. ACCESS file
6. Hornby Zeller Associates (HZA) Data Package
7. Guardian Ad Litem Worksheet

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

Counties should treat the Narrative Template and General 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 seven sections, each containing subsections and paragraphs detailing the tasks for counties. In addition to the Instructions, there are seven 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.
☐	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 Needs Based Plan and Budget (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 (CCYA) Staff
 - Juvenile Probation Office (JPO) 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.**

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2-2b. Data Collection

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

- **See the Narrative Template.**

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2-3: Meeting Mandates

2-3a. Act 101 of 2010

On October 27, 2010 Senate Bill 1360, Printer's Number 2188, was signed into law. This amendment to the Adoption Act (23 Pa.C.S. Domestic Relations Chapters 21-29), known as Act 101 of 2010, is effective April 25, 2011. Act 101 of 2010 amended the Adoption Act to provide an option for adoptive parents and birth relatives to enter into an enforceable voluntary agreement for ongoing communication or contact to promote and support adoptions of youth for whom contact with their birth family is desired. It requires an individuals or agencies involved in the adoption process to notify certain individuals (birth parents, adoptive parents and the child) of the opportunity to enter into a voluntary post-adoption contact agreement and it also requires county agencies, in public adoptions, to help facilitate the development of an agreement.

Act 101 of 2010 also requires the Department to collect and maintain medical and social history information on all adoptions finalized or registered in the Commonwealth. This information is to be provided by all public and private child welfare agencies and individuals licensed by the Department to provide adoption services and for whom the agency or individual has case responsibility. All adoptees adopted on or after the effective date of this bulletin will be able to receive much more information about their birth family, including medical and social history information that may benefit them and their descendants.

In addition to requesting information from the Pennsylvania Adoption Information Registry (PAIR), specified individuals may also request from the courts and agencies, where applicable, information that is non-identifying, identifying and request contact with family members. Act 101 of 2010 allows a single request form to be used by individuals to make their request for release of information to each location. The list of individuals who may access information is expanded, as well as the list of individuals who may be the subject of a request for information or contact. In some situations, the subject of a request now includes the grandparents and siblings of an adoptee. Act 101 allows any court or agency the option to develop a fee structure and to charge reasonable fees for the services provided regarding the release of both non-identifying and identifying information and establishes timeframes for the release of information.

Courts and agencies are required to appoint an authorized representative to conduct a search when a request for information is received. The duties and responsibilities of the authorized representatives are intended to be handled by individuals who are experienced in providing adoption services. The Department developed standardized training for authorized representatives and provided training opportunities.

Act 101 changes the agency record retention requirement and requires that all agency records are maintained indefinitely as permanent records in their entirety.

Because locating adoption records after an agency closes has always been difficult, Act 101 now requires licensed adoption agencies to notify the Department in writing when ceasing operation as a legal entity.

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

2-3b. 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

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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.**

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

Pennsylvania had a State-funded kinship guardianship assistance program, SPLC, in place at the time Fostering Connections to Success and Increasing Adoptions Act of 2008 was passed. In order to take advantage of federal funds, available for eligible custodianships through Fostering Connections, the Office of Children, Youth and Families (OCYF) had to revise and resubmit its Title IV-E Plan to ACF for approval. The revised Title IV-E Plan was accepted which allowed Pennsylvania to add a federally supported tier to its SPLC program, effective April 1, 2009. OCYF was later invited by ACF to revise and resubmit Pennsylvania's Title IV-E Plan to include an expanded definition of 'relative' to encompass categories of caregivers currently defined in Pennsylvania policy as 'kin'. The resubmission, which made federal funds available for a wider population of SPLC caregivers, was approved effective October 1, 2009. Originally, ACF's position was that federal funds would apply to new SPLC situations *only*; however, ACF has since revised their position to include eligible existing SPLC agreements.

NOTE: If counties choose to seek federal funds for cases, assurance must be made that the four key areas are addressed including: child eligibility, caregiver eligibility, case record documentation and the amendment of the agreement.

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

2-3d. Safety Assessment

The purpose of Pennsylvania's Safety Assessment and Management Process (SAMP) 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.

Following the implementation of the in-home SAMP, it was recognized that SAMP would consider different elements for out of home cases. As such, 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, Child Welfare Training Program (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 SAMP for out of home care was piloted in February and March 2010. Additionally, 8 counties and provider representatives tested the effectiveness of the process to aid 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.

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Following the efforts of the innovation zone counties, focus will shift to preparing and training the County Safety Leads (CSLs). CSLs were trained by CWTP beginning in October of 2010 with the support of OCYF and the out of home care committee. CSLs are then 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.

Training is also being provided by CWTP to private providers who provide out of home services, specifically foster care and kinship care services. Similar as the CSL process, private providers appointed Provider Safety Leads (PSLs) to be trained who are then responsible to train all direct service professionals in their respective agencies. Trainings for PSLs began in December of 2010. Training of all direct service staff is to be completed by PSLs by July 1, 2011. County agencies will need to coordinate with their Private Provider partners on how the out-of-home care SAMP will be implemented in those homes which are approved and operated through a provider agency.

Efforts towards the development of a process for assessing and managing safety of older youth who are in care will begin following implementation of the out-of-home care SAMP with a final product to be developed by March of 2012. Also, efforts towards the development of a process for assessing and managing safety of children and youth placed in congregate care settings will begin in June of 2012. It is not yet known what these processes and potentially resulting tools will look like. Planning and coordination will take place in collaboration with the National Resource Center for Child Protective Services. County agencies will need to be mindful of these upcoming processes for future budgeting purposes.

Additionally, research and evaluation will be conducted on both the in home and the out of home SAMP 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.

The quality and effectiveness of the in-home SAMP will also being reviewed through the use of the QA Tool, which was developed in collaboration by OCYF, CWTP and county agency staff. This tool and process is a voluntary undertaking by county agencies. However, the QA tool and process, and a corresponding licensing tool that was created by OCYF staff, will be used by OCYF Regional Offices when conducting licensing of county agencies. Training on the tool will be offered to OCYF Regional Offices and interested county agencies in July of 2011.

See *Meeting Mandates* in the Narrative Template.

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

Since 2007 Pennsylvania has been required to submit annual data related to 1) the number of caseworker visits with children in foster care, and 2) the percentage of children visited by caseworkers on a monthly basis within their placement setting. States are required, by October 1, 2011, to ensure that 90% of children in foster care are visited by their caseworkers monthly

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and that the majority of these visits occur in the child's residence. Pennsylvania has exceeded this percentage for the last two FYs by being at 92% for measure one and 99% for measure two.

In order to continue improving this percentage, OCYF will be requiring counties to submit their visitation data in June and December. Counties should continue to refer to OCYF Bulletin #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.

Those counties who do not meet the federal measure of 90% will be required to submit a county improvement plan to outline the steps, including the identification of policy or practice changes necessary to achieve the 90% threshold. These plans will be submitted to and monitored by the respective OCYF Regional Office. Counties will be required to continue having an improvement plan until they reach 90%.

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 initial funds to conduct a mobile technology pilot which includes an evaluation component. It is intended for future funds to be used to continue supporting the use of mobile technology, while also looking at other ways to enhance caseworker recruitment and retention.

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

2-3f. Act 115 of 2010

On November 23, 2010, House Bill 2258, Printer's Number 3849, was signed into law as Act 115 of 2010. This new law, effective January 22, 2011, amends the Juvenile Act at Section 6351 (relating to disposition of dependent child), to require that reasonable efforts must be made to place siblings together unless it is contrary to their safety or well-being. When siblings are not placed together, visitation must occur at least twice a month, unless it is contrary to their safety or well-being. Efforts to provide siblings with the opportunity to be placed together and to have regular visitation, unless doing so is inadvisable, must be made throughout the life of the case.

The act requires the court, at both disposition review hearings and permanency hearings, to make additional judicial determinations if the child has a sibling, regardless of whether the child's sibling is in placement or not. If the sibling is subject to removal from the home, or has been removed from the home and is in a different placement setting than the child, the court must determine whether reasonable efforts were made to place the child and the sibling together, or whether placing the child and sibling together is contrary to the safety or well-being of the child or the sibling. In a disposition review hearing, the court must also enter an order to ensure visitation between the child and the sibling no less than twice a month, unless the court makes a finding that visitation is contrary to the safety or well-being of the child or sibling. At each permanency hearing, the court is also required, if the child has a sibling, to determine whether visitation between the child and the sibling is occurring no less than twice a month, unless the court finds that visitation is contrary to the safety or well-being of the child or sibling.

Agency staff must be prepared to provide recommendations and answer the questions that the court will ask in regards to sibling visitation and contact including, but not limited to, the history

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of the child-sibling relationship, the child and sibling's reaction to being placed together and/or having frequent and ongoing visitation and contact, including any preferences or concerns the child and sibling may have.

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

2-3g. The Children in Foster Care Act (Act 119)

The Children in Foster Care Act, known as Act 119 of 2010, was signed into law on November 23, 2010, with an effective date of March 22, 2011. Act 119 outlines protections for children in out-of-home care and reiterates and emphasizes the importance of the regulatory requirements that agencies have a grievance policy that is provided and explained to the children and youth in their care. Act 119 also outlines the responsibility of a county or private children and youth agency to explain these protections to the child and to provide a copy of these protections to the child, their parents, and resource family. Documentation must be made in the child's record that an explanation, along with a copy of the protections, policies and procedures has been provided to them.

OCYF will issue a bulletin in April 2011 that will transmit guidance to county and private children and youth agencies to comply with the requirements of Act 119 of 2010. This bulletin will clarify the responsibilities of county and private agencies regarding the protections of a child in out-of-home care and will also clarify how the requirements of Act 119 co-exist with current regulations in accordance with:

55 Pa. Code § 3130.88 (related to children's grievances);
55 Pa. Code § 3680.48 (related to children's grievances);
55 Pa. Code § 3700.63 (related to foster child discipline, punishment and control policy); and
55 Pa. Code § 3800.31-.33 (related to child rights)

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

2-3h. Education Screening

In September 2010, OCYF issued Bulletin #3130-10-04, entitled "Educational Stability and Continuity of Children Receiving Services from the County Children and Youth Agency (CCYA) Including the Use of an Education Screen". The purpose of the bulletin was to incorporate the requirements of the Federal Fostering Connections to Success and Increasing Adoptions Act of 2008, but also to enhance the protection of the educational rights for all children receiving services from the CCYA through the introduction and mandated implementation of an Education Screen.

CCYAs were required to designate an education liaison to serve as the in-house expert on education matters. The education liaisons attended a training that was developed in collaboration with CWTP, the Education Law Center, the Juvenile Law Center and the Disability Rights Network on the implementation of the bulletin, including the use of the education screen. The education liaison was then responsible to conduct one training of county staff by May 31, 2011. Staff that were trained were then required to begin using the screen. All county staff must be trained by December 31, 2011 in order to begin full implementation January 1, 2012.

It is incumbent on CCYAs to make every effort to ensure not only that school-aged children receiving services, either in their own home or out-of-home, from the county children and youth agency are attending school, but also that they are receiving the education, special education,

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or remedial services they need. One way to do that is through accurate and consistent assessment and documentation of those needs. It is also incumbent on CCYAs to help all children they serve to avoid unnecessary disruptions in their schooling. CCYA staff are required to complete the education screen on all school-age children being served by their agency at prescribed intervals outlined in the bulletin.

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

2-3i. 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 training appropriate to their role prior to appointment.

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.

In March 2011, AOPC conducted a two-day pilot GAL/Parent Advocate training for Permanency Practice Initiative (PPI) counties. Based upon participant feedback, the core curriculum is being revised and be available in 2011 to all GALs and Parent Advocates in six locations statewide and will include pre-service training components. Due to limited turnover, once the initial roll out in Pennsylvania is complete, the training will be offered one time a year in the Harrisburg/Mechanicsburg area. 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 occurs 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 Proceedings Cost Center.

As of FY 2011-2012, all counties must ensure that newly appointed GALs receive pre-service training prior to representing children. The Department 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.

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

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2.3j. 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 ACF to develop and implement 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 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 CFCIP; and
2. **Collecting outcomes information** on youth who are in or who age out of foster care.

States were required to begin collecting data on October 1, 2010 and 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. The first follow-up population subgroup will begin on October 1, 2012 through September 30, 2013.

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

NYTD REPORTING

Beginning October 1, 2012 through September 30, 2013, NYTD requires states to collect follow-up data on the initial baseline population (those 17 year olds who will be reaching age 19.) Pennsylvania will use a sample of the initial baseline population at ages 19 and 21. (The next 17 year old baseline population collection period begins on October 1, 2013.)

NYTD also requires that states collect information on the served population (those youth receiving any IL service during a six-month period). OCYF expects to implement this component of NYTD in 2012-13 upon completion of all phases of system design, development and training.

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A summary of the data collection is as follows:

- Baseline population (age 17) – ends September 30, 2012.
- Follow-up population (above subgroup at age 19) – October 1, 2012-September 30, 2013.
- Served population (all youth receiving an IL service) – to be determined.

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. CCYA may elect to budget an amount of up to \$10 per youth for the sample of the follow-up population to be used as an incentive, if necessary. If incentives are best determined to be administered at the state level, CCYA will be notified to be used in other areas of IL service delivery. Upon full implementation of NYTD reporting compliance, OCYF anticipates the discontinuance of the Pennsylvania Independent Living Outcomes Tracking System (PILOTS) data collection and submission.

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

2-3k. CFSR Outcomes and Continuous Quality Improvement

Pennsylvania participated in the second round of the CFSR with the on-site review, which occurred July 28 through August 1, 2008. With the development and approval of Pennsylvania's 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 indicated the following areas needing improvement:

- ❑ Youth and family engagement throughout the life of the case (including engagement of non-custodial parents);
- ❑ Timely permanence (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 PIP Workgroups to identify strategies to be implemented statewide to improve outcomes for children, youth and families. The PIP was submitted and approved by ACF and outlines 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.

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

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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 continuous quality improvement: Defining, Assessment, Planning, Implementation, and Monitoring.

The locally driven assessment process 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 culminating in the completion of each county's NBPB. Counties will be developing their own County Improvement Plan (CIP) based on the mutually identified needs as a result of findings from their Quality Service Review (QSR). Counties will be supported during the implementation of their plan through a coordinated effort of all those providing technical assistance. 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 counties consider enhancing or developing a CQI process as Pennsylvania is moving in this direction. The CQI process will be phased in across Pennsylvania over the next several years, therefore it is crucial that counties begin to assess their readiness for this change and plan accordingly for their participation in an upcoming phase of CQI since six to twelve counties will be added to each future phase of CQI.

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

2-3I. General Protective Service (GPS) Response Times

Pennsylvania's 2008 Federal Child and Family Services Review (CFSR) identified inconsistent practice in regard to initiating a response to maltreatment reports and establishing face-to-face contact with children. It was found that since response times for GPS cases are guided by county policy, they may not be being applied consistently across the state. As such, Pennsylvania established action items in the CFSR PIP to conduct a survey of the county children and youth agencies regarding their current GPS response times, analyze the results of the survey and develop policy with specific guidelines related to GPS response times. The survey was conducted in November 2010 and the results were then analyzed and used to develop draft response times that were issued to CCYAs in March 2011 for comment. Eighteen CCYAs provided comments and continued outreach will be made to secure comments from those who did not respond. Following this additional outreach, a workgroup, comprised of intake supervisory staff, will be convened in order to discuss the draft response times and comments in order to develop the final policy for statewide issuance.

Final development of the response times will occur by the end of September 2011 in order for training to be developed and provided by March 29, 2012.

Please keep in mind that we do not currently have established guidelines and need to establish statewide expectations, which will be challenging since we know the survey results showed response times from immediate to 14 days. The draft guidelines were developed, as will the final response times, keeping in mind safety, risk and the best interests of children and families.

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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.

Trend data analysis is required for *all* counties. The General Indicator file assists counties with this analysis. Within the file, counties should complete the General Indicator worksheet.

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* worksheet, 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 General 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 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.
- ❑ Phase One counties of the CQI efforts should identify areas of focus as a result of the QSR that are identified as an area needing improvement in the CIP. The plan can be referenced in detail where appropriate in outcome sections of the NBPB submission. Counties should consider whether resource allocations (both financial and staffing, including vacancies, hiring, turnover, etc.) are appropriate for the strategies identified in the CIP.

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- ❑ Address any projected changes in service delivery from the previous FY to the Implementation Plan, including changes to the Needs-Based Plan proposal from last year. Identify the basis for change in service delivery and projected impact.
- **See *General Indicators* in the Narrative Template.**

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 2006/07 through 2010/11 actual data and FYs 2011/12 and 2012/13 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 County Children and Youth Agency (CCYA) staff in FYs 2006-07, 2007-08, 2008-09, 2009-10, 2010-11 and the projected numbers for FYs 2011-12 and 2012-13.

The number of families/children with an open case (i.e., Family Service Plan developed or being developed) in the CCYA in FYs 2006-07, 2007-08, 2008-09, 2009-10, 2010-11 and the projected numbers for FYs 2011-12 and 2012-13.

- ❑ The number of children (non-duplicated) under the supervision of the County's Juvenile Probation Office (JPO) receiving services funded through the NBPB process, separated by the in-home services category, community-based placement, and institutional placement categories in FYs 2006-07, 2007-08, 2008-09, 2009-10, 2010-11 and the projected numbers for FYs 2011-12 and 2012-13.
- **See 3-2a through 3-2e Charts in the Narrative Template.**
 - ❑ The county must provide explanations for all highlighted service trend indicators as well as important trends that may not be highlighted.

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 [Return to Table of Contents](#)

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 2006-07, 2007-08, 2008-09, 2009-10, 2010-11 and the projected numbers for FYs 2011-12 and 2012-13

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

➤ **See 3-2a through 3-2e Charts in the Narrative Template.**

- ❑ The county must provide explanations for all highlighted service trend indicators as well as important trends that may not be highlighted.

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 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 2006-07, 2007-08, 2008-09, 2009-10, 2010-11 and the projected numbers for FYs 2011-12 and 2012-13.

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

➤ **See 3-2a through 3-2e Charts in the Narrative Template.**

- ❑ The county must provide explanations for all highlighted service trend indicators as well as important trends that may not be highlighted.

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 2006-07, 2007-08, 2008-09, 2009-10, 2010-11 and the projected numbers for FYs 2011-12 and 2012-13.

- ❑ 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 2006-07, 2007-08, 2008-09, 2009-10, 2010-11 and the projected numbers for FYs 2011-12 and 2012-13.

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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 3-2a through 3-2e Charts in the Narrative Template.**

- ❑ The county must provide explanations for all highlighted service trend indicators as well as important trends that may not be highlighted.

NOTE: In the county's analysis of the general indicators, the agency should identify children/youth who are placed in Residential Treatment Facilities that are in the custody of the county agency. Consideration for the population flow for out of home care is inclusive of all children in "placement" whether or not the county is funding the placement. A child/youth in the custody of the agency and in a placement setting outside the home has agency casework services that need to be captured.

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 or the early fiscal years; 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).

➤ **See 3-2a through 3-2e Charts 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 / Prevention Services

Children/Families not accepted for service are defined as those whose needs are not appropriate for state-defined child welfare services. Prevention Services are defined as those programs and services which are intended to prevent out-of-home placements.

The Department will continue to participate in the reimbursement of services designed to prevent further involvement in the child welfare system. In this section, counties will provide an overview of the prevention services identified in two areas:

- Community Prevention Services – programs/services offered through community agencies, and supported in part through a contract with the county agency, that are intended to divert a family from entering the child welfare system.
- Placement Prevention Services – programs/services offered through the county staff and/or contracted providers that are intended to divert a child/youth from entering out-of-home care.

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

4-2: Program Funded New 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, 2011. A letter requesting program funding must be sent to the Regional Director, with copies to the Director of the Bureau of Budget and Program Support. If requesting the first year of program funding, the letter must contain an explanation regarding the service and availability of providers who offer that service in the area; reasonableness of the cost of service; the expected usage of the service; 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 and availability of providers who offer that service in the area; the first year's expected and actual usage of the service; the second year's expected usage of the service; the manner in which the county will monitor the usage of the service; and the detailed program budget. Any programs which are program funded must comply with 55 Pa Code §3170.23. 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 PROGRAM INITIATIVE for FY 12/13: Over the past years, the Department and counties have enhanced focus on our transition age youth and readiness for self-sufficiency. Many programs have been developed to assist in enhancing independent living skills. Continued focus on sustainability of the skills, supports and experiences obtained while in placement is an

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area of concentration for FY 2012-2013. The Department has identified two programming areas that will support these efforts for which counties can request funding for FY 2012-2013.

- Pennsylvania Academic and Career/Technical Training Project (PACCT) – PACCT developed out of a recognition that for delinquent youth, the process of preparation to complete school and be job-ready must begin while they are in placement and continue seamlessly when they return to the community. PACCT staff work with residential facilities and transition programs toward enhancement of career/technical training programs that integrate academic goals and leads to industry-recognized certifications and home school district acceptance of facility-earned credits to ease facilitation of re-entry into home school.
- Mentoring – The Department is interested in exploring programming for youth that will continue in sustaining the efforts toward self-sufficiency that have begun while the youth was in placement. While county case management and aftercare services are in place and being utilized in supporting the transition back into the family home and/or community, there is not a formalized mechanism in supporting the job readiness skills of the youth. A Mentoring program which would partner the youth with business leaders in the community that would begin while the youth was in placement and continue upon discharge would be a natural transitional support for the youth to continue to build upon the skills obtained while in care.

Program development and funding requests would be applicable to both dependent and delinquent youth. It is expected that there would be coordination and collaboration with other agencies in support of meeting the goals of the programs including by not limited to Career Link, Office of Vocational Rehabilitation, Chamber of Commerce, Education, Intermediate Units and local career/technical training programs.

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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.

For this Needs Based Plan and Budget (NBPB) submission, counties are required to utilize the Hornby Zeller Associates (HZA) packages that OCYF will distribute, no later than June 15, 2011, to answer outcome-specific questions. These 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.

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.**

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.

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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.**

The following questions must be addressed for subsections 5-1b. through 5-2c. in the Narrative Template.

- Describe briefly any significant trends in the data and explanations of those trends.
- If the county's performance exceeds comparable county and/or statewide performance what policies or practices does the county believe have contributed to this result? What actions is the county taking to maintain or improve its performance?
Or
If the county's performance lags behind comparable county and/or statewide performance, what factors does the county believe have contributed to this result? What actions is the county taking to improve its performance?
- Are there certain populations which are disproportionately represented in the measures? What actions is the county taking to address that population's needs?

5-3: Other

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

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

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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 funded through NBPB. 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

Submit a detailed description of the county’s employee benefit package for FY 2011-12 which includes a description of each benefit included in the package and the methodology for calculating benefit costs.

- 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.

- See the *Organizational Changes* in the Narrative Template.

6-1d. Staff Evaluations

Describe the county’s method of measuring the effectiveness of CCYA staff in providing required services; i.e., how does the county determine that staff have positive results in their work? This is not referring to the county’s standard individual performance evaluations. Also, address any staff retention or training issues.

- See the *Staff Evaluations* in the Narrative Template.

6-1e. Contract Monitoring & Evaluation

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

- See the *Contract Monitoring & Evaluation* in the Narrative Template.

6-2. Program Oversight

6-2a. 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

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Implementation Year 2011-12. Counties may also have the opportunity to renew, request new, or expand for FY 2012-13 depending on several factors highlighted below as well as in the individual grant special grants sections.

In previous years, counties had been asked to provide the same information for each Special Grant. With the release of the NBPB 2012-2013 Narrative Template in May 2011, counties will find that the information requested has changed. In an attempt to reduce duplication and get a holistic look at the SGI and how it will impact service delivery, counties will be asked to provide three outcomes for each special grant requested and the population to be served by the special grant and to provide an overall summary of how all special grant programs will impact service delivery and child and family outcomes. Identification of service providers for each program and an estimated budget, will continue to be required.

To ensure proper evaluation of the 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 since the inclusion of the SGI in FY 2009-2010 and/or FY 2010-2011, 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 2011-12 as well as FY 2012-13.

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. Budget information entered in the Narrative Template will serve only as an estimate of projected program cost. If information entered into the Narrative Template and the Budget Excel File do not match, the Budget Excel File will be deferred to and considered as a final budget. Instructions for completing the Excel files are included in Appendix 1 and in the Excel file.

The Special Grants Budget Form for 2011-12 requests FYs 2008-2009, 2009-2010 and/or 2010-2011 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 2012-13 Special Grants Funding Request Form.

6-3a. Evidence Based Programs (EBP)

All EBP and/or practices are now managed as a separate grant. The process for requesting EBP and/or practices funding is in Appendix 6.

➤ **See the Narrative Template for forms to request or transfer funds within EBP.**

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

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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. High-Fidelity Wrap Around (HFWA)

Describe these practices and/or programs for FYs 2008-2009, 2009-2010, 2010-2011 and FY 2011-2012, 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 2012-2013. 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 since FY 2008-2009 and its plan(s) to correct the underperformance(s) in FY 2011-2012 and FY 2012-2013.

➤ **See *Special Grants Initiatives* in the Narrative Template.**

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 (PaPP) 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.

If the county was approved for an outcome-based dependency program and/or an outcome-based delinquency program in the NBB 2010-2011 and 2011-2012 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 2011-2012, 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 2011-2012, 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 2012-2013. 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 2012-2013.

➤ **See *Special Grants Initiatives* in 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

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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 *Special Grants Initiatives in 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 *Special Grants Initiatives in the Narrative Template.***

➤ **See the Budget Excel file.** Enter the above amount in the “SG BDGT 1112” and “12-13 SGI BDGT RQST” and “SGI Contact List 11-12” 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 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 NBPB 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 Youth Development Center/Youth Forestry Camp (YDC/YFC) system, and the SRP is designed to serve youth leaving the 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 FY 2009-2010, 606 youths were referred and accepted into the SRP. Outcome studies indicate that 81% of youth who participated in the SRP were not re-adjudicated delinquent within six months of release. Based on current Youth Level of Service/Case Management Inventory (YLS/CMI) data, 57% of the youth entering the YDC/YFC system have been assessed to be either very high or high risk/need.

FY 2012-2013 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 FY 2012-2013. Should the total number of requests made by counties exceed the maximum number of youth to

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be served; awards will be proportionate to the number of youth placed in the YDC/YFC system during the FY 2010-2011 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/>

- **See *State Reintegration Plan in the Narrative Template*.** If requesting funds for FY 2012-2013, determine the dollar amount of the SRP Initiative in the Narrative Template. See Appendix 6 for more information.
- **See the Budget Excel file.** Enter the above amount in the “12-13 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 CFCIP Funding and Act 148 funds. For FY 2012-2013 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 2012-2013 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 *Independent Living Service Grant in the Narrative Template*.**
- **See “11-12 IL CY-814 Bdgt,” “11-12 IL CY-815 Bdgt,” and “12-13 IL CY-Grant Request” and “SGI Contact List 11-12” tabs in Excel budget file.**

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 development in the supporting documentation of 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.

In 2009, the Department 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 OCYF and the CCYAs. 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.

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Counties that have not already transitioned to a sustainable county case management system must provide a plan that includes:

- What system they will be adopting for use
- A timeline for adoption of another approved system
- Include the costs of transitioning to the new system in the IT grant

The plan should be submitted at the same time the county submits their IT Grant.

Counties that were not approved to continue using and/or modifying their existing system will need 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 2012-2013. The estimate should include first 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 identify how they plan on evaluating KIDS and determining whether it is the most appropriate system to meet their needs. The county should provide estimated FY 2012-2013 costs for implementation of KIDS and estimated total costs for subsequent years' implementation and maintenance.
3. The Joinder Client Information System (JCIS) may be an alternative for smaller counties. This system is currently in use by Lycoming, Clinton and Sullivan Counties. Counties considering transferring to JCIS should identify how they plan on evaluating JCIS and determining whether it is the most appropriate system to meet their needs. The county should provide estimated FY 2012-2013 costs for implementation of JCIS and estimated total costs for subsequent years' implementation and maintenance.
4. The Integrated Human Services Information System (IhSIS) is a fourth alternative available to counties. This system is in use by Lehigh County. Counties considering transferring to IhSIS should identify how they plan on evaluating IhSIS and determining whether it is the most appropriate system to meet their needs. The county should provide estimated FY 2012-2013 costs for implementation of IhSIS and estimated total costs for subsequent years' implementation and maintenance.
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.

Continued Use of Non-Approved IT Systems

Counties that make a decision to continue using an existing non-approved system **will not** be able to claim federal or state reimbursement for maintenance of the system beginning in FY 2012-2013. Any costs associated with new development of a non-approved system or modifications to an existing non-approved system will continue to be ineligible for federal or state reimbursement. Counties using a non-approved system are still required to meet all existing or new reporting requirements and will be responsible for modifying a non-approved system to meet any requirements of the statewide solution. Any future county IT development costs associated with meeting the requirements of the statewide system may also be excluded from federal and state reimbursement.

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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 implemented in FY 2010-2011 or planned for implementation in FY 2011-2012 and FY 2012-2013.

FY 2010-2011

Master Client Index (MCI)

The MCI Client service was implemented in October 2010. The MCI clearance process registers a child and assigns a unique statewide identification number to the child. Counties should be recording the MCI number for each child in the child's electronic county record. Any county that is not using a system that currently records the MCI number or is not in the process of transferring a system with this capability will need modify their system to collect this data field

FY 2011-2012

NYTD Served Population

Pennsylvania's planning efforts for collection of the NYTD Served population will occur in FY 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 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 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. Costs associated with NYTD reporting may be reported as an administrative cost of federal CFCIP funds. IT costs associated with NYTD cannot be claimed under regular Title IVE and must be reported separately from other IT related costs.

The NYTD reporting requirements can be found at the following websites:

ACF at:

<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 “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. **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

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outside of the scope of the SWAN prime contract must be approved by the appropriate regional office.

➤ **See the Budget Excel file.**

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.

6-3j. Legal Representation Costs for Juveniles in Delinquent Proceedings

Legal Representation Costs for Juveniles in Delinquent Proceedings are not eligible costs for Act 148 funding effective FY 2010-2011. Counties must not request funding for these costs through the NBPB. GAL costs should remain in the NBPB.

6-3k. Medical Assistance (MA) Services

Consistent with regulations, OCYF will not reimburse for medical and/or behavioral health treatment services for MA-eligible children and will not 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 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.

6-3l. Assessment Tool

The Department is supporting efforts of the Juvenile Court Judges' Commission and the Pennsylvania Council of Chief Juvenile Probation Officers in encouraging the use of a valid and reliable risk / need assessment instrument for children alleged or adjudicated delinquent. The county is encouraged to request reimbursement for "per administration" costs associated with the YLS/CMI.

6-3m. 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.

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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.

6-4 Accurint Search Tool

The Department and OCYF purchased access to the online use of the Accurint Search Tool on behalf of the CCYAs in April 2009. For FY 2010-2011, OCYF assigned a specific number of users to each county agency for whom DPW covers 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 2010-11 until the final allocation is provided to you. Specific requests for the total number of users for FY 2012-13 and the justification for the request must be provided in the Narrative Template.

Refer to the Needs Based Plan and Budget Instructions, Appendix 7 for more information.

➤ **See *Accurint Search Tool* in the Narrative Template.**

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Section 7: Required & Additional Language

7-1. Assurances

- See *Assurances* in the Narrative Template.

7-2. Special Notes on Indicators

7-2a. 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 2012-2013 Needs Based Plan and Budget (NBPB) 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: 2010/11). 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 revision were submitted to BFO, use the data from the most recent submission. The data should include the Title IV-E stimulus claims for 1st and 2nd quarter at the 6.2 percent increased Federal Financial Participation (FFP) rate. Title IV-E stimulus claims for 3rd quarter were at a 3.2 percent increased FFP rate and 4th quarter claims were at a 1.2 percent increased FFP rate.
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.

NOTE: For NBPB FY 2012-13 submission, counties are required to use their fourth quarter invoice in the actual year.

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

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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.)

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- (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 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 2010-2011 based on the total number of Department-approved positions per the county's most recent FY 2011-2012 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.)

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- 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.

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5. The ***Children and Youth Staff Assessment Summary*** contains information on positions and costs for FY 2010-11 year-to-date through FY 2012-13. 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 2010-11 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 2010-11 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 2010-11 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 2011-12 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 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 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 2011-12 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 2010-11.

Column 7 – FY 2011-12 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).

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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 2011-12 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 2010-11.

Column 9 – FY 2011-12 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 2011-12.)

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 2012-13 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 2012-13 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 2012-13 Vacant Position Adjustments

Show the number of approved positions by each staff category projected that were vacant as of July 1, 2011 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 2012-13 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 2012-13 Total Positions/Cost

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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 2012-13 Non-reimbursable Positions/Cost

Show the number and cost of non-reimbursable full- and part-time staff for FY 2011-12. 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, 2006 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.

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The detail on this form must tie to the invoice expenditure report as submitted DPW's Bureau of Financial Operations (BFO) for FYs 2006-07 through FYs 2010-11 (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 10/11" 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 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 Implementation Base** form.

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

All "Adjustments to Implementation Plan – FY 11/12" forms are summarized on the **Summary of Adjustments to Implementation Base** expenditure report by major object by cost center, per instructions in Appendix 2.

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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 12/13" 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 12/13" 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

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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 FFP rate for Title IV-E Placement Maintenance (PM) and Adoption Assistance (AA) will be 55.64 percent through September 30, 2011; 55.07 percent October 1, 2011 through September 30, 2012 and a projected 54.68 percent October 1, 2012 through September 13, 2013. These FFP rates are **NOT** the enhanced FFP rates related to the American Recovery Reinvestment Act (ARRA). 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 2012-13: Counties must budget based on their FY 2011-12 final allocation.
- c. Temporary Assistance for Needy Families (TANF) funds for FY 2012-13: Counties must budget based on their FY 2011-12 final allocation.

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- d. 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.
- e. Counties must not budget Human Services Development Fund (HSDF) dollars for FY 2012-13. Revenue adjustments to remove HSDF funds from the NBPB for FY 2011-12 and FY 2012-13 must be completed.

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

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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:

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- 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.

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- 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 CCYAs total projection for permanency services, projected units and projected costs. **The form is completed for FY 2012-13 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 Statewide Adoption Network (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.

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, 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

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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 SPLC 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.

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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

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approved in accordance with Attachment F. These services are also available to all permanent families that now include kinship, permanent legal guardianship 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.

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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 2011-2012 and the number of paralegals they are requesting for FY 2012-2013 into the box under the area titled Number Of SWAN Paralegals Requested for FY 2012-2013. 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 2012-2013.

INFORMATION TECHNOLOGY COSTS FY 2011-2012

I. Information Technology Costs

CCYAs must provide documentation of all anticipated Information Technology Costs for FY 2012-13. 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 information provided in the Supporting Documentation sections of the Budget Excel file.

II. Continued Use of Non-Approved IT Systems

Counties that make a decision to continue using an existing non-approved system **will not** be able to claim federal or state reimbursement for maintenance of the system beginning in FY 2012-2013. Any costs associated with new development of a non-approved system or modifications to an existing non-approved system will continue to be ineligible for federal or state reimbursement. Counties using a non-approved system are still required to meet all existing or new reporting requirements and will be responsible for modifying a non-approved system to meet any requirements of the statewide solution. Any future county IT development costs associated with meeting the requirements of the statewide system may also be excluded from federal and state reimbursement.

III. Federal Financial Participation (FFP)

When planning for IT costs, counties must consider whether those costs are eligible for 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), 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.

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IV. 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.”

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.

V. 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.

Each schedule has been divided into three sections; the first section captures costs associated with County Operations & Maintenance Cost Categories. The second section captures costs associated with County Development and Implementation Cost Categories and the third section captures supporting documentation needed to justify the request.

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 that are members of the Department of

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General Service, Bureau of Procurement COSTARS Program may use that service for the purchase of IT hardware. The COSTARS website is:

<http://www.dgsweb.state.pa.us/COSTARSReg/Member.aspx>.

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: Operations and Maintenance Section

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

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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 supporting documentation section of the IT Schedule: make, model, length of maintenance package (if applicable), a list of software included (if applicable) and information pertaining to leased equipment (if applicable).

2. **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. Counties must identify the type of printer (network, stand alone, mobile) and must identify if a printer is needed due to additional staff (number of new staff) or replacing an older printer (indicate what printer is being replaced). Printers must be listed with basic information, such as make, model, and type, number of staff to be supported, length of maintenance package (if applicable), and information pertaining to leased equipment (if applicable). All requests for stand-alone or portable printers require additional justification to support the need.
3. **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 supporting documentation section of the IT Schedule: make, model, type (file/print, web or database) 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.
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 supporting documentation 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.

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B. Software

Counties may benefit from use of Commonwealth volume licensing as well as extended licensing options such as Microsoft's Software Assurance option which may decrease the cost of upgrading software over a period of 3 to 6 years.

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. **New PC Application Software** – The CCYA may purchase single-user application software, such as Microsoft Office 2010, 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 Infrastructure (security/virus) licenses Cost line item.
3. **Software Upgrades for existing PC** - The CCYA may purchase upgrades to existing software (*upgrade* refers to the replacement of a product with a newer version of the same product). Provide a complete list of the software being purchased, number of copies for each software title, cost per copy. Renewal of anti-virus/security software should be included under the Infrastructure (security/virus) licenses Cost line item.
4. **Infrastructure (security/virus) licenses** - CCYA may purchase or renew desktop or server licenses to comply with manufacturer's copyright licensing agreements for intended use of one or more copies of the software. CCYA must provide a comprehensive list of the manufacturer's name, software license type being purchased, software version, number of copies for each software title, cost per copy.

C. 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 2012-13.
- Only software hosting costs are reported in this cost line item. Software maintenance for a hosted application should be reported under Application Maintenance.

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- 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.

D. 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.
3. **Air Cards** – CCYAs may purchase air cards to support their mobile technology. These air cards allow the user to connect to the Internet or county network without having to rely on "hot spot" area availability or access to a phone line. Additional information must include justification to support the cost and the number of users.

E. Application Maintenance

Counties may charge the cost of technical staff 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 application maintenance costs. Any costs requested above this figure must be clearly identified and detailed justification provided in regards to countywide IT staff, CCYA IT staff, and vendors or pricing associated with maintenance in allowable categories identified above. *Any new development or implementation costs will be captured under the development and implementation section of this form.* CCYAs must provide the name, address, phone and cost per user or hour for technical staff, length of contract or number of hours allocated to CCYA; description of duties and number of staff assigned.

Counties must clearly identify costs for system maintenance for correction of application defects and software upgrades for performance and or security needs.

F. Hardware/Network Support Services & Setup

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

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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.

Two additional cost categories have been added to this line item. The first is for costs associated with the CCYA Network and the second is for setup of hardware. For each of these categories the following information will be needed to justify the request: vendor name, address, phone number, length of contract, cost per unit or hourly cost, who is providing the support and number of staff.

G. Disaster Recovery Plan

CCYAs can request monies to support the costs associated with upgrading or maintaining their disaster recovery plan. Requested costs will be reviewed against the county's Disaster recovery Plan submitted to their regional office.

H. County Staff Travel Costs

CCYAs may budget the cost of IT related travel for county technical staff or program staff. 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.

I. Training

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

J. 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.

Allowable Costs: Development and Implementation Section

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. File Servers** – All servers dedicated to application development should be requested under this section of the form. 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 application development. All requests must include the following documentation in the supporting documentation section of the IT Schedule: make, model, type (file/print, web or database) and length of maintenance package (if applicable).

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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.

2. **Other Hardware** – All hardware required for application development should be requested under this section of the form. 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 supporting documentation section of the IT Schedule.
3. **Depreciable Hardware** – All hardware required for application development should be requested under this section of the form. 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

Counties may benefit from use of Commonwealth volume licensing as well as extended licensing options such as Microsoft's Software Assurance option which may decrease the cost of upgrading software over a period of 3 to 6 years.

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. **Development Software** - Provide a complete list of the software being purchased, number of copies for each software title, cost per copy.
3. **Infrastructure (security/virus) licenses** – CCYA may purchase or renew server licenses to comply with manufacturer's copyright licensing agreements for intended use of one or more copies of the software. CCYA must provide a comprehensive list of the manufacturer's name, software licensing type being purchased, software version, number of copies for each software title and cost per copy.

C. Development and Implementation Services

Counties may charge the cost of technical staff needed to develop and implement IT systems or new components to existing systems (prior DPW approval is required). Based on the cost per system user counties may budget and spend up to \$500 per system user for development/implementation costs. Any costs requested above this figure must be clearly identified and detailed justification provided in regards to countywide IT staff, CCYA IT staff, and vendors or pricing. CCYAs must provide the name, address, phone and cost per user or hour for technical staff, length of contract or number of hours allocated to CCYA; description of duties and number of staff assigned.

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Counties must provide justification and receive prior DPW approval for development and implementation of new IT systems or components. Additional documentation supporting the need for new development should be uploaded to SeGov at the time of your Needs Based submission using the following naming convention: NBB00_12-13_Name of document.

Example for Adams County: NBB01_12-13_IT Justification.doc

D. Conversion Costs

Counties transitioning to another sustainable system may budget the cost of conversion of data to the new system.

E. Disaster Recovery Plan

CCYAs can request monies to support the costs associated with developing and implementing their disaster recovery plan. Requested costs will be reviewed against the county's Disaster recovery Plan submitted to their regional office.

F. County Staff Travel Costs

CCYAs may budget the cost of IT related travel for county technical staff or program staff. 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.

G. Training

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

H. 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 technical equipment for development and implementation of the CCYA's IT system.

I. Total FFP Costs – the total of A through R on the FFP Costs Schedule.

J. Total NON-FFP Costs – the total of A through R on the NON-FFP Costs Schedule.

K. TOTAL FFP and NON-FFP Costs – the total of S and T (located on the FFP Costs Schedule).

VI. 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;

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- 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 should to be addressed to:

Ms. Susan Stockwell
sstockwell@state.pa.us
(717) 772-6902

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**Hardware and Software Configuration and Cost Standards
March 2011**

I. Standard Desktop Configuration

DPW Standard Desktop		
Material Description	Configuration	Price
Base Unit:	OptiPlex 780 Minitower, Intel Pentium Dual Core E5800, (3.2GHz, 2M, 800MHz FSB)	
Memory:	2GB DDR3 Non-ECC SDRAM, 1333MHz, (1 DIMM)	
Keyboard:	Dell Multimedia Pro Keyboard with Hot Keys and Detachable Palmrest	
Monitor:	Dell 23 Inch Dell E Series E2311H Widescreen Flat Panel	
Video Card:	Integrated Video, Intel Graphics Media Accelerator (GMA) 4500	
Hard Drive:	250GB SATA 3.0 Gb/s and 8MB DataBurst Cache	
Floppy Disk Drive:	No Floppy Drive with Filler Panel	
Operating System:	Windows 7 Professional, Media	
Mouse:	Dell MS111 USB Optical Mouse	
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

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II. Standard Notebook Configuration

DPW Standard Notebook		
Material Description	Configuration	Price
Base Unit:	Latitude E5410, Intel Core i3 370M, (2.40GHz, 1066MHz 3M L2 Cache)	
Display:	14.1 inch Wide Screen WXGA+ Anti-glare LCD Panel	
Memory:	2.0GB, DDR3-1333 SDRAM, 1 DIMM	
Keyboard:	Internal English Dual Pointing Keyboard	
Graphics Card:	Intel Integrated Mobile GMA 4500MHD	
Hard Drive:	160GB Hard Drive, 9.5MM, 5400RPM	
Mouse:	Dual Pointing Touchpad and Trackstick	
Floppy Disk Drive:	No Floppy Drive	
Operating System:	Windows 7 Professional	
AC Adapter:	65W A/C Adapter	
Optical Drive:	8X DVD+/-RW Drive	
LAN:	Dell WLAN 1501 (802.11b/g/n) 1/2 MiniCard	
Battery:	6-Cell/54-WHr Battery	
Modem:	Express Card without 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

III. High-End Notebook Configuration

DPW High-End Notebook		
Material Description	Configuration	Price
Base Unit:	Latitude E6510, Intel Dual Core vPro i3-380M, (2.53GHz, 1066MHz 3M L2 Cache)	
Display:	15.6 inch HD Anti-Glare LED Display	
Memory:	2.0GB, DDR3-1333 SDRAM, 1 DIMM	
Keyboard:	Internal English Keyboard	
Graphics Card:	512MB NVIDIA NVS 3100M	
Hard Drive:	160GB Hard Drive 9.5MM,5400RPM	
Mouse:	Standard Touchpad	
Operating System:	Windows 7 Professional, Media	
Floppy Drive:	No Floppy Drive	
AC Adapter:	90W A/C Adapter	
Optical Drive:	8X DVD+/-RW Drive	
LAN:	Dell Wireless LAN 1501 (802.11b/g/n) 1/2 MiniCard	
Documentation:	Resource DVD with Diagnostics and Drivers	
Modem:	No modem	
Battery:	9-Cell/90-WHr Battery	
Feature:	Noise Cancelling Digital Array Microphone	
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

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IV. Tablet Configuration

Dell Tablet		
Material Description	Configuration	Price
Base Unit:	Latitude XT2, Intel Core 2 Duo SU9600 (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 GMA 4500MHD	
Hard Drive:	160GB hard drive, 5400RPM (Free Fall Sensor)	
Mouse:	No Mouse	
Operating System:	Windows 7 Professional, Media	
Floppy Drive:	No Floppy Drive	
AC Adapter:	65W AC Adapter	
Optical Drive:	8X DVD	
LAN:	Dell Wireless LAN 1397 (802.11b/g) 1/2 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

V. Servers

Servers		
	Low-End*	High-End*
File/Print	\$12,140.00	\$17,372.00
Web	\$12,140.00	\$17,372.00
Database	\$18,867.00	\$32,914.00
Note* Prices vary considerably and are approximate ranges for the various server categories.		

VI. Printers

Printers		
	Low-End*	High-end*
Network	\$445.00	\$3,369.00
Small Networked Multi-Function Device (MFD)	\$306.60	\$4,646.49
Large Networked MFD**	\$6,585.12	\$18,680.64
Note* Prices vary considerably and are approximate ranges for the various printer categories. **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.		

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VII. Software – MS Office

Software	
Microsoft Office – Standard w/ License	\$241.57
Microsoft Office – Professional w/ License	\$329.85

VIII. Networking Equipment

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

IX. 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		

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Modem	\$0.27		
Monitor - CRT	\$0.23		
Monitor - LCD larger than 22"	\$11.19		
Monitor - LCD up to and including 22"	\$1.17		
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		

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Appendix 5: Independent Living Services Grant, FY 2012-13

PURPOSE: The purpose of these instructions is to transmit guidelines for the preparation and submission of FY 2012-13 Independent Living Services (ILS) grant requests from CCYAs for funding of IL services, as defined in this Appendix. These instructions also require the preparation and submission of FY 2011-12 Intermediate Object (11-12 IL CY814 Bdgt), Implementation Year Budget Change Request (11-12 IL Change), and Implementation Budget by Source of Funds (11-12 IL CY815 Bdgt).

These instructions serve as the sole means to request funding for the provision of IL services in FY 2012-13 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.

NOTE: *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, 2012 – June 30, 2013 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.

- The CFCIP Eligibility section and services have been revised to reflect the most current draft of the ILS Guidelines Bulletin.
- The narrative template is revised to require the identification of three program or youth outcomes that the CCYA plans to improve, how services will be designed and

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implemented to effect these outcomes, and strategies to meet the requirements of the IL Services Guidelines Bulletin.

- Additional information about the NYTD reporting requirements are 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 are required to identify youth who are likely to remain in foster care until age 18 and to provide a broad array of services designed to help youth transition successfully to adult living or higher education.

CCYA may also 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 the funding streams available to pay for IL services and specific situations in which to use a specific funding source. CFCIP funds are limited to fund only those youth who meet specific eligibility criteria. 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	✓	✓
• Dually adjudicated dependent and delinquent; or	✓	✓
• Delinquent with shared case responsibility between the CCYA and the Juvenile Probation Office (JPO); or	✓	✓
• Adjudicated delinquent only;		✓
<i>and, after meeting any of the above criteria the following eligibility and funding source applies if the youth:</i>		
• Is a pre-adoptive or 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.	✓	✓

¹ CCYA may provide IL services to youth under 16 with an approved request to OCYF.

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YOUTH STATUS and ELIGIBILITY	CFCIP Funds	State/Local Funds
Youth who do not meet any of the above criteria, but for whom the county identifies as in need of IL services.		✓

*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.

Out-of-County/State Former Foster Care Youth – Youth formerly from any state or 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).

PA defines CFCIP funded IL Room and Board services as financial aid and caseworks support to include payment or reimbursements for shelter, food, rent, security deposits, utilities, furniture, household items and other start up expenses that may be incurred for youth who have exited substitute care on or after 18 through age 21. 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

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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.

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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, obtaining and maintaining a residence and negotiating a lease;
- Home management skills (e.g.. food preparation and nutrition, home safety and basic maintenance, laundry, cleaning);
- Identifying and utilizing community resources (police, clergy, banking, CareerLink, vocational rehabilitation);
- Identifying and utilizing community socialization activities (churches, parks recreational activities.);
- Time management;
- Human sexuality;
- Money management;
- Locating appropriate transportation;
- Obtaining a driver's education (including license and insurance, when appropriate);
- Parenting;
- Consumer and shopping skills;
- Personal care including grooming, physical and oral hygiene; and
- Understanding the importance of appropriate and necessary health care, (e.g. regular physical and dental examinations.)

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/anger management
- assertiveness
- communication skills
- conflict resolution/problem solving
- stress management and coping strategies
- cultural competence
- peer interactions
- healthy dating and relationships

C. Prevention Services

Prevention activities and skills development should be provided to youth receiving IL services in order to reduce the instances of drug, alcohol and tobacco abuse; domestic violence; teenage pregnancy; and STDs. Prevention services should include, but are not limited to, education on physical, dental and mental health issues; how to maintain good health through treatment and medication; and how to access services specific to health- and safety-related issues.

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D. Education

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

- Support and advocacy for vocational training and post-secondary education;
- High School Support and Retention;
- Tutoring or other supplemental education;
- Preparation for/assistance in obtaining a GED;
- Assistance in exploring and preparing for entrance into higher education;
- Intensive assistance and support to obtain all available financial aid for vocational training and post-secondary education; and
- Monitoring or mentoring services to improve retention in post-secondary programs.

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:

1. 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

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

2. 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

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- Other specific eligibility criteria for stipends.

Stipends should not be used to cover the cost of necessities or items that should be covered by the cost of care or insurance if the youth is still in foster care.

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.

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.).

3. 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.

4. 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)

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F. Employment

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

1. 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.

2. 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 in understanding practical housing issues, and to aid in locating and securing of safe and adequate housing prior to discharge. There are several ways that youth may be assisted in locating permanent housing that include, but are not limited to any combination of the following: as well as assist former foster youth to locate safe and adequate housing.

- Referral to public housing agency or other subsidized housing programs;
- Interview preparation;
- Application assistance;
- Accompaniment of youth on inspection; and
- Use local realtors as a housing resource.

Note: Do not request Placement Costs within this grant.

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.

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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 2012-13, 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 activities conducted to support an IL program that 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 ILS Grant and the NYTD. The IL Services Coordinator may have other tasks and responsibilities in

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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 it's 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

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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:

The following payment schedule will begin July 1, 2011.

The payment schedule allows for a total of six payments to be made by OCYF to the CCYA.

- OCYF will process the first advance payment for IL to CCYA for 25% of the allocation amount upon approval of the state budget or July 1. The allocation amount is the total amount of federal and state funds for IL.
- The second advance payment, up to 25% of the allocation amount, will be processed after OCYF receives the correct final expenditure report from the previous state fiscal year. This payment will be reduced by any underspending from the previous year and will be based on that year's cumulative year to date expenditures.
- The third advance payment, up to 25% of the allocation amount, will be processed after OCYF receives the correct first quarter expenditure report from the county. This payment will be reduced by any remaining underspending from the previous year and/or underspending in the current year's cumulative year to date expenditures.

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- The fourth advance payment, up of 12.50% of the allocation amount, will be processed after OCYF receives the correct second quarter expenditure report from the county. This payment will be reduced by any remaining underspending from the previous year and/or underspending in the current year's cumulative year to date expenditures.
- The fifth advance payment, up of 12.50% of the allocation amount, will be processed after OCYF receives the correct third quarter expenditure report from the county. This payment will be reduced by any remaining underspending from the previous year and/or underspending in the current year's cumulative year to date expenditures.
- The final actual settlement payment will be processed after OCYF receives the correct final expenditure report from the county for the previous state fiscal year. The payment may be up to the balance of the final expenditures, not to exceed the allocation amount. This payment will be based on the cumulative year to date expenditures.

The Department reserves the right to negotiate with county agencies the withholding or delaying of advances should reported expenditures not warrant a payment.

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.

NYTD REPORTING

During the period October 1, 2010 through September 30, 2011, CCYA were instructed to comply with the NYTD requirements to collect and report information for all youth in agency care between age 17 and 17 and 45 days regardless of their receipt of IL Services. This is referred to as the baseline population and this process of collecting this data must occur every three years for a new cohort of youth.

Beginning October 1, 2012 through September 30, 2013, NYTD requires states to collect follow-up data on the initial baseline population (those 17 year olds who will be reaching age 19.) Pennsylvania will use a sample of the initial baseline population at ages 19 and 21. (The next 17 year old baseline population collection period begins on October 1, 2013.)

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NYTD also requires that states collect information on the served population (those youth receiving any IL Service during a six-month period). OCYF expects to implement this component of NYTD in 2012-13 upon the completion of all phases of system design, development, and training.

A summary of the data collection is as follows:

- Baseline population (age 17) – ends September 30, 2012.
- Follow-up population (above subgroup at age 19) – October 1, 2012-September 30, 2013.
- Served population (all youth receiving an IL service) – to be determined.

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. CCYA may elect to budget an amount of up to \$10 per youth for the sample of the follow-up population to be used as an incentive, if necessary. If incentives are best determined to be administered at the state level, CCYA will be notified to be used in other areas of IL service delivery. 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 the OCYF Regional Director and the state IL Program Manager and include a budget revision, if deemed necessary, to DPW within 30 days following the implementation of the revision 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

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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 2011-12 Intermediate object (11-12 IL CY814 Bdgt);
 - Implementation Year Budget Change Request (11-12 IL Change); and
 - Implementation Budget by Source of Funds (11-12 IL CY815 Bdgt).
 - FY 2012-13 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.

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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.**

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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.

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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.

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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 6: 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 2012-2013 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 2011-2012 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. Beginning in FY 2011-2012, the Department and AOPC have determined that FF will no longer be funded as a Special Grant.

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.

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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 2012-2013 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, and HFWA)	95%	5%
PaPP	90%	10%
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 2011-2012 Year and Request for FY 2012-2013. The following information must be submitted for each SGI.

Implementation of FY 2011-2012

- 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 2010-2011 Outcomes
- Report of under-utilization and/or under-spending of grant funds in FY 2008-09 and/or 2009-10

Request for FY 2012-2013

- 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, 2009-10, and/or 2010-11 steps that will be taken to ensure the minimize under-utilization and under-spending

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Implementation of FY 2011-2012

- Work statement
- Budget Narrative
- Technical Assistance Needs
- FY 2011-2012 Line item Budget (and 2010-2011 Actual Expenditures with Adjustments)

Request for FY 2012-2013

- Proposed outcomes and target population
- Work statement
- Budget Narrative
- FY 2012-13 Special Grants Funding Request Form.

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 since FY 2008-09, 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 2011-12 as well as FY 2012-13.

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. Budget information entered in the Narrative Template will serve only as an estimate of projected program cost. If information entered into the Narrative Template and the Budget Excel File do not match, the Budget Excel File will be deferred to and considered as a final budget. Instructions for completing the Excel files are included in Appendix 9 and in the Excel file.

The Special Grants Budget Form for FY 2011-12 requests FY 2008-09, FY 2009-10 and FY 2010-11 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 2012-13 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.

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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); 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).

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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.

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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.

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;

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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 2010-11 and 2011-12, 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 2011-12, 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 2011-12, 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 2012-13. 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 2012-13.

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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

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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.

FY12/13 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 12/13. 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 2010/11 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 2011-2012 Special Grant Contact List

OCYF has created a new excel worksheet, SG 11-12 Contacts, for completion by CCYA for every budgeted SGI for the FY 2011-2012. 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 SPECIAL GRANTS INITIATIVE (SGI)

Beginning with the implementation 2011-12 budget and continuing thereafter, CCYAs will be required to provide OCYF with expenditure reports from which payments will be reconciled and generated if a payment is warranted.

The following payment schedule will begin July 1, 2011.

The payment schedule allows for a total of six payments to be made by OCYF to the CCYA.

- OCYF will process the first advance payment for SGI to CCYA for 25% of the allocation amount upon approval of the state budget or July 1. The allocation amount is the total amount of all the SGI categories including: EBP, PaPP, Housing, ATP and IL.
- The second advance payment, up to 25% of the allocation amount, will be processed after OCYF receives the correct final expenditure report from the previous state fiscal year. This payment will be reduced by any underspending from the previous year and will be based on that year's cumulative year to date expenditures.

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- The third advance payment, up to 25% of the allocation amount, will be processed after OCYF receives the correct first quarter expenditure report from the county. This payment will be reduced by any remaining underspending from the previous year and/or underspending in the current year's cumulative year to date expenditures.
- The fourth advance payment, up of 12.50% of the allocation amount, will be processed after OCYF receives the correct second quarter expenditure report from the county. This payment will be reduced by any remaining underspending from the previous year and/or underspending in the current year's cumulative year to date expenditures.
- The fifth advance payment, up of 12.50% of the allocation amount, will be processed after OCYF receives the correct third quarter expenditure report from the county. This payment will be reduced by any remaining underspending from the previous year and/or underspending in the current year's cumulative year to date expenditures.
- The final actual settlement payment will be processed after OCYF receives the correct final expenditure report from the county for the previous state fiscal year. The payment may be up to the balance of the final expenditures, not to exceed the allocation amount. This payment will be based on the cumulative year to date expenditures.

The Department reserves the right to negotiate with county agencies the withholding or delaying of advances should reported expenditures not warrant a payment.

REQUESTS TO TRANSFER/SHIFT FUNDS

The following subsections permit the transfer or shifting of funds within the Special Grant Initiative (SGI) categories of Evidence-Based Programs, Pennsylvania Promising Practices, Housing and Alternatives to Truancy for SFY 2011-12 within the maximum allocation amount. Counties must have sufficient local matching funds when requesting a transfer to those programs with a higher match requirement.

Transferring of funds will allow for the inclusion of Independent Living (IL) state funds. The federal portion of the IL funds are restricted to specific services requirements of the Chafee Foster Care Independence Program and may not be shifted outside of the IL program to the SGI. The request must include detailed justification for the proposed changes.

The SGI includes the following programs and their assigned percentage of state and local funds:

Program	State	Local
Multi-Systemic Therapy	95%	5%
Functional Family Therapy	95%	5%
Multidimensional Treatment Foster Care	95%	5%
Family Group Decision Making	95%	5%
Family Development Credentialing	95%	5%
High-Fidelity Wrap Around	95%	5%
Pennsylvania Promising Practices Dependent	90%	10%
Pennsylvania Promising Practices Delinquent Housing Initiative:	90%	10%

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– State Fiscal Year (SFY) 2010-11	80%	20%
– SFY 2011-12	85%	15%
Alternatives to Truancy Prevention	90%	10%

Note: The transfer of funds for State Reintegration and IT will be the exception and is not permitted.

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 2011-2012 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 2011-2012 budget.

FY 2010-2011 Actual Expenditures

Complete the first section of the Budget Excel File, SG BDGT 1112. Enter the total amount of the grant funds (state and local) and any NB funds used to support the program or practice during FY 2010-2011. If an adjustment was made, enter the adjustment number referenced in the county's Access file submission.

FY 2011-2012 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 2011-2012 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 2011-2012 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.

If information entered into the Narrative Template and the budget excel file do not match, the budget excel file will be deferred to and considered as a final budget.

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FY 2012-2013 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 2012-2013. 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.

FGDM Attachment – In addition to the Quarterly Expenditure Report, the FGDM Attachment must be completed by each county that has an approved FGDM allocation and is invoicing expenses for that program. It should be noted that the amount that populates on the total line of the form may not be your actual expenses, as your provider may not charge the maximum amount allowed, but your expenditure report may not exceed the total amount as it populates on the FGDM Attachment form. Counties should submit expenditure reports for actual expenses only. The amount that populates in the FGDM Attachment reflects maximum costs set by the Department for three tasks within FGDM, including: Successful Conference, Successful Referral and Unsuccessful Referral.

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.

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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 and IL (IL state funds only); 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 FY must be received no later than May 15. The total grant amount

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may not be exceeded. Counties must have sufficient local matching funds when requesting a transfer to those programs with a higher match requirement.

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.

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.

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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
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 7: 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 2010-11, OCYF assigned a specific number of users to each county agency for whom DPW covers 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 2010-11 until the final allocation is provided to you. Specific requests for the total number of users for FY 2012-13 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.

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Accurint Search Tool Quarterly Report Form and Instructions

The Office of Children, Youth and Families will continue to track county outcomes to understand the impact that this tool is having on improving outcomes for the children and families served. 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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