


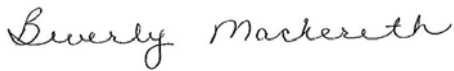
# FY 2013-14 NBPB

Commonwealth of  
Pennsylvania

Office of Children,  
Youth and Families



## **NEEDS BASED PLAN AND BUDGET BULLETIN INSTRUCTIONS & APPENDICES**

	<b>OFFICE OF CHILDREN, YOUTH AND FAMILIES BULLETIN</b>  <b>COMMONWEALTH OF PENNSYLVANIA</b> <b>DEPARTMENT OF PUBLIC WELFARE</b>		
	<b>NUMBER:</b>  <b>3140-12-03</b>	<b>ISSUE DATE:</b>  <b>June 21, 2012</b>	<b>EFFECTIVE DATE:</b>  <b>July 1, 2012</b>
<b>SUBJECT:</b> <b>Revised Fiscal Year 2013-14 Children, Youth and Families Needs-Based Plan and Fiscal Year 2012-13 Implementation Plan Instructions</b>		<b>BY:</b>   Beverly Mackereth, 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) 2013-2014 Needs-Based Plan and Budget (NBPB) and the FY 2012-13 Needs-Based Implementation Plan which must be submitted by August 15, 2012.

**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](mailto: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.

### **OCYF PRIORITIES**

OCYF has set several priorities for the upcoming year to improve the quality, effectiveness and efficiency of the child welfare system for the children and families of Pennsylvania. These priorities were identified by youth and families in the child welfare system, county administrators, and system partners as imperative to ensuring safety, well being, and permanency.

- **Indicators and Benchmarks** – In this bulletin, counties will be asked to select three benchmarks for improvement, set targets, and identify strategies to achieve those targets.
- **Reduction in Congregate Care Usage** – OCYF is partnering with Casey Family Programs, the Administrative Office of the Pennsylvania Courts, the Juvenile Court Judges Commission, and the Office of Mental Health and Substance Abuse to reduce the utilization of congregate care in PA. While out of home placements have dropped by 31% in Pennsylvania from October 1, 2007 to September 30, 2011, the percentage of youth placed in congregate care has only declined slightly from 25.04% to 22.44%. OCYF will be working with counties to identify strategies to further reduce the percentage of youth entering congregate care.
- **Quality Versus Compliance** – OCYF regional staff will continue their shift in focus from compliance to quality. Regional staff will provide increased technical assistance to counties, assist counties in meeting their identified benchmarks, and encourage the use of data to identify strengths and areas needing improvement in both the counties and OCYF.
- **Psychotropic Medications** – The Department of Public Welfare, in partnership with the Administrative Office of the Pennsylvania Courts, Casey Family Programs, and public and private children and youth agencies are working to gather necessary information to determine the extent of utilization of psychotropic medications for children served by Pennsylvania's child welfare system. Research and data shows that nationally children in foster care have a higher likelihood of being prescribed psychotropic medication than children within the general population. As a result of this work, through the support of Casey Family Programs, the Children's Hospital of Philadelphia will perform a statewide and county level analysis of pediatric psychotropic medication prescriptions using Pennsylvania Medicaid data. Specifically, this analysis will examine trends for all Medicaid-enrolled children aged 3-18 years and the subgroup of Medicaid-enrolled children in foster care aged 3-18 years from 2002 to 2010. The analysis will include:
  - County-level analysis of mental health diagnosis rates by year;
  - County-level analysis of trends in psychotropic medication, antipsychotic medication, and polypharmacy prescribing; and
  - Statewide analysis of trends in psychotropic medication, antipsychotic medication, and polypharmacy prescribing within and across Behavioral Health Managed Care Organization (BHMCO) and fee-for-service claims.

The overall goal of this work will be to develop tools to assist courts and agencies in monitoring the utilization of psychotropic medications for children under their care. Counties may develop strategies to address the utilization of psychotropic medications as necessary.

### **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, 2012) 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 2013/14, 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, 2012.** The Budget Excel file and ACCESS file must be submitted electronically through Se-government by September 15, 2012. 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](mailto: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 2013-2014 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 2013-2014 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 2013-2014 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 2013-2014 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

➤ **See the Narrative Template.**

#### 2-2b. Data Collection

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

➤ **See the Narrative Template.**

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## 2-3: Meeting Mandates

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

Counties are required to ensure that their claim for Federal Title IV-E funding is accurate. Specifically, counties must ensure that there is auditable documentation to support the expenses, and the resultant claim made for Title IV-E funds is correct. Any Administration for Children and Families (ACF) disallowance incurred as a result of county noncompliance with Title IV-E placement maintenance, adoption and subsidized permanent legal custodianship subsidies 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 up to the county's allocation.

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

### 2-3b. Fostering Connections to Success and Increasing Adoptions Act

The Federal Fostering Connections to Success and Increasing Adoptions Act of 2008 was enacted with a focus on implementation of strategies to support youth transition to adulthood and to improve self sufficiency. States were given the option to claim Federal Title IV-E funds for youth up to age 21 for youth who remain in foster care, were adopted after age 16 or were placed with a permanent legal custodian after age 16 if the youth is:

- enrolled in secondary or post-secondary education;
- taking classes to prepare for a general equivalency diploma exam;
- employed at least 80 hours per month;
- participating in programs or activities to promote or remove barriers to employment;
- or
- incapable of participating in the aforementioned programs or activities.

The Department of Public Welfare and several county children and youth agencies participated on a workgroup convened by the Pennsylvania Partnerships for Children and the Juvenile Law Center to complete programmatic and fiscal impact analysis to determine whether the Commonwealth should implement statutory provisions to pursue these options. As a result of this analysis, Pennsylvania's proposal goes beyond the federal requirements by supporting youth age 18-21 that were adopted or placed with a permanent legal custodian after the age of 13 rather than age 16.

In 2010, nearly 28,000 children were served in the Pennsylvania foster care system and close to half of these youth were age 13 or older. Additionally, there were more than 2,300 children adopted from the foster care system in 2010, but only 9 percent were age 13 or older. Approximately 900 children left foster care for permanent legal custodianship in that same year and only 38% were age 13 or older. Data, research and local practice show that it is more challenging to achieve permanency for youth over the age of 13, that they are often placed in expensive residential programs and are more likely to re-enter foster care within 12 months of being returned to their families. Implementation of the option to extend payments for youth up to age 21 who remain in foster care, were adopted after age 13 or were placed with a permanent legal custodian after age 13 if the youth is:

- enrolled in secondary or post-secondary education;

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- taking classes to prepare for a general equivalency diploma exam;
- employed at least 80 hours per month;
- participating in programs or activities to promote or remove barriers to employment;
- or
- incapable of participating in the aforementioned programs or activities

will not only lead to improved outcomes for children, but will also lead to overall savings in state and county funds.

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

### 2-3c. Safety Assessment

Efforts continue to be made related to the Safety Assessment and Management Process (SAMP), both for the in-home and out-of-home care processes. These efforts include looking at ways to streamline the processes and reduce duplication. This work is being further addressed through research conducted by the University of Pittsburgh, Child Welfare Resource Center specifically efforts related to the potential combination of the safety and risk assessment processes. The Department will issue final guidelines related to the Out-of-Home Safety Assessment and Management Process by July 1, 2012 and will work with counties related to future implementation.

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

### 2-3d. 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.

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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 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.

Please refer to OCYF Bulletin 3130-12-01, entitled Act 115 of 2010 Regarding Placement and Visitation with Siblings, for additional information.

<http://services.dpw.state.pa.us/olddpw/bulletinsearch.aspx?BulletinId=4827>

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

### 2-3e. 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 is issuing a bulletin 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.**

### 2-3f. 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

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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, met monthly to develop training recommendations and a 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 was revised and was offered to all GALs and Parent Advocates in six locations throughout the state during October and November 2011. Due to limited turnover in GALs, the training will continue to be offered periodically in the Harrisburg 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. A pre-service DVD has been developed for use in situations where a new GAL is hired and needs the training in order to be able to represent children, when the annual training is not available. This DVD was released in June of 2012.

All counties must ensure that newly appointed GALs receive pre-service training prior to representing children either through review of the pre-service DVD or attendance at the annual core training so long as either training occurs 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.**

### 2.3g. 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**

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- 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 17<sup>th</sup> birthday, regardless of whether the youth receives any services; 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 17 year old baseline population collection is ongoing.)

NYTD also requires that states collect information on the served population (those youth receiving any IL service during a six-month period). OCYF will coordinate with CCYA to implement this component of NYTD to begin the collection of data of an IL service provided to all youth in 2012 for the period April 1, 2012 through September 30, 2012.

A summary of the data collection is as follows:

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

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

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anticipates the discontinuance of the Pennsylvania Independent Living Outcomes Tracking System (PILOTS) data collection and submission.

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

### 2-3h. 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 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

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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 additional counties will be added to each future phase of CQI.

Pennsylvania conducted QSRs in six counties during the first phase of Pennsylvania's CQI effort. In total, 100 cases were sampled -- 60 foster care cases and 40 in-home cases. One in-home case was dropped from the sample as family members were not available for interviews bringing the total number of cases reviewed to 99, 40 in-home and 59 out-of-home. The QSR utilizes case reviews and interviews with key stakeholders to measure both:

- the current status of the family including both the parents or caregivers and the focus child/youth and
- the quality of practice exhibited in the county.

The findings from those QSRs identified several areas of strength and opportunities for improvement that were similar to those identified during the federal CFSR.

#### *Areas of Strength*

The Safety, Living Arrangement, Intervention Adequacy, and Physical Health indicators for the children/youth revealed that these factors were found to be appropriate in the majority of the cases reviewed. Many children were participating in early learning environments that were commensurate with their ages and developmental needs. Most children were found to be developing appropriately and on target with developmental milestones.

#### *Opportunities for Improvement*

Fathers as a subcategory<sup>1</sup> in several indicators were rated as unacceptable more often than not. Reviewers attributed this to a lack of engagement with fathers. Reviewers often reported that the lack of engagement directly resulted in a lack of role and voice, cultural awareness, assessment and understanding and maintaining family connections with fathers. Fathers need to be identified and included in case planning and engaged in order to have a voice, their culture taken into consideration and the relationship with their children/youth maintained.

Improvement is also needed in meeting the needs of older youth. Reviewers identified reasons for the lack of acceptable ratings for the Pathway to Independence indicator to include: the youth's lack of long-term connections to their families or an adult role model inhibiting a successful transition into adulthood; and the youth not being connected with or not attending independent living programs and life skills courses; as well as the programs and courses not being structured or individualized for the youth.

While overall teaming was rated as acceptable in a little over half of the cases, it was frequently cited by reviewers, particularly when providing narrative to support Practice Performance indicator ratings, as a contributing factor for unacceptable ratings. Reviewers agreed that case planning for permanency was often "conflicting" amongst team members

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<sup>1</sup> Subcategories in total make up an entire indicator. For example, ratings for "child/youth," "mothers," "fathers," "substitute caregivers," and "other" collectively make up the overall rating for Engagement Efforts. A significantly poor rating in one subcategory can bring down the overall rating of the indicator even when all other subcategories are rated well.

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All counties should consider how their agencies are doing with respect to the findings from the federal CFSR and state-led QSRs and identify strategies for improving these outcomes. Phase I and Phase II CQI Counties may identify the strategies highlighted in their County Improvement Plans (CIPs) that they developed as a result of the findings from their onsite Quality Service Reviews (QSRs). CIPs should be referenced in Section 3-6 Benchmarks and Strategies rather than creating separate strategies.

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

### 2-3i. The Child and Family Services Improvement and Innovation Act of 2011 (Public Law 112-34)

On September 30, 2011, President Obama signed The Child and Family Services Improvement and Innovation Act into law. The act reauthorizes funding through Federal Fiscal Year 2016 for Stephanie Tubbs Jones Child Welfare Services (Title IV-B, Subpart I of the Social Security Act) and Promoting Safe and Stable Families (Title IV-B, Subpart 2 of the Social Security Act), and also authorizes new child welfare waiver demonstration projects through Federal Fiscal Year 2014. The act includes additional statutory provisions that will lead to improved outcomes for children and families.

As part of its ongoing plan to oversee and coordinate health care services for children in out of home care, each state is required as of October 1, 2011, to identify how a child's emotional trauma associated with child maltreatment and removal from their home will be monitored and treated, to establish protocols for the appropriate use and monitoring of psychotropic medications prescribed to children in out of home care and to address the developmental needs of children age four and younger who are substantiated for child maltreatment. County agencies should review their policies, protocols and county-specific data about the treatment and monitoring of emotional trauma and the monitoring and appropriate use of psychotropic medications for children in out of home care, and the developmental needs of children age four and younger who are substantiated for child maltreatment. If warranted, the county should develop a county-specific plan to not only monitor, but also improve the outcomes for children who are affected by emotional trauma, the use of psychotropic medications, and possible developmental delays. All counties should request sufficient funds to implement their county-specific plan.

The Administration for Children and Families (ACF) issued new related guidance, as follows:

ACF Information Memorandum ACYF-CB-IM-11-06, issued on October 6, 2011, provides basic information about this new law.

[http://www.acf.hhs.gov/programs/cb/laws\\_policies/policy/im/2011/im1106.pdf](http://www.acf.hhs.gov/programs/cb/laws_policies/policy/im/2011/im1106.pdf)

ACF Information Memorandum ACYF-CB-IM-12-03, issued on April 11, 2012, addresses the prevalence of psychotropic medication use by children in out-of-home care, the required monitoring of the use of these medications, and encourages increasing access to clinically appropriate screening, assessment, and evidence-based interventions for children with mental health and trauma-related needs who are in out-of-home care.

[http://www.acf.hhs.gov/programs/cb/laws\\_policies/policy/im/2012/im1203.pdf](http://www.acf.hhs.gov/programs/cb/laws_policies/policy/im/2012/im1203.pdf)

ACF Information Memorandum ACYF-CB-IM-12-04, issued on April 17, 2012, speaks to ACF's priority to promote social and emotional well-being for children and youth receiving child welfare

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services, and encourages focus on improving the behavioral and social-emotional outcomes for children who have experienced abuse and/or neglect.

[http://www.acf.hhs.gov/programs/cb/laws\\_policies/policy/im/2012/im1204.pdf](http://www.acf.hhs.gov/programs/cb/laws_policies/policy/im/2012/im1204.pdf)

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

## 2-3j. Concurrent Planning

The Adoption and Safe Families Act of 1997 (ASFA) encourages the use of concurrent planning when a child enters placement, (Section 475(5) of the Social Security Act (42 U.S.C. 675(5) (E)). Concurrent planning is the practice whereby the agency simultaneously establishes and executes two permanency goals and two plans designed to achieve each goal. For example, the primary plan for children in out of home care is generally reunification. In concurrent planning, the CCYA must make reasonable efforts for reunification of the family while also pursuing the goals and objectives of a second or alternate plan that is another permanency option. If for any reason the primary goal is not achieved for the child, the execution of the concurrent plan will ensure progress has already been made toward the concurrent permanency goal. Concurrent planning can significantly shorten the length of time a child remains in care since virtually no time is lost from the end of the primary plan to the initiation of the concurrent plan. Although many CCYAs already have Concurrent Planning practice in place, the Concurrent Planning Policy and Implementation Bulletin was issued by OCYF to help strengthen existing practice across the Commonwealth. CCYAs must begin concurrent planning for all children entering out of home care by July 1, 2015. CCYAs may begin implementing concurrent planning prior to July 1, 2015.

All CCYAs should engage in an organizational self study to review their concurrent planning policies and practices to determine what strengths and challenges they will face in implementing this policy. A free formalized self study to determine whether or not agencies are prepared to initiate concurrent planning can be found online at: <http://www.nrcpfc.org/cpt/assessment.htm>.

All CCYA organizational self assessments should be completed by July 31, 2013. Once the organizational self assessment is completed, the CCYA will provide a copy of the assessment and a plan to meet the agency's needs to implement all of the components of concurrent planning to their OCYF regional representative for discussion and approval.

Once the assessment and concurrent planning implementation plan are approved by the regional office, the CCYA should include the identified needs and costs associated with implementing concurrent planning supports in their State Fiscal Year (SFY) 2014 – 2015 Needs Based Plan and Budget request. SFY 2014 – 2015 will be a time for each CCYA to put in place each of the needs identified through the organizational self assessment.

The eight core components of concurrent planning which each agency must assess are:

1. Full disclosure to all participants in the case planning process;
2. Family search and engagement;
3. Family Group Decision Making/family group conferencing/Teaming;
4. Child/family visitation;
5. Establishment of clear timelines for permanency decisions;
6. Transparent written agreements and documentation;

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7. Committed collaboration between child welfare agencies, the courts, resource families, service providers and other stakeholders; and
8. Specific recruitment, training and retention of resource families.

Although each county must put their needs and costs into their NBPB request, Technical Assistance (TA) is available at no charge through the PA TA Collaborative. The TA Collaborative is a cohesive group of TA providers who work in collaboration with CCYAs to improve outcomes for children, youth, and families. CCYAs may request assistance with their organizational self assessment and with incorporating the core components of concurrent planning by contacting any of the TA Collaborative partners including their OCYF Regional Office, the Statewide Adoption and Permanency Network, (SWAN), the Administrative Office of PA Courts (AOPC), the American Bar Association (ABA) Barriers to Permanency Project and the PA Child Welfare Training Program (CWTP).

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

### 2-3k. Post Reunification Services

The key to successful reunification for children in out of home care is aggressive and meaningful planning and service delivery. In order to ensure that a child's return home is successful, reunification planning should begin the day the child enters placement and continue until the child is safely maintained with their parent. It is necessary to plan and coordinate service interventions that are based on the strengths and needs of children, youth and families that address safety, permanency and well being.

The planning and delivery of post reunification services must be provided for all children in out of home placement and their families when the goal is reunification. Post reunification services are defined as services that are provided to children and families after a child has been returned to their parent following an out of home placement. Post reunification services are to be provided following the reunification. Most CCYAs already provide post reunification services which are tailored to the needs of the child and family and incorporated into the Family Service Plan upon the child's discharge from out of home care.

There are five core areas of post reunification planning and services that must be addressed:

- Placement Decision Making;
- Family Engagement;
- Meaningful Visitation;
- Resource Family/Parent Collaboration; and
- Post Reunification Services Delivery.

Most of these services are part of on-going casework services and concurrent planning efforts. However, CCYA should in their NBPB request identify what costs, if any, are needed to implement any of the above.

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

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## Section 3: Indicators

This section asks counties to look at economic, demographic and outcome 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.

Specific to the Outcome Indicators 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, 2012.

### 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 and Two 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.

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Counties should consider whether resource allocations (both financial and staffing, including vacancies, hiring, turnover, etc.) are appropriate for the strategies identified in the CIP.

- ❑ 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.
- ❑ Effective October 1, 2011, the Child and Family Services Improvement and Innovation Act of 2011 (Public Law 112-34) requires states to work toward reducing the length of time that children under age five spend without a permanent family. Counties should review their data about the length of time children being served who are under age five spend without a permanent family. If warranted, the county should develop a county-specific plan to reduce the time to permanency for children in this age group. The county-specific plan should include distinct strategies to reduce time to permanency, such as strategic decision-making, family engagement practices, family finding, quality visitation practices, concurrent planning and prompt use of SWAN direct services, including child profile, family profile, child specific recruitment, child preparation, placement, finalization and post-permanency services. All counties should request sufficient funds to implement their county-specific plan to move children under age five more quickly to a permanent home.

➤ **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 2007/08 through 2011/12 actual data and FYs 2012/13 and 2013/14 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 2007-08, 2008-09, 2009-10, 2010-11, 2011-12 and the projected numbers for FYs 2012-13 and 2013-14.

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The number of families/children with an open case (i.e., Family Service Plan developed or being developed) in the CCYA in FYs 2007-08, 2008-09, 2009-10, 2010-11, 2011-12 and the projected numbers for FYs 2012-13 and 2013-14.

- ❑ 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 2007-08, 2008-09, 2009-10, 2010-11, 2011-12 and the projected numbers for FYs 2012-13 and 2013-14.

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

### 3-2b. Adoption Assistance

- **Complete section 3-2b General Indicators tab in the Excel file.** In the table, indicators with growth rates over/below a 10% threshold will automatically highlight. The county must track the number of children (non-duplicated) who were receiving adoption assistance on the first day of each fiscal year, added during the fiscal year, and ending adoption assistance during the fiscal year for FYs 2007-08, 2008-09, 2009-10, 2010-11, 2011-12 and the projected numbers for FYs 2012-13 and 2013-14
  - ❑ The total days of care for each fiscal year.
- **See 3-2a through 3-2e Charts in the Narrative Template.**

### 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 2007-08, 2008-09, 2009-10, 2010-11, 2011-12 and the projected numbers for FYs 2012-13 and 2013-14.
  - ❑ The total days of care for each fiscal year.
- **See 3-2a through 3-2e Charts in the Narrative Template.**

### 3-2d. Out-of-Home Placements

NOTE: An additional data element has been added to the Out-of-Home Placements General Indicator charts – the average length of stay per placement type has been added to the chart.

- 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:**

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- ❑ 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 2007-08, 2008-09, 2009-10, 2010-11, 2011-12 and the projected numbers for FYs 2012-13 and 2013-14.
- ❑ 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 2007-08, 2008-09, 2009-10, 2010-11, 2011-12 and the projected numbers for FYs 2012-13 and 2013-14.

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.**

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 for 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:

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- ❑ 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).

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

### 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.**

## **3-3: Outcome Indicators for Reunification & Permanency**

### 3-3a. 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.

### 3-3b. 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.

### 3-3c. 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.

### 3-3d. 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 3-3a – 3.3d Charts in the Narrative Template**

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### 3-4: Outcome Indicators for 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.

3-4a. Placement Stability, Less than 12 months (CFSR Measure 4.1)

3-4b. Placement Stability, 12 to 24 months (CFSR Measure 4.2)

3-4c. Placement Stability, Longer than 24 months (CFSR Measure 4.3)

➤ **See 3-4a – 3-4c Charts in the Narrative Template.**

### 3-5: Outcome Indicator for Re-entry

This measure is currently provided as a CFSR Individual Measure C1.4: Of all children who were discharged from foster care to reunification in the 12-month period prior to the target 12-month period, what percent re-entered foster care in less than 6 months and less than 12 months from the date of discharge?

The denominator for this measure includes children who meet all of the following criteria:

- The child's date of discharge from foster care occurs during the 12-month period just prior to the 12-month target year; and
- At the time of the date of discharge, the reason for discharge is either "reunification with parents or primary caretakers" or "living with other relatives."

The numerator for this measure includes children who meet all of the criteria for inclusion in the denominator and also meet the following criterion:

- The child's date of latest removal from home is measured in two increments, less than 6 months and less than 12 months from the date of discharge from foster care that occurred during the 12-month period just prior to the 12-month target year.

➤ **See 3-5a and 3-5b Chart in the Narrative Template.**

The following areas must be addressed through responses to the targeted questions for subsections 3-3a. through 3-5b. 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?

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- ❑ Describe the county's use of congregate care:
  - Provide overview description of child/youth placed in congregate care setting
  - Describe county's process related to placements
  - Assess average length of stay for child/youth in out of home care
- ❑ Identify impact of established SCR practices within the county

### **3-6: Benchmarks and Strategies**

Beginning for FY 2012/13, counties must self-identify benchmarks based on the previous section's data analysis of 3-3a through 3-5b. Counties may utilize additional data elements as support in the identification of targeted benchmarks and strategies to be employed toward improvement of outcomes that would be implemented in FY 2013/14. It is expected that counties will use a combination of HZA data and county generated data in their analysis. If the county is in need of further breakdown of data elements for identified benchmarks, requests for such assistance from HZA may be made.

Counties may identify their own benchmarks using county data, including the results of a QSR, or select benchmarks from those listed below. Phase I and Phase II CQI Counties should consider the benchmarks established as a result of their findings from their Quality Service Reviews (QSRs) and the strategies that are identified in their County Improvement Plans and how they might impact the aforementioned benchmarks. In order to streamline a County's planning processes; CIPs may be revised to show connections to these benchmarks without a county creating an entirely separate and new plan with new strategies that are created in isolation of the CIP developed as a result of a county's CQI efforts. One strategy may have an impact on more than one benchmark which may be acknowledged in the revisions or development of the QSR CIPs.

#### OCYF identified Benchmarks

- Repeat maltreatment – The rate of confirmed reports of an incident of child maltreatment that occurs within six months of a previous confirmed report for the same child;
- Re-entry into care – The rate of re-entry of children who were discharged to reunification with parents or primary caretakers or the home of other relatives;
- Entries into Out of Home Care as compared to Exits from Care – An indicator of safe reduction of the use of placement is whether the number of children exiting care is exceeding the number of children entering;
- Rate of Permanency – The rate of children exiting foster care system who have achieved permanency through reunification, relative placement, adoption or guardianship;
- Least Restrictive Placement Settings – The use of familial type placement settings in comparison to the use of congregate care placement settings;
- Length of Stay – The average length of stay for a child in out of home placement by type of placement setting;
- Placement Stability – The number of placement settings incurred during a placement episode.

Counties also have the opportunity to identify a benchmark specific to their population of children receiving services in their own homes. If a county selects a self-identified In-Home Benchmark, the benchmark must be clearly described in measurable terms. The county must

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provide the data, and data source, and analysis as it relates to the current status and projected levels of improvement.

Counties may also identify their own benchmarks using county data, including the results of a QSR, or select benchmarks from those listed above. Phase I and Phase II CQI Counties should consider the benchmarks established as a result of their findings from their Quality Service Reviews (QSRs) and the strategies that are identified in their County Improvement Plans and how they might impact the aforementioned benchmarks. In order to streamline a County's planning processes; CIPs may be revised to show connections to these benchmarks without a county creating an entirely separate and new plan with new strategies that are created in isolation of the CIP developed as a result of a county's CQI efforts. One strategy may have an impact on more than one benchmark which may be acknowledged in the revisions or development of the QSR CIPs.

According to data from the Administration for Children and Families, Pennsylvania had the highest rate of re-entry into care in the nation during the period of 2004 to 2009. Counties with high re-entry rates are encouraged to select this indicator. Additionally, OCYF is partnering with Casey Family Programs, the Administrative Offices of the Pennsylvania Courts, the Office of Mental Health and Substance Abuse and the Juvenile Court Judges Commission to reduce the use of congregate care in PA. Counties with high utilization of congregate care are encouraged to select the Least Restrictive Placement Settings indicator.

Counties must select **three** benchmarks of practice (from the OCYF identified benchmarks, County identified In-Home Benchmark and/or QSR findings reflected in the county's CIP), identifying historical trends of the current and past five FYs (as identified through the Indicator Charts or other data resources), set a target for improvement, and a plan by which strategies toward improvement will be identified in FY 2012/13. Consideration should be given to identifying resource needs for implementation of strategies in FY 2013/14.

As part of the analysis of data related to the identified benchmark, the county must also address the following county practices that contribute to the current level of functioning and/or would need to be enhanced toward improved outcomes.

- Family Engagement Efforts
- Use of SAMP in Critical Decision Making
- Process for Placement Decisions, including Placement Settings
  - Use of Kin, Least Restrictive Setting, Sibling Placements
- Quality Assessments
- Individualized Services
- Continuous Case Status Review
- Case Planning for Successful Transition/Closure
- Teaming
- Shared Case Responsibility

➤ **See *Benchmarks and Strategies* in the Narrative Template.**

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## Section 4: 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.

### 4-1. Workforce

#### 4-1a. Employee Benefit Detail

Submit a detailed description of the county's employee benefit package for FY 2012-13 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.**

#### 4-1b. 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.**

#### 4-1c. 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.**

#### 4-1d. 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.**

### 4-2. Grant Funded Programs

#### 4-2a. Human Services Block Grant Funds

In State Fiscal Year 2012-2013, the Human Services Block Grant was established within the State Budget. Counties are provided the flexibility in use of the funds within their local human services systems including child welfare. Special Grants for Evidence Based Programs, Pennsylvania Promising Practices, Alternatives to Truancy Prevention and Housing Grants have been placed in the block grant. Funding in the Human Services Block Grant is not intended to

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supplant funding in the Needs Based Plan & Budget, but to provide counties with the option of creating services in the eligible cost centers to improve outcomes for children and youth.

Counties should consider and account for block grant funds they will allocate for the children and youth agency and juvenile justice services during development of the Needs-Based Plan and Budget. Describe what services and activities will be funded through the block grant and how this may change from the previous year. If services or activities will decrease, explain why this decision was made and how it will affect child welfare services in your county and the Needs Based Plan & Budget. Describe any plans for increased coordination with other human service agencies and how flexibility from the block grant is being used to enhance services in the community.

- **See *Human Services Block Grant* in the Narrative Template.**

#### 4-2b. 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 2013-2014 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 2013-2014 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 5.

- **See *Independent Living Service Grant* in the Narrative Template.**
- **See “12-13 IL CY-814 Bdgt,” “12-13 IL CY-815 Bdgt,” and “13-14 IL CY-Grant Request” tabs in Excel budget file.**

#### 4-2c. 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.***

The Department continues to move forward with the planning and development of a Statewide Child Welfare Information System Solution that encompasses child welfare programs administered by OCYF and the CCYAs. The Statewide Plan solution supports interoperability, access to real time information, standardization of data across counties, and access to a sustainable case management system for all counties. The Commonwealth’s plan requires the reuse of existing IT assets, whenever possible, in order to lower overall IT costs.

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The Department has procured the services of KPMG to support OCYF in the planning and implementation of the statewide solution. KPMG started work on April 16, 2012 and will work with OCYF and the CCYAs for the remainder of FY 2011-2012 and the first six months of FY 2012-2013 to finalize the business requirements and develop a child welfare data reference model that will be used for future development of the system. A separate contractor, Deloitte, will provide technical IT services that include the development of the systems and/or central data repository. This work will begin in the second half of FY 2012-2013 and continue into FY 2013-2014.

By FY 2013-2014, all counties will have transitioned to a sustainable county case management system and should be using their case management systems to generate reports such as AFCARS. OCYF plans on retiring the Lotus Approach Interim Solution AFCARS application as of June 30, 2013 and will work with counties throughout FY 2012-2013 to transition off that system.

Counties that did not formally submit a plan for how they will transition to a sustainable system in their FY 2012-2013 IT Grant Request should provide an update in this year's request on how they will do so. The update should include:

- 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

Approved systems available for other counties to transfer are listed below.

1. Child Accounting and Profile System (CAPS) - The Statewide Plan identifies CAPS case management as a system that supports many of the child welfare business functions and as technically sustainable. Counties that have been approved to transfer to CAPS should have previously obtained estimates from Avanco, Inc. for FY 2012-2013. The estimate included first year costs for hosting, training, and conversion and ongoing annual cost for hosting and maintenance.
2. The Allegheny County system (KIDS) - An alternative system for larger counties. Counties were considering transferring to KIDS will need to confirm estimates for 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) - An alternative for smaller counties, this system is currently in use by Lycoming, Clinton and Sullivan Counties. The Integrated Human Services Information System (IhSIS) was previously identified as an alternative available to counties. Any county considering transitioning to IhSIS should discuss this alternative with OCYF5. The Automated Children and Youth Services (ACYS) may be a fifth alternative available to counties. OCYF is currently working with Montgomery and Bucks Counties and has tentatively approved ACYS as a viable option for other counties. Counties considering transferring to ACYS should first contact OCYF to identify how they plan on evaluating ACYS 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 ACYS and estimated total costs for subsequent years' implementation and maintenance.

Counties that have previously submitted a transition plan and have identified changes related to the costs, timeline, or scope of the plan should provide an update in this year's plan.

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Counties that have included maintenance costs in their FY 2012-2013 IT grants for existing systems while they transition to a sustainable system should provide a business case for extending continued funding of those systems for FY 2013-2014.

### **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 in FY 2013-2014. 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 in subsequent years. 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.

### **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 2011-2012 or planned for implementation in FY 2012-2013 and FY 2013-2014.

## **FY 2011-2012**

### *NYTD Served Population*

Pennsylvania's will begin collection of the NYTD Served population April 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. OCYF has contracted with Hornby Zeller Associates (HZA) to gather and compile the required data elements for the Served population. HZA will work with each county to determine the most efficient method for data collection and submission, and will assist counties in identifying if the required data fields exist in their case management system.

Counties should plan and budget for any needed modifications to a 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>

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## FY 2012-2013 and FY 2013-2014

### *Statewide Central Data Repository and State-County Data Exchanges*

The business and system requirements for the statewide system will be finalized in FY 2012-2013. A business requirements document, updated requirements traceability matrix, and child welfare data reference model will be created with input from counties and will become the input for the design and development of the statewide system. Although these documents do not yet exist, there are some broad assumptions that can be made about IT modifications and/or development that may be needed at the county level. Real time data exchange capabilities will need to be in place at each county and counties may need to modify systems to conform to the data reference model. Counties should take into account how these changes will be implemented in their case management system and should budget appropriately. Costs allocated to the statewide system requirements will need to be reevaluated in the implementation year when the requirements are more defined.

### 4-2d. 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 outside of the scope of the SWAN prime contract must be approved by the appropriate regional office.

➤ **See the Budget Excel file.**

### 4-2e. 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.

### 4-2f. Legal Representation Costs for Juveniles in Delinquent Proceedings and Parents in Dependency Proceedings

For FY 2011-12, counties may use Unspent Act 148 funds for reimbursement of the costs associated with legal representation for delinquent youth and legal representation for parents in dependency proceedings. The use of the funds for these purposes is limited to FY 2011-12 and should not be budgeted into upcoming fiscal year requests. If a county invoices for these costs in FY 2011-12, an Adjustment to Implementation Plan will need to be created in the upcoming budget submission to remove these costs from the base funds.

The Department is continuing its review of this matter for further consideration of funding. To assist in the review and analysis, in this year's Needs Based Plan and Budget we will be asking for the amounts expended by your county related to these two legal representation categories.

**See the Legal Representation Costs in the Narrative Template**

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#### 4-2g. 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.

#### 4-2h. 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.

#### 4-2i. Random Moment Time Study (RMTS)

The statewide RMTS is a key instrument to assure that Federal Title IV-E Administrative funding is appropriately received. It is imperative that all county child welfare agencies fully participate and monitor staff's accurate participation in the process. OCYF will be doing site visits of all CCYA's in this coming year to assure appropriate and accurate documentation of the samples hits.

### **4-3 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. OCYF pays for a maximum number of users in a state contract for the Accurint product. Consequently, OCYF assigned a specific number of users to each county agency for whom DPW covers the monthly cost per user. Between 2009 and 2011 OCYF made adjustments to the number of users allocated to some counties based on the tracking of county-specific utilization of the Accurint tool. As a result of this tracking and contact with counties about their specific needs, OCYF established and distributed the maximum number of users across the Commonwealth. Given the current number of active users, the total number of users assigned to each county will remain the same in FY 2013-2014.

Refer to the Needs Based Plan and Budget Instructions, Appendix 6 for more information.

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## Section 5: Required & Additional Language

### 5-1. Assurances

- See *Assurances* in the Narrative Template.

### 5-2. Special Notes on Indicators

#### 5-2a. 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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- **Note: All data is to be entered into the *Budget Excel file*.**

FY 2013-2014 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: 2011/12). 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 resource account into the ***Actual Act 148 Invoice*** form. If corrections or revision were submitted to the resource account, use the data from the most recent submission.
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 2013-14 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 hidden columns) by selecting the row number to highlight the entire row (including hidden columns) then paste to the inserted rows.

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a. **Schedule of Services** details by cost center the children/family services purchased by the county and reported as Purchased Services. This form should: (1) assist in the identification of program/service types; (2) connect services with a cost center; and (3) provide through analysis a more accurate picture of what is actually being delivered through the counties and provider network to children, youth, and families. The completion of this form will enable the Department to understand the components to be in a better position to justify the county's budget request. The Department recognizes that in some cases this information may be lengthy; however, it will help the Department understand the county's specific service needs. The worksheet in the county's NBPB file must be completed; a separately submitted computer-generated form is not acceptable.

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

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- (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 2011-2012 based on the total number of Department-approved positions per the county's most recent FY 2012-2013 allocation letter.
- Identify the report period which will be the same as the most recent Act 148 Invoice.
- Enter the "Total Salaries" and "Total Benefits" for the period. Both must crosswalk with the totals in the Actual Act 148 Invoice form.
- List the Position Number for all positions that were filled for any time during the report period. Do not use social security numbers or names in place of position numbers.
- Enter the staff category number ("1" thru "7") based on categorization in the "CY Staff Summary" form. (Reference Staff Category Definitions/Instructions in Section 8 below.)
- If a position is less than full-time, enter the appropriate percentage in the "percentage of time" column. Enter as a percentage or decimal. If full-time, leave blank.

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

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

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

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

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

5. The ***Children and Youth Staff Assessment Summary*** contains information on positions and costs for FY 2011-12 year-to-date through FY 2013-14. Positions are

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shown on this form as full-time equivalent (FTE); i.e., part-time staff numbers are shown using a decimal.

Column 1 – FY 2011-12 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 2011-12 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 2011-12 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 2012-13 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 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 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 2012-13 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 2011-12.

Column 7 – FY 2012-13 Vacant and New Staff Adjustments

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

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

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Column 8 – FY 2012-13 Non-reimbursable Positions/Costs

Show the number and cost of non-reimbursable full- and part-time staff for FY 2010-11. These costs (which are a part of the personnel costs shown in 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 2011-12.

Column 9 – FY 2012-13 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 2012-13.)

**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 2013-14 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 2013-14 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 2013-14 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 2013-14 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 2013-14 Total Positions/Cost

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

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**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 2013-14 Non-reimbursable Positions/Cost

Show the number and cost of non-reimbursable full- and part-time staff for FY 2012-13. 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. Please list all Information Technology fixed assets as defined in Appendix 4, Information Technology Costs, separately from other fixed assets at the bottom of the form. In addition, list all fixed assets purchased with any funding provided through DPW since July 1, 2007 through the most recent Act 148 invoice period that are no longer in the possession of the CCYA. The worksheet in the county's NBPB file must be completed; a separately submitted computer-generated form is not acceptable.

The detail on this form must tie to the invoice expenditure report as submitted DPW's Bureau of Financial Operations (BFO) for FYs 2006-07 through FYs 2011-12 (year to

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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 20011/12 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 Actuals** form.

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

All “Adjustments to Estimated Actuals Base – FY 11/12” 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 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 Implementation Base** form.

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

All “Adjustments to Implementation Plan – FY 12/13” forms are summarized on the **Summary of Adjustments to Implementation Base** expenditure report by major object by cost center, per instructions in Appendix 2.

10. The County’s Implementation Plan submission becomes the baseline for the Needs Based Budget Request. Any adjustment over the baseline must be justified on separate form for each activity. All adjustments over the baseline must be justified on a form

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labeled “Adjustments to Needs Based Plan and Budget Base – FY 13/14” 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 cost pool for the Title IV-E administrative claim. Follow the instructions below to complete the Explanation of Revenue Adjustments form:

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- Complete the text box by indicating the FY(s) for which the adjustment(s) is being made. Describe the need for the adjustment and provide detailed documentation to support the requested adjustment. Show the calculations to determine the amount of the adjustment and distribution by cost center of the total requested adjustment. The text boxes are expandable.
  - Summarize the county's requested adjustment(s) on the revenue report of the appropriate FY **Summary of Adjustment...** worksheet; i.e., **manual entry of the adjustment(s) is required** on the **Summary of Adjustment...** worksheet.
13. The **Cost Center Analysis** form automatically populates. This is a comparison of expenditures by cost center covering the Estimated Actual, Implementation Plan, and the Needs Based Plan and Budget years. The "Total Expenditures" columns of the respective years' Expenditure Reports are brought forward to the appropriate column of this form.
14. The **CY-348s** (Fiscal Summaries) and **Budget Summary** form automatically populate with data from the appropriate expenditure and revenue reports, with the exception of Subsidized Permanent Legal Custodianship (SPLC) information on the **CY-348 that requires manual entry of SPLC data (number of children served and days of care).**

**Revenue Detail (automatically adjusts and calculates through automation program)**

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

- a. The federal financial participation (FFP) rate for Title IV-E Placement Maintenance (PM) , Adoption Assistance (AA) and Subsidized Permanent Legal Custodianship (SPLC) will be 55.07 percent October 1, 2011 through September 30, 2012 and a projected 54.68 percent October 1, 2012 through September 13, 2013. 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 2013-14: Counties must budget based on their FY 2012-13 final allocation.
- c. Temporary Assistance for Needy Families (TANF) funds for FY 2013-14: Counties must budget based on their FY 2012-13 final allocation.
- 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.

**The following calculation worksheets are optional:**

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**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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- **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 4<sup>th</sup> 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 2<sup>nd</sup> 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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➤ **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 2013-14 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.

<b>Adoption Services</b>	<b>Unit Cost</b>
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.

## Family Profile

The family profile includes families interested in providing permanency for children identified in the “Child Population Served” on page 6 of the OCYF Bulletin #3350-03-01 and who are approved in accordance with Attachment F. .These services are also available to all families who agree to be a permanent resource to children in out of home care including formal kinship, permanent legal custodianship and adoptive families. . 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.

## POST-PERMANENCY SERVICES (3 types)

These three services are available to any PA families who have adopted a child, whether or not they adopted a child from foster care and to those families who provided permanency to children from the PA child welfare system via adoption, permanent legal custodianship or formal kinship care.

These services may take many forms depending on the needs of the permanent family. Families may access these services directly from the SWAN Prime Contractor. 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

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.

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### 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.

## **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 current Paralegals in the county and the number of paralegals they are requesting for FY 2013-2014 into the box under the area titled Number Of Paralegals Requested in County for FY 2013-2014. 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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## **INFORMATION TECHNOLOGY COSTS FY 2013-2014**

### **I. Information Technology Costs**

CCYAs must provide documentation of all anticipated Information Technology Costs for FY 2013-14. 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 in FY 2013-2014. 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.

Prior written approval is required from DPW and ACF when a county plans on engaging in a competitive bid process to procure IT equipment or services where the total anticipated acquisition costs will be \$5 million or more. If the county plans on sole sourcing the acquisition, prior approval is required for total anticipated acquisition costs of \$1 million or more.

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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:**

**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.

**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”. Requests for “IT Development” expenditures will be evaluated and approved on a case-by-case basis. Counties should describe the business need for the new development and how it aligns with DPW’s plan for the statewide child welfare system.

## **Allowable Costs: Operations and Maintenance Section**

### **A. Hardware**

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

1. **Personal Computers (PC’s), Laptops, Tablets** (“PCs” will be used in this document to discuss all the above listed categories of personal computing devices) - CCYAs may purchase/lease one type of PC per user. The numbers of users are determined by the number of casework, supervisory, administrative, and clerical staff listed in the CCYAs latest Needs-Based Plan and Budget. CCYAs may replace broken computers and/or provide computers for new workers when no existing office computers are available. The expectation is that

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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 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. The dollar amount included for this line item should be the depreciation amount that can be claimed for FY 2013-2014 and not the total purchase price of the item(s). If a county has depreciable hardware carried over from prior years, the dollar amount for FY 2013-2014 from the prior years' depreciation schedule should be entered in this line item. Additional information must specify type of hardware, make, model, year of purchase and depreciation year (i.e. 1<sup>st</sup>, 2<sup>nd</sup>, 3<sup>rd</sup>, 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 2013-14.
- Only software hosting costs are reported in this cost line item. Software maintenance for a hosted application should be reported under Application Maintenance.
- All counties requesting reimbursement for software hosting services must meet the requirements of Section III, Contract Language of these instructions.

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Counties must identify the name of the software, vendor's name, address and phone number and the number of users that will be supported.

#### **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 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 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. This section also includes costs associated with the CCYA Network and for setup of hardware. Additional information needed: Name, address and phone number of the vendor, length of contract, cost per unit and

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number of units or hourly cost, and additional justification when cost is above the amount per user.

**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**

**K. Hardware**

Single purchases of \$5,000 and over must be depreciated following current Commonwealth practices. Hardware costs that meet 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). 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

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purchases if applicable must be included in the supporting documentation section of the IT Schedule.

**3. Depreciable Hardware** – Hardware with an individual cost of \$5,000 or over must be entered on this line item of the IT Schedule. The dollar amount included for this line item should be the depreciation amount that can be claimed for FY 2013-2014 and not the total purchase price of the item(s). If a county has depreciable hardware carried over from prior years, the dollar amount for FY 2013-2014 from the prior years' depreciation schedule should be entered in this line item. Additional information must specify type of hardware, make, model, year of purchase and depreciation year (i.e. 1<sup>st</sup>, 2<sup>nd</sup>, 3<sup>rd</sup>, etc). If information has been entered on this line item, completion of the Equipment Depreciation Form is required.

#### **L. 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.

- 3. 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.
- 4. 2. Development Software** - Provide a complete list of the software being purchased, number of copies for each software title, cost per copy.
- 5. 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.

#### **M. 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.

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\_13-14\_Name of document.

Example for Adams County: NBB01\_13-14\_IT Justification.doc

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**N. Conversion Costs**

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

**O. 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.

**P. 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.

**Q. 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.

**R. 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.

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

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

**U. 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;
- 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.

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CCYAs are required to complete a Fixed Asset Inventory in which IT equipment is listed separately from non-IT related fixed assets. 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@pa.gov](mailto:sstockwell@pa.gov)  
(717) 772-6902

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**Hardware and Software Configuration and Cost Standards  
February 2012**

**I. Standard Desktop Configuration**

<b>DPW Standard Desktop</b>		
<b>Material Description</b>	<b>Configuration</b>	<b>Price</b>
Base Unit:	OptiPlex 790 Minitower, Intel Core i3 2120, (3.3GHz, 3M)	
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 HD Graphics 2000	
Hard Drive:	250GB SATA 6.0 Gb/s and 8MB Data Burst Cache	
Floppy Disk Drive:	No Floppy Drive with Filler Panel	
Operating System:	Windows 7 Professional,SP1,No Media, 64-bit	
Mouse:	Dell MS111 USB Optical Mouse	
NIC:	Integrated Intel Gigabit LAN 10/100/1000 Ethernet	
Systems Management:	Intel Standard Manageability	
Optical Drive:	16X DVD+/-RW SATA,Data Only	
Sound Card:	Integrated	
Speakers:	Internal 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	
		<b>\$611.00</b>

**II. Standard Notebook Configuration**

<b>DPW Standard Notebook</b>		
<b>Material Description</b>	<b>Configuration</b>	<b>Price</b>
Base Unit:	Latitude E5420, Intel Core i3 2330M, (2.20GHz, 3MB Cache)	
Display:	14.0 inch HD (1366x768) Anti-Glare LED-backlit	
Memory:	2.0GB, DDR3-1333 SDRAM, 1 DIMM	
Keyboard:	Internal English Keyboard	
Graphics Card:	Intel Integrated Mobile GMA 4500MHD	
Hard Drive:	250GB Hard Drive, 5400RPM	
Mouse:	Dell Touchpad with Anti-microbial protection	
Floppy Disk Drive:	No Floppy Drive	
Operating System:	Genuine Windows 7 Professional, 64-bit, no media	
AC Adapter:	65W 3-Pin, AC Adapter	
Optical Drive:	8X DVD+/-RW	
LAN:	Dell WLAN 1501 (802.11b/g/n) 1/2 MiniCard	
Battery:	6-Cell (60WH) Primary Lithium Ion Battery	
Modem:	Express Card without modem	

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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	
		<b>\$730.00</b>

### III. High-End Notebook Configuration

<b>DPW High-End Notebook</b>		
<b>Material Description</b>	<b>Configuration</b>	<b>Price</b>
Base Unit:	Latitude E6520, Intel Core i3-2330M, (2.20GHz, 3MB Cache)	
Display:	15.6 inch HD (1366x768) Anti-Glare LED-backlit	
Memory:	2.0GB, DDR3-1333 SDRAM, 1 DIMM	
Keyboard:	Internal English Keyboard	
Graphics Card:	Intel HD Graphics 3000	
Hard Drive:	250GB Hard Drive, 5400RPM	
Mouse:	Standard Touchpad	
Operating System:	Genuine Windows 7 Professional, 64-bit, no media	
Floppy Drive:	No Floppy Drive	
AC Adapter:	90W 3-Pin, AC Adapter	
Optical Drive:	8X DVD+/-RW	
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 (97WH) 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	
		<b>\$940.00</b>

### IV. Tablet Configuration

<b>Dell Tablet</b>		
<b>Material Description</b>	<b>Configuration</b>	<b>Price</b>
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	

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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	
		<b>\$1,685.00</b>

## V. Servers

<b>Servers</b>		
	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

<b>Printers</b>		
	Low-End*	High-end*
Network	\$389.00	\$3,802.00
Small Networked Multi-Function Device (MFD)	\$306.60	\$4,646.49
Large Networked MFD**	\$6,400.80	\$17,928.48
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.		

## VII. Software – MS Office

<b>Software</b>	
Microsoft Office – Standard	\$241.57 (+ \$27 for media)
Microsoft Office – Professional Plus	\$329.85 (+ \$27 for media)

## VIII. Networking Equipment

<b>Networking Equipment</b>	
Router	\$4,200.00
Switches	\$2,400.00

## IX. Standard Equipment Maintenance Prices

<b>DPW Maintenance Price</b>		
EQUIPMENT CATEGORY	Next Business Day (NBD) Monthly	Bulletin Guideline

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	Service Rate Per Unit 24 Hour Solution Time (ST) Principal Period of Maintenance (PPM) 12 Hrs X 6 Day	
Braille Embosser	\$14.67	
Cluster Controller	\$4.22	
Digitizer	\$1.40	
Diskless Workstation	\$3.14	
External Drive – Floppy	\$0.71	
External Drive – Hard	\$0.71	
External Drive – Optical	\$0.71	
External Tape Drive	\$0.71	
Graphics Tablet	\$1.40	
Interface Controller	\$0.42	
Jukebox	\$25.14	
Lan Data Storage – CD ROM	\$0.77	
Lan Data Storage – RAID	\$14.14	
Lan Data Storage – Serial System	\$9.48	
Lan Repeater/Converter	\$1.23	
Lan Router	\$7.26	
Lan Switch	\$1.64	
Lan Wiring Hub	\$3.50	
Laptop Docking Station	\$2.00	
Laptop/Notebook/Portable	\$4.47	
Mid Range Server	\$14.22	
Modem	\$0.27	
Monitor - CRT	\$0.23	
Monitor - LCD larger then 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	\$17.50	
UPS (1-1500 Watts)	\$1.91	
UPS (1501 – 6000 Watts)	\$3.18	

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**PURPOSE:** The purpose of these instructions is to transmit guidelines for the preparation and submission of FY 2013-14 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 2012-13 Intermediate Object (12-13 IL CY814 Bdgt), Implementation Year Budget Change Request (12-13 IL Change), and Implementation Budget by Source of Funds (12-13 IL CY815 Bdgt).

These instructions serve as the sole means to request funding for the provision of IL services in FY 2013-14 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, 2013 – June 30, 2014 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.

- A section has been added regarding the identification of credit theft and annual credit history report requirements.
- Information about educating youth about the importance of designating another individual to make health care treatment decisions.
- Additional information about the NYTD reporting requirements are included.

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## 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 16<sup>2</sup>, 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.	✓	✓
Youth who do not meet any of the above criteria, but for whom the county identifies as in need of		✓

<sup>2</sup> 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
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 16<sup>th</sup> birthday and prior to his or her 21<sup>st</sup> 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 21<sup>st</sup> 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 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
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		<b>Housing Initiative</b>
Exited agency care on or after age 18, but less than 21	✓	optional
Exited agency care after age 16, but before age 18	NA	✓
Exited agency care prior to age 16	NA	✓

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

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

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

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

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

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

**A. Needs Assessment/Case Planning**

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

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

**B. Life Skills Training**

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

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- 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 and personal credit information;
- 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                  | • conflict resolution/problem solving     |
| • self-esteem                      | • stress management and coping strategies |
| • negotiation skills               | • cultural competence                     |
| • impulse control/anger management | • peer interactions                       |
| • assertiveness                    | • healthy dating and relationships        |
| • communication skills             |   |

### **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.

### **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;

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- 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
- Other specific eligibility criteria for stipends.

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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.

## H. Room and Board

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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 2013-14, CCYA are advised to request sufficient state funds for Room and Board costs and services for non-Chafee eligible youth through information in this Appendix.

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.

### **FOSTER YOUTH IDENTITY THEFT – CREDIT HISTORY REPORTS**

The Child and Family Services Improvement and Innovation Act requires that “each child in foster care under the responsibility of the State who has attained 16 years of age annually receives without cost a copy of any consumer report (as defined in section 603(d) of the Fair Credit Reporting Act pertaining to the child each year until the child is discharged from care, and receives assistance (including, when feasible, from any court-appointed advocate for the child) in interpreting and resolving any inaccuracies in the report.” CCYA must obtain any credit

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history report information from each of the three main credit reporting agencies: TransUnion, Equifax, and Experian.

While this law became effective on October 1, 2011, states expressed difficulties implementing the annual credit report requirement and ACF has extended the effective date until August 13, 2012. OCYF will distribute guidelines, and requirements at a later date.

### **HEALTH CARE POWER OF ATTORNEY OR HEALTH CARE PROXY**

The Patient Protection and Affordable Care Act of 2010 requires states to provide “education about the importance of designating another individual to make health care treatment decisions on behalf of the youth if the youth becomes unable to participate in such decisions and the youth does not have, or does not want, a relative who would otherwise be authorized under State law to make such decisions, whether a care power of attorney, health care proxy, or other similar document is recognized under State law, and how to execute such a document if the youth wants to do so.”

### **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 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.

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## **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](mailto:dderbes@state.pa.us) or by mailing the request to:

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

## **FISCAL REPORTING AND PAYMENTS**

CCYA are required to submit quarterly fiscal reports to DPW. Reports are due within 45 days of the end of each fiscal quarter and must be submitted on forms provided by DPW. Fiscal reports must show all expenditures for the Federal, state, and local funds, including interest income and program expenditures. Expenditures must be shown by intermediate Object cost category (CY-814) and by source of reimbursement (CY-815).

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

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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, 2012.

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.
- 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.

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## 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. CCYA will be notified when this program reporting requirement can be discontinued and transferred to NYTD only program reporting.

## 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 to meet federal NYTD requirements. The baseline population data collection and reporting for all youth age 17 will continue on an ongoing basis, however, CCYA will not be required to complete follow-up surveys for fiscal years outside of the federal requirements.

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 federally required 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 will coordinate with CCYA to implement this component of NYTD to begin the collection of data of an IL service provided to all youth in 2012 for the period April 1, 2012 through September 30, 2012.

A summary of the data collection is as follows:

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

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

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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@pa.gov 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 2012-13 Intermediate object (12-13 IL CY814 Bdgt);
  - Implementation Year Budget Change Request (12-13 IL Change); and
  - Implementation Budget by Source of Funds (12-13 IL CY815 Bdgt).
  - FY 2013-14 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 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.

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- Line 340: Instructional service supplies including materials, program materials, equipment and other supplies provided for the use of youth and foster parents.
- Line 350: IL staff and client travel and transportation expenses.
- Line 360: Purchased services include costs for services such as job development, employment training, counseling and other contracted services provided to clients by individuals or agencies under contract to provide services for the county children and youth agency.
- Line 370: The cost of consultant services including, contracted staff to operate or improve the administration and delivery of services.
- Line 380: Court costs related to the adjudication and disposition of dependent or delinquent children under the Juvenile Act.
- Line 390: Other operating costs include interest expenses, auditing expense, moving expense and other costs which cannot be included on lines 310 through 380. On page 2, enter the result of RMTS calculation 19 in the "Matching IL" column.
- Line 399: Indirect administrative costs are the proportional share of county administrative overhead costs, such as the cost of the county comptroller's office or county personnel office that can be charged to the program. On page 2, enter the result of RMTS calculation 18 in the "Indirect IL Prgm. Admin." column.
- Line 412: The cost of service or office equipment purchased by the county for use in the program.
- Line 413: The cost of motor vehicles purchased by the county for use in the program
- Line 414: The cost of data processing equipment (i.e. computer equipment and software purchased by the county for use in the program). Purchase of any assets costing \$500 or more require prior approval of DPW.
- Line 420: The costs for repair and improvement of fixed assets including renovations and vehicle repair.
- Total: The total expenditures for each IL service should be shown in the appropriate column on this line. In the "Grand Total" column show the total of each object of expenditure as well as the total for the report.

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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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### **Introduction**

The Department and OCYF purchased access to the online use of the Accurint Search Tool on behalf of the CCYAs in April 2009. OCYF pays for a maximum number of users in a state contract with Reed Elsevier for the Accurint product. Consequently, OCYF assigned a specific number of users to each county agency for whom DPW covers the monthly cost per user. Between 2009 and 2011 OCYF made adjustments to the number of users allocated to some counties based on the tracking of county-specific utilization of the Accurint tool. As a result of this tracking and contact with counties about their specific needs, OCYF established and distributed the maximum number of users across the Commonwealth. Given the current number of active users, the total number of users assigned to each county will remain the same in FY 2013-2014.

### **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 the 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;

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- Identification of permanent connections for older youth;
- Identification of family members and significant others to participate in the Family Group Decision Making conferences to support the child and family;
- Enhanced family engagement practices; and
- Compliance with the family finding provisions of the Fostering Connections to Success and Increasing Adoption Act.

#### Accurint Search Tool Quarterly Report Form and Instructions

OCYF 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, Ms. Desiree Weisser.

#### DPW/OCYF Accurint Manager

OCYF is responsible for managing Accurint for county children and youth agencies. 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 who 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@pa.gov](mailto:dweisser@pa.gov).

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