

**FY 2017-18
NBPB**

Commonwealth of
Pennsylvania

Office of Children,
Youth and Families

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

OFFICE OF CHILDREN, YOUTH & FAMILIES BULLETIN

ISSUE DATE June 6, 2016	EFFECTIVE DATE July 1, 2016	NUMBER 3140-16-01
SUBJECT Fiscal Year 2017-18 Children, Youth and Families Needs-Based Plan and Fiscal Year 2016-17 Implementation Plan Instructions		BY Cathy A. Utz, Deputy Secretary Office of Children, Youth & Families

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

PURPOSE:

The purpose of this bulletin is to transmit instructions for the preparation and submission of the Fiscal Year (FY) 2017-18 Needs-Based Plan and Budget (NBPB) and the FY 2016-17 Needs-Based Implementation Plan which must be submitted by August 15, 2016.

BACKGROUND:

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

Article VII of the Human Services Code, 62 P.S. §§ 701 et. seq., makes child welfare services the joint responsibility of the Department of Human Services 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 County Support – ra-ocyfnbb@pa.gov

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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 intellectual and developmental disabilities 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.

One of the most significant reforms in the history of Pennsylvania's juvenile justice system occurred in 1995, when the purpose of the system was fundamentally redefined during a special legislative session on crime. Juvenile justice services are to be provided in response to the purpose clause of the Juvenile Act to effectuate the following objective:

"...consistent with the protection of the public interest, to provide for children committing delinquent acts programs of supervision, care and rehabilitation which provide balanced attention to the protection of the community, the imposition of accountability for offenses committed, and the development of competencies to enable children to become responsible and productive members of the community."

These provisions of the Juvenile Act are based upon the following principles, which are at the foundation of our Balanced and Restorative Justice (BARJ) mission:

- **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.

Between 2005 and 2010, the John D. and Catherine T. MacArthur Foundation selected Pennsylvania as the first state in the country to participate in its Models for Change initiative. Virtually all components of Pennsylvania’s juvenile justice system were engaged, in some way, in system reform. In June 2010, with the five-year commitment of the MacArthur Foundation drawing to a close, the Executive Committee of the Pennsylvania Council of Chief Juvenile Probation Officers and Juvenile Court Judges’ Commission staff agreed that the “Juvenile Justice System Enhancement Strategy” (JJSES) was needed, to both consolidate the gains of the previous five years “under one roof” and to develop strategies to sustain and enhance those efforts.

The first concrete step in developing Pennsylvania’s JJSES was to create a Statement of Purpose. The Statement of Purpose was designed to reflect the underlying goals of BARJ and of the JJSES initiative:

JJSES STATEMENT OF PURPOSE

We dedicate ourselves to working in partnership to enhance the capacity of Pennsylvania’s juvenile justice system to achieve its balanced and restorative justice mission by:

- evidence-based practices, with fidelity, at every stage of the juvenile justice process;
- collecting and analyzing the data necessary to measure the results of these efforts; and, with this knowledge,
- striving to continuously improve the quality of our decisions, services and programs.

The JJSES emphasizes the use of valid and reliable screening and assessment instruments to measure a juvenile’s risks and needs, and to develop strength-based dispositional recommendations and case plans to address them. This component of the JJSES will be increasingly important in helping to ensure that the court is well prepared at every dispositional hearing to meet the Juvenile Act and procedural rule mandates to state on the record in open court, and to include in its order: its disposition; the reasons for that disposition; and if the juvenile is to be removed from the home, the name or type of agency that is to provide care, treatment, supervision or rehabilitation to the juvenile, its findings and conclusions of law that formed the basis of its decision, including why the court found that the out-of-home placement ordered is the least restrictive type of placement that is consistent with the protection of the public and best suited the juvenile’s treatment, supervision, rehabilitation and welfare.

OCYF is one of many agencies and organizations that have endorsed the JJSES Statement of Purpose, and will support services and activities to implement Pennsylvania’s JJSES.

Least Restrictive Services/Settings: When the court or parent 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 to

Success and Increasing Adoptions Act of 2008 (Fostering Connections) 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 to achieve the statewide goals established in Section 1. 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.

- **Safely Reducing the Number of Children in Out-of-Home Care** - OCYF is partnering with Casey Family Programs, the Administrative Office of the Pennsylvania Courts (AOPC), the Juvenile Court Judges Commission (JCJC), and the Department's Office of Mental Health and Substance Abuse (OHMSAS) to ensure that children are placed based upon the identification of threats to their safety that cannot be effectively mitigated while remaining in their own homes. Efforts are underway to ensure that children are placed in the most appropriate setting to meet their individualized needs for the appropriate length of time. Recognizing that great strides have been made to reduce our reliance on out-of-home care, additional efforts are needed with attention toward increasing our use of kin and community based foster care. Adoption and Foster Care Analysis and Reporting System (AFCARS) data shows that we have been effective in increasing our utilization of kinship foster homes, including keeping siblings together, with additional room for improvement. On September 30, 2007, 22 percent of all children in placement were residing with a relative with that percentage increasing to over 31 percent as of September 30, 2015. While we have seen a slight increase of 7 percent, in out-of-home placements from September 2014 to September 2015, the overall number of children in out-of-home placements was 28 percent lower in September 2015 than it was in September 2007. The number of youth placed in congregate care continues to decline; from 25 percent in September 2007 to 18.7 percent to September 2015.

Additionally, a review of recent data shows that the increase in entries into foster care from September 2013 to September 2014 has stabilized; there were 836 fewer entries from September 2014 to September 2015. Comparing September 2015 to September 2013, 36 counties saw an increase in entries, while 29 counties saw a decrease. There were also 429 fewer exits from foster care in September 2015 compared to September 2013 with 36 counties having fewer exits, and 29 counties seeing an increase. OCYF will continue to work with counties to identify strategies to further analyze the relationship between entries, re-entries and exits into and from foster care to assist in development of strategies that support the needs of children entrusted to our care.

- **Strengthening Service Delivery to Transitional Age Youth in Care** - The federal Preventing Sex Trafficking and Strengthening Families Act, Public Law (P.L.) 113-183, was signed into law on September 29, 2014. Broadly speaking, the law amends Titles IV-B and IV-E of the Social Security Act (the Act) by making improvements to the child welfare system related to identifying, protecting, and preventing children and youth from becoming victims of sex trafficking and improving outcomes for children and youth in foster care. The law pays particular attention to older youth in foster care. As evidenced by the enactment of federal law, nationally we must continue to strengthen our service delivery to older youth in care. While great strides have been made to ensure that our youth transition from our system to adulthood, prepared to lead self-sufficient and productive lives, we have more work to do. Ensuring that youth have the skills necessary to continue their educational pursuits or enter our work force is only one component of their successful transition. We must also ensure that they are connected to at least one adult, who stands ready to provide the support and guidance that many take for granted, as they leave the structure that placement by a governmental agency entails. Considerable attention is being paid to ensuring that our children and youth are afforded the same opportunities as their peers to engage in extra-curricular activities, obtain their driver's license, spend time with friends, and actively engage in decision making. OCYF is committed to working with counties to fully implement those requirements of the federal legislation while paying particular attention to ensure that our youth are afforded opportunities to support their future interests.

- **Providing Quality Services** – The focus remains on providing quality services to children and families. Regional staff support those efforts by providing increased technical assistance to counties, assisting counties in meeting their identified benchmarks, and encouraging the use of data to identify strengths and areas in need of improvement in both the counties and OCYF.

- **Monitoring the Utilization of Psychotropic Medications** – The Department, in partnership with AOPC, 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.

- **Ensuring the Provision of Quality Health Care to Children in Foster Care** - A survey was completed by members of the HealthCare Workgroup related to the provision of physical and behavioral health care services to children in foster care. The survey findings revealed that there are five main areas that respondents felt needed to be addressed to improve the overall quality of health care services provided to children and youth in the foster care system. These five areas include:
 - Coordination/collaboration across entities to ensure appropriate and timely care;
 - Quality improvement/quality assurance practices need to be developed and put into place;
 - Access to healthcare in a timely manner;
 - Standards for best practice in working with foster care population need to be used throughout the healthcare professions; and
 - Improved training efforts.

Topic specific workgroups were convened and tasked with integrating strategies to address these five areas within the development of their priority areas. Activity conducted by the sub-workgroups to date has been concentrated on the research, data analysis and consultation with other professionals in the development of specific recommendations for improving the provision of physical and behavioral health care services to children in foster care. As recommendations are developed and reviewed, OCYF will work with system partners to address barriers identified in providing quality health care to children in Pennsylvania's foster care system.

- **Taking a Multi-Disciplinary Approach Against Opioid Abuse:**

Drug overdoses, especially those linked to opioids, are increasing rapidly throughout the nation, including right here in Pennsylvania. It is no surprise that overdose touches all facets of our community. We must focus on addressing the overdose problem in Pennsylvania, while ensuring that our prevention programs are robust, well-resourced, and evidence-based, and that all Pennsylvanians struggling with substance disorder can get the level and duration of treatment and recovery supports they need to live a healthy and productive life. Similar to rising trends across the nation, overdose deaths in Pennsylvania have been on the rise over the last two decades. To strengthen and expand current initiatives, a unified and concerted effort must be put in place to address these issues. This requires multi-disciplinary initiatives to effectively combat opioid abuse and the loss of life by drug overdose in the Commonwealth. 52.7 percent of all placements in Federal Fiscal Year (FFY) 2015 were linked to parental substance use, which highlights the negative impacts substance use has on children, families, and communities.

- **Reducing the Number of Re-entries**

The goal of reunification includes ongoing safety and stability in the family. In FFY 2015, the statewide re-entry rate was 24.9 percent, well above the national standard of 8.3 percent. Very few counties in Pennsylvania fell below the national standard. Concerted

efforts must be made to reduce the number of re-entries in Pennsylvania. Counties above the national standard will be asked to develop a plan to:

- identify the characteristics of children and families re-entering the child welfare placement system;
- assess the available services and determine what additional prevention or after-care services are needed;
- determine what resource needs exist to support the identified services planned; and
- monitor outcomes of the programs implemented.

For already established programs, counties will be asked to provide an outcome analysis to support continued use of those programs. OCYF will continue to work with counties to identify strategies to reduce the number of re-entries into foster care.

- **Increasing the Number of Exits to Permanency**

Despite the federal emphasis on achieving timely permanency for children who enter placement, some children continue to experience lengthy stays and exit care without a permanent family. Overall, statewide, exits to permanency (reunification, relative, guardianship and adoption) decreased from 87.4 percent in FFY 2014 to 84.4 percent in FFY 2015. Counties need to carefully analyze their exits to permanency data and develop strategies to increase the number of children and youth exiting to permanency. Counties may be able to identify any patterns in child and placement characteristics that are predictors of exit to permanency.

- **Another Planned Permanent Living Arrangement (APPLA)**

Counties should also consider how their use of APPLA as a permanency goal, whether primary or concurrent, and the action steps toward achieving that goal impact their overall permanency outcomes for youth.

BASIC PLAN/BUDGET:

The submission consists of five parts: the Budget Narrative, Budget Excel file, ACCESS file, the General Indicator File and the Information Technology Excel 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 30, 2016) 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. Counties are required to use their fourth quarter invoice in the actual year. The Department may approve use of an invoice other than the fourth quarter under special circumstances. If a county's most recent invoice is for a quarter other than the fourth quarter, the system default uses level spending, or 25% per quarter, throughout the year. The system does not make any other expenditure adjustments.

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

There are six classified categories of Expenditure Adjustments:

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

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

PLAN/BUDGET SUBMISSION:

The NBPB must include a simple cover page which identifies the county and the three fiscal years covered in the submission. The NBPB must also follow the Budget Narrative Template for all narrative pieces unless otherwise instructed in these guidelines. **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 one 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. Attachments can be accepted if they are referenced in the narrative.

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, 2016. The Budget Excel file and ACCESS file must be submitted electronically through Se-government by **September 1, 2016**. 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.

Counties who experience difficulty meeting the deadlines identified above due to extenuating circumstances must contact their Regional Office fifteen days prior to the deadline to request a 15 day extension. If a county is unable to complete their fourth quarter invoice prior to September 1, they can request approval to use an invoice other than the fourth quarter.

- **NOTE: *Extensions for submission of the Budget Excel and ACCESS files will not be granted due to non-completion of the fourth quarter invoice. If a county needs guidance in completing their budget submission on an invoice other than the fourth quarter, they can seek technical assistance through the RA account or their regional office.***

Counties with regularly scheduled meetings with their Commissioners or County Executive will need to plan accordingly to allow for timely submission of the NBPB forms.

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

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 2017-18 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:

Division of County Support
Office of Children, Youth and Families
Health and Welfare Building Annex
625 Forster Street
P.O. Box 2675
Harrisburg, Pennsylvania 17105-2675

and

Mr. Richard Steele
Juvenile Court Judges' Commission
Pennsylvania Judicial Center
601 Commonwealth Avenue | Suite 9100
Harrisburg, Pennsylvania 17102-0018

OCYF PLAN REVIEW:

The plan will be reviewed by OCYF according to the 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: Navigating the NBPB

The Department is continuing to focus on four broad, statewide goals for Children, Youth, and Family agencies for the FY 2017-18 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 FY 2017-18 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 FY 2017-18 NBPB consists of seven pieces:

1. NBPB Guidelines
2. Budget Narrative Template
3. Budget Excel File
4. General Indicator Excel File
5. ACCESS file
6. Information Technology Excel file
7. Hornby Zeller Associates (HZA) Data Package

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 should 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 unless otherwise instructed in these guidelines. **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

Section 2: NBPB Development

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

2-1: Executive Summary

Submit an executive summary highlighting the major priorities, challenges, and successes identified by the county since its most recent NBPB submission. Counties should ensure that the Executive Summary encompasses both the child welfare and the juvenile justice services. The Executive Summary should be a high level description of county strengths, challenges and forward direction. Specific details regarding practice and resource needs will be captured in other sections of the budget submission and need not be addressed here.

Child Welfare Demonstration Project (CWDP) counties only need to provide a response to this section regarding the information not captured in their most recent Initial Design and Implementation Report Update (IDIR-U). The IDIR-U must be submitted with the Narrative Template as an attachment.

Counties may also attach any County Improvement Plans (CIPs) and reference the attachment for narrative detail.

➤ **See *Executive Summary* in the Narrative Template.**

2-2: Determination of Need

2-2a. Determination of Need through Collaborative Efforts and Data Analysis

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.

At a minimum, counties' collaborative work must include active engagement efforts with the following entities to identify needs and services:

- 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
- Intellectual and Developmental Disabilities 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

A key component of the Rate Methodology Task Force was emphasizing the opportunity through the counties' NBPB resource requests to identify and account for their provider networks programming capacities and costs of doing business.

2-2b. Data Sources

In addition to the identification of data sources utilized, counties are asked to provide an expanded description of the process utilized within the county to select data sources and in the analysis of the data pulled.

- **See *Collaboration Efforts and Data Collection Details* for Sections 2.2a&b in the Narrative Template.**

2-3: Program and Resource Implications

- **NOTE REQUIREMENT CHANGE:** The following initiatives are ones that OCYF has determined may have a newly created or continued impact on your program. It is not an all-inclusive list and does not negate any prior initiatives that may have been included or that counties are required to comply with. Counties should consider the impact of the following initiatives and determine if there is a need for additional resources. **Counties will not have to address each initiative or provide an analysis within the Narrative Template unless guided to do so. Counties MUST address any initiative that results in a request for additional resources by identifying and addressing the initiative within the applicable ADJUSTMENT TO EXPENDITURE request.**

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

The Federal Fostering Connections to Success and Increasing Adoptions Act of 2008 (Fostering Connections) was enacted with a focus on implementation of strategies to support youth transition to adulthood and to improve self-sufficiency. PA enacted Act 80 of 2012 to support youth age 18-21 who remain in foster care or were adopted or placed with a permanent legal custodian after the age of 13, assuming they are:

- 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

Federal Title IV-E funds can be claimed 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 they meet the criteria above, assuming they are also Title IV-E eligible and reimbursable.

PA also enacted Act 91 of 2012 enabling youth for whom dependency jurisdiction was terminated within 90 days of turning 18 or on or after their 18th birthday, but were not yet 21 years of age, to request the court to resume dependency jurisdiction as long as they met the definition of child, specifically the criteria detailed above. Non-minor dependent youth age 18-21 that remain under, or resume, court jurisdiction are eligible for in-home services and/or placement services. Accurately assessing the individual needs of each of these youth ensures the services, supports and programs they receive will provide each youth with an opportunity to focus on activities designed to improve their outcomes.

County Children and Youth Agencies (CCYAs) continue to have a continuum of placement settings available to youth age 18-21 who remain in substitute care or resume court jurisdiction and enter/re-enter substitute care. The table below highlights the array of placement settings available from the most restrictive to the least restrictive setting. Please note that these older youth do not have to be placed in a licensed family foster home and a determination as to the most appropriate and least restrictive setting must be considered. The cultivation and appropriate use of three (3) settings in particular deserve close attention by CCYAs: Transitional Living Residence (TLR), Licensed Supervised Independent Living Placement (L-SILP) setting or Unlicensed Supervised Independent Living Setting (U-LISP).

Placement Type	Age	License Requirement
Emergency Shelter	Up to age 21	“licensed according to the setting in which the service is being provided” Chapter 3800 Chapter 3700 Chapter 3680
Community Residential/Group Home	Up to age 21	Chapter 3800
Transitional Living Residence (TLR)	16 up to age 21	Chapter 3800
Licensed Family Foster Home	Up to age 21	Chapter 3700
Licensed Supervised Independent Living Placement (L-SILP)	16 up to age 21	Chapter 3680
Unlicensed SILP (U-SILP) <ul style="list-style-type: none"> • Host Home • Apartment Style • Higher Education On-Campus 	18 up to age 21	Not Required

Fostering Connections also amended the definition of federal foster care to include supervised independent living; thus creating a federal claiming opportunity for supervised independent living settings. To clarify, Title IV-E funds are available beginning April 1, 2013 for Title IV-E eligible youth placed in approved U-SILP settings and L-SILP settings.

CCYAs should carefully consider the specific needs of their older youth and non-minor dependent youth population in their NBPB request and identify what resources, if any, are needed to ensure a continuum of services, supports, programs and placement settings is available to these youth. CCYAs are encouraged to reference the Office of Children, Youth and Families (OCYF) Bulletin entitled “Youth Independent Living Services Guidelines”, for instructions and guidance in these considerations.

- **See *Fostering Connections to Success and Increasing Adoptions Act* in the Narrative Template**

2.3b. 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 CFCIP at section 477 of the Social Security Act (the Act). The Act required Administration for Children and Families (ACF) to develop and implement a data collection system that reports on the number and characteristics of children receiving services under CFCIP 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 Act, ACF published the NYTD Final Rule in the Federal Register on February 26, 2008. Pursuant to the regulation, states will engage in two separate, but related data collection and reporting activities:

1. **Collecting information on youth and the independent living services** they receive that are paid for or provided by the state agencies that administer the CFCIP; and
2. **Collecting outcomes information** on youth who are in or who age out of foster care.

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

1. **Served population** includes all youth who receive an independent living service paid for or provided by the state agency during a six-month report period;
2. **Baseline population** consists of all youth in foster care who reach their 17th birthday, regardless of whether the youth receives any services; 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.

NYTD REPORTING

In order for the Department to complete the required federal reporting, counties must collect baseline population data of youth in foster care at age 17 via the surveys beginning October 1, 2016 through September 30, 2017.

NYTD also requires that states collect information on the served population (those youth receiving any Independent Living (IL) service during a six-month period).

A summary of the data collection is as follows:

Population	FFY 2016-17	FFY 2017-18
Baseline	Yes	Yes
Follow-up 19	NA	NA
Follow-up 21 (cohort 2)	NA	NA
Served	Yes	Yes

All Information Technology (IT) development 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 and through usage of Pennsylvania's NYTD system, www.getNYTD.org.

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. PA **has** received financial penalties for not achieving the established percentage of youth to participate in the follow up surveys. Therefore, CCYAs are encouraged to think creatively of ways to increase participation in the surveys. Some CCYAs have effectively increased participation by offering thank you gift cards of \$25 for the youth to incentivize completion of the follow-up survey.

2-3c. Continuous Quality Improvement (CQI)

As the CQI process continues to be implemented through a phased-in approach, it is critical that counties consider enhancing or developing a CQI process as PA is moving in this direction. Counties should begin to assess their readiness for this change and plan accordingly for their participation in an upcoming phase of CQI as additional counties will be added with each phase. As counties continue to join the CQI effort, they should consider how their agencies are doing with respect to the outcomes, values, principles and skills identified in the practice model and consider strategies that will serve to strengthen local practice. In developing the NBPB, Phase I, II, III, IV and V CQI counties may refer to the strategies highlighted in their county improvement plans (CIP) that they developed as a result of the findings from their onsite QSRs. Counties who have participated in more than one on-site QSR should reflect upon any trends regarding areas of strength or areas needing improvement across multiple reviews. CIPs should be referenced in Section 3: Benchmarks and Strategies, rather than creating separate strategies. Phase I-V counties who, based on their current schedule, will participate in a state supported QSR in the 2017-18 budget year should identify any funding needs related to conducting the QSR onsite review and focus groups.

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

To ensure state compliance with the Child and Family Services Improvement and Innovation Act of 2011, CCYAs are asked to continue to review their policies, protocols, monitoring 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.

At both the state and federal levels, the prescribing of psychotropic medications to the foster care population has increasingly garnered critical attention over the past decade. A state-commissioned [PolicyLab study](#) found that for youth ages 6-18 years old in 2012, the use of psychotropic medications was nearly three times higher among youth in foster care than youth in Medicaid overall (prescribed at 43 percent versus 16 percent). The PolicyLab study can be accessed at:

<http://policylab.chop.edu/report/psychotropic-medication-use-pennsylvania-children-foster-care-and-enrolled-medicaid>

In June 2016, Department of Human Services (DHS) was presented with recommendations from the Psychotropic Medication Subcommittee regarding the appropriate use and monitoring of psychotropic medications for children in foster care. The following are some of the steps DHS has taken in response to the recommendations:

- Developed best practice guidelines, and informed consent guidance, in partnership with PA Chapter, American Academy of Pediatrics and the Pennsylvania Psychiatric Society, for primary care physicians and psychiatrists regarding comprehensive assessments of maladaptive behavior, appropriate treatment interventions and the informed consent process and provided additional resources on the DHS website: <http://www.dhs.pa.gov/citizens/psychotropicmedicationuseamongmedicaideligiblefostercchildren/#.VzEHAYQrKHs>
- Continued collaboration with Child Welfare Resource Center (CWRC) to embed trauma informed care practice and principles into existing training curriculum and revise the current “Pennsylvania Enhancing Assessments Toolkit” to encourage the use of trauma screening tools, make the toolkit more user friendly, and allow for consistent use across all county children and youth agencies.
- Drafted proposed Chapter 3131 regulations to require the use of state-approved screening and assessment tools, like the Child and Adolescent Needs and Strengths (CANS). CANS is a multi-purpose tool developed for children’s services to support decision-making, including level of care and service planning, to facilitate quality improvement initiatives, and to allow for the monitoring of outcomes of services.
- Collaborated with all Physical Health Managed Care Organizations (PH-MCOs) to develop consistent policies regarding authorization and reauthorization criteria for antipsychotic medications, aligning comprehensive prior authorization, and reauthorization guidelines for use by all PH-MCOs. DHS will continue to monitor prescribing patterns of psychotropic medications by PH-MCO every six months.
- Developed a dashboard to provide a better understanding of the care coordination for children and youth on anti-psychotic medications or multiple psychotropic medications. It will be used to monitor the use of anti-psychotics in children and adolescents, and of those who are receiving behavioral health care services. State and county child welfare professionals will be able to view results and assist in ensuring that the needs of foster children are met.
- In July 2016 CWRC will release their Child Advocacy Studies II Psychotropic Medications Module to child welfare professionals. The course will be adapted for birth, resource, kinship and adoptive parents and will be piloted in October 2016 at the PA State Resource Family Association Conference.
- The physical health MCOs selected several vendors to implement a telephonic psychiatric consultative service in all five HealthChoices regions for children covered by Medical Assistance. One vendor will cover the southeast zone, one vendor will cover the Lehigh/Capital and northeast zones, and one vendor will cover the southwest and northwest zones. The purpose of the program is to assist physicians, physician assistants and certified registered nurse practitioners in the appropriate management of pediatric behavioral health concerns including appropriate prescribing of psychotropic medications. The consultative service will be available to prescribing physicians, physician assistants and certified registered nurse practitioners in July 2016.

The Department is also reviewing and considering changes to the 1994 Special Transmittal, entitled “Medical Foster Care Services for Children Served by County Children and Youth Agencies”, which provides guidance on the use of Medical Assistance for medical support services for foster children with special health care needs.

If warranted, the CCYA 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. CCYAs must consider any resource needs to implement their county-specific plan.

- **See *The Child and Family Services Improvement and Innovation Act of 2011* in the Narrative Template**

2-3e. Concurrent Planning

The Adoption and Safe Families Act of 1997 (ASFA) encourages the use of concurrent planning when a child enters placement. 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. The Concurrent Planning Policy and Implementation Bulletin was issued by OCYF to help strengthen existing practice across the Commonwealth. As of January 1, 2016, CCYAs were to begin concurrent planning for all children who were already in out of home care, regardless of their court-ordered permanency goal.

The CCYA may wish to consider whether or not an Evidence Based Program (EBP) will be needed to help implement any of the identified core components required as part of concurrent planning. (See Section 4: Special Grants Initiative).

- **See *Concurrent Planning* in the Narrative Template**

2-3f. Planning and Services for Successful Reunification

The national standard for the percentage of youth who re-enter foster care within 12 months of discharge to reunification, a relative, or guardianship is 8.3 percent. Statewide, PA's re-entry rate was 24.9 percent in Federal Fiscal Year (FFY) 2015; only **eleven** counties were below the national standard. Most counties continue to see a significant number of children re-entering out of home placement within a short period of time following discharge, typically three to six months. A renewed focus must be placed on planning and services to ensure successful reunification in hopes of reducing the need for children to re-enter out of home placement and ensure they successfully remain in their homes following discharge.

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.

There are five core areas surrounding the planning and services for successful reunifications that must be addressed:

1. Placement Decision Making;
2. Family Engagement;
3. Meaningful Visitation;
4. Resource Family/Parent Collaboration; and
5. Post Reunification Services Delivery.

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

to put additional services in place to ensure successful reunification and children remaining in their homes following discharge.

As referenced on page 8 of this document, any county whose re-entry rate is above the national standard in FFY 2015 will need to develop a plan to:

- identify the characteristics of children and families re-entering the child welfare placement system;
- assess the available services and determine what additional prevention or after-care services are needed;
- determine what resource needs exist to support the identified services planned; and
- monitor outcomes of the programs implemented.

The plan must be submitted as one of the program improvement strategies in Section 3-4 of the Narrative Template.

For already established programs, counties will be asked to provide an outcome analysis to support continued use of those programs.

2-3g. The Patient Protection and Affordable Care Act (ACA) of 2010

Youth who were in Pennsylvania's foster care system and enrolled in Medicaid/Medical Assistance at any time on or after their 18th birthday are eligible for Medical Assistance (MA) coverage until age 26 under the "former foster care" category (PC 40). CCYAs are encouraged to provide notice of opportunity for continued Medicaid/Medical Assistance to current foster youth using the letters, brochures, flyers and point of contact information provided by OCYF. These materials may be distributed to former and current foster youth and incorporated into transition planning. Information can also be found on the Former Foster Youth tab at: www.HealthChoicesPa.com

When current foster youth leave care, the CCYA completes and submits a CY-60 form to the County Assistance Office (CAO). Submission of the CY-60 prompts the CAO to close the youth's medical foster care benefits under the CCYA. Based on information provided, the CAO will determine eligibility for continuing MA benefits, including PC 40. To ensure enrollment in PC 40, the CY-60 must have the permanent address where the former foster youth will be residing. Proper completion of the CY-60 will ensure there is no break in coverage and should require no further action from the youth. Failure to provide the address where the youth is residing may result in a termination of benefits for the child.

Former foster care youth who are not yet age 26, who were enrolled in Medicaid at any time on or after their 18th birthday, must apply online through COMPASS or complete the Application for Health Care Coverage (PA 600 HC) and provide all required documentation, including verification of income, in order to have eligibility determined for health care coverage. Individuals must answer all of the questions on the health care application related to former foster care status to ensure they are reviewed for eligibility under PC 40. If they do not meet eligibility criteria (Modified Adjusted Gross Income (MAGI) rules or other MA rules) for a higher MA category or they fail to provide verification necessary for the determination of other MA, they are enrolled in PC 40 which does not require an income or resource test.

If a former foster youth needs assistance in obtaining verification of prior placement in foster care and receipt of MA, they should contact the CCYA responsible for them while they were in foster care. The CCYA where they currently reside can also be a resource to assist in obtaining the required documentation.

All individuals enrolled in PC 40 will be subject to an annual renewal process to verify ongoing eligibility. When an individual is due for renewal, the CAO will send a renewal form in the mail that must be completed, signed and submitted with required verification. The renewal form can be completed online using COMPASS in place of completing the paper renewal form provided by the CAO.

The Office of Income Maintenance (OIM) will soon release an Operations Memorandum that introduces the new shortened Application for Medicaid for Former Foster Care Youth (PA 1933). This Operations Memorandum outlines the current process of enrollment with the CY-60 when a foster care youth exits care, and provides the new shortened application for individuals who left foster care with Medicaid on or after their 18th birthday prior to January 1, 2014, and for former foster care individuals who moved to Pennsylvania from out of state. Additionally, the Operations Memorandum provides new guidance that individuals who self-attest to receiving foster care and Medicaid at age 18 in another state will be opened for Medical Assistance without delay and will be provided 90 days to verify proof of foster care and Medicaid eligibility in the other state.

In November 2016, COMPASS will also provide a shortened health care application for individuals who indicate they are a former foster care youth in the application.

2-3h. Federal Child and Family Services Review (CFSR)

CFSRs are a federal-state collaborative effort designed to help ensure that quality services are provided to children and families through state child welfare systems. PA is scheduled to participate in the third round of CFSRs in federal fiscal year 2017.

The CFSR consists of an initial state self-assessment, followed by an on-site review. Under the three domains of safety, permanency, and child and family well-being, states are assessed regarding seven expected outcomes for children and families:

- Safety Outcome 1: Children are, first and foremost, protected from abuse and neglect.
- Safety Outcome 2: Children are safely maintained in their homes whenever possible and appropriate.
- Permanency Outcome 1: Children have permanency and stability in their living situation.
- Permanency Outcome 2: The continuity of family relationships and connections is preserved for children.
- Well-Being Outcome 1: Families have enhanced capacity to provide for their children's needs.
- Well-Being Outcome 2: Children receive appropriate services to meet their educational needs.
- Well-Being Outcome 3: Children receive adequate services to meet their physical and mental health needs.

States are also assessed on systemic factors that affect child outcomes; the systemic factors refer to seven systems operating within a state that have the capacity, if well-functioning, to promote child safety, permanency, and well-being outcomes. The systemic factors are based upon Title IV-B and IV-E plan requirements and include:

- Statewide information system
- Case review system
- Quality assurance system
- Staff and provider training
- Service array and resource development
- Agency responsiveness to the community
- Foster and adoptive parent licensing, recruitment, and retention

A state determined not to be in substantial conformity with one or more of the seven outcomes or seven systemic factors under review must develop a Program Improvement Plan (PIP) jointly with ACF that addresses identified areas of nonconformity. The state then implements the approved Program Improvement Plan (PIP), seeking technical assistance as needed. ACF and the state monitor the plan's implementation and the state's progress toward plan-specified goals. If the state is unable to demonstrate the agreed-upon improvement, ACF must take a financial penalty from a portion of the state's Title IV-B and Title IV-E federal child welfare funds.

There are two possible paths to the case reviews conducted during the onsite review: (1) the "Traditional Review," a one week onsite review during which a federal and state team reviews a sample of cases at three sites and conducts case-related and stakeholder interviews; or (2) the "State Conducted Case Review," that must be approved by ACF, which consists of case reviews within the context of the state's ongoing case review process during a defined six month period. OCYF-convened a group of stakeholders who provided recommendations as to which case review pathway PA should pursue. Based on these recommendations, PA has selected to pursue a "State Conducted Case Review" and has submitted an official letter of intent to ACF. PA will seek to recruit approximately two counties in each of the western, central and northeast regions to participate in the case review portion of the CFSR, along with Philadelphia, who is required to be included as the largest metropolitan area. PA will be required to report to ACF on the counties selected for participation in the CFSR by September 1, 2016. All counties should be familiar with the federal CFSR safety, permanency and well-being outcomes and systemic factors and monitor local performance in these areas in preparation for the upcoming review, which will occur over the period of April 1, 2017 through September 30, 2017.

2-3i. Juvenile Justice System Enhancement Strategy (JJSES)

The JJSES statement of purpose is to employ evidence-based practices with fidelity at every stage of the juvenile justice process; collect and analyze the data necessary to measure the results of those efforts; and with this knowledge strive to continuously improve the quality of our decisions, services and programs.

The JJSES Monograph was developed to provide information on how daily practices can be improved to achieve better juvenile justice outcomes by implementing evidence-based practices to achieve the goals of Balanced and Restorative Justice (BARJ). It is meant to provide guidance, tips, and resources to assist counties in their work with juveniles to prevent delinquency, avoid over-reliance on detention, and reduce recidivism for the benefit of all who live and work in the Commonwealth. The Monograph divides and groups the implementation activities of JJSES into four stages:

- Stage One: Readiness
- Stage Two: Initiation (Youth Level of Service (YLS) Risk/Needs Assessments)
- Stage Three: Behavioral Change (Cognitive Behavioral Interventions and other Evidence Based Practices)
- Stage Four: Refinement

Each of these sections includes short descriptions of the tasks to be accomplished at each stage, background information about the purpose of the tasks, and helpful hints about how to achieve them. Other steps involved in implementing the JJSES —ones that cut across all stages—are included in the final section of the Monograph, “Key JJSES Building Blocks”. These include:

- delinquency prevention
- diversion
- family involvement
- data-driven decision making
- training/technical assistance
- continuous quality improvement

Counties are encouraged to support the JJSES. The Monograph is located on the portal at: <http://www.episcenter.psu.edu/sites/default/files/community/JJSES%20Monograph%20Final%20Draft%204-3-12.pdf>

2-3j. Standardized Program Evaluation Protocol (SPEP)

The SPEP was developed by Dr. Mark Lipsey at Vanderbilt University and formulated through groundbreaking meta-analysis of the characteristics of effective delinquency interventions, with the goal of providing a solid foundation for improving delinquency programs and services. The SPEP is a validated, data-driven rating system for determining how well a program matches what research tells us is effective for that particular type of program in reducing recidivism and producing positive outcomes for youth.

The SPEP process itself is a collaborative effort involving service providers, the probation office, and specially trained juvenile justice system professionals that begins with aligning a provider’s service offerings with an appropriate SPEP service type. Next, the quality of services and their delivery is assessed by examining a program’s written protocols/manuals, staff training, staff supervision, and how the agency responds to drift from their identified mission. Another important aspect of the SPEP process is examining how closely the amount of service provided aligns with the successful dosage and duration amounts utilized by the proven programs. Finally, close attention is paid to the risk levels of the offenders they serve. Dr. Lipsey’s meta-analysis suggests that providers can have a greater impact on risk reduction when dealing with higher risk offenders.

The SPEP team will develop a PIP which may suggest operational changes and improvements a provider can employ to more closely align their program with what research has shown to work for that service type. There are benefits for the probation departments that participate in the SPEP process as well. The JPO will gain a richer understanding of the actual service being provided; how the service is being delivered; and the type of juvenile offender best served by the program. They will have an opportunity to work collaboratively with the provider to address obstacles they both may face in full PIP implementation. The JPO plays an important role in

helping providers achieve positive outcomes by insuring that only appropriate youth are referred to the program. As the number of programs participating in SPEP increase, the JPO may find a need to adjust the array of services they offer to fill offender needs identified by the Youth Level of Service (YLS). The NBPB process offers the mechanism to enable the JPO to advance requests for provider changes (example: changes in dosage or duration of services) which are a result of the PIP and requests for service re-alignment. Counties seeking to make SPEP-related adjustments in their Implementation Plan or NBPB will need to provide the justification and supporting documentation as an ADJUSTMENT TO EXPENDITURE request.

2-3k. Pennsylvania Academic, Career and Technical Training (PACTT)

The Department, Pennsylvania Commission on Crime and Delinquency (PCCD), Juvenile Court Judge's Commission (JCJC), Department of Education (PDE), Pennsylvania Council of Chief Juvenile Probation Officers, Department of Labor and Industry and Pennsylvania Council of Children, Youth & Family Services have joined together to lead an interagency initiative designed to further develop job readiness, academic and employability skills for youth becoming involved with PA's juvenile justice system and to build upon the accomplishments of the PACTT.

Oversight for this initiative is provided by an Executive Steering Committee (ESC) comprised of representatives from the aforementioned state agencies and private partners. The Department's Bureau of Juvenile Justice Services (BJJS) is responsible for the day-to-day activities associated with continuing the efforts of PACTT, expanding upon it as determined appropriate by the ESC and measuring its success.

In planning for FY 2017-18 resource needs, counties should consider support, financial and otherwise, that may be needed by providers and probation departments to sustain and/or build upon their PACTT initiatives in the following areas:

- Development of job readiness, academic and employability skills.
- Alignment of academic programming of agencies serving adjudicated youth with state standards.
- Improving coordination between programs and school districts.
- Promoting practices aimed at accelerating remediation and credit recovery or transfer.
- Development of career and technical training programs that lead to industry-recognized certifications.
- Ensuring that programs and schools progressively build upon a youth's achievements.
- Inclusion of youth falling under both the dependency and delinquency systems.
- Identification of barriers and alignment of policy and/or legislation.

2-3l. Prison Rape Elimination Act (PREA)

The Prison Rape Elimination Act of 2003 (PREA, P.L. 108-79) was enacted by Congress to address the problem of sexual abuse of persons in the custody of correctional agencies throughout the country. PREA applies to all public and private institutions that house adult or juvenile offenders and is also relevant to community-based agencies. It addresses both inmate-on-inmate sexual abuse and staff sexual misconduct. The major provisions of PREA include:

- Adherence to a zero-tolerance standard for the incidence of inmate sexual assault and rape;

- Development of standards for detection, prevention, reduction, and punishment of prison rape;
- Collection and dissemination of information on the incidence of prison rape; and
- Award of grant funds to help state and local governments implement the purposes of PREA

Although PREA was legislated in 2003, the National Standards to Prevent, Detect, and Respond to Prison Rape were just recently published in the Federal Register on June 20, 2012. These standards are applicable to adult prisons and jails, lockups, community confinement facilities, and juvenile facilities. A Juvenile Facility is defined as a facility primarily used for the confinement of juveniles pursuant to the juvenile justice system or criminal justice system.

In order to demonstrate compliance with this federal law, all facilities that fall under this definition must be audited once during each three year audit cycle. Counties are encouraged to work with the providers who meet this definition to ensure that they build in the necessary costs into their budget to support compliance with PREA.

For more information, technical assistance and resources regarding PREA, please access the PREA Resource Center at www.prearesourcecenter.org In addition, any questions or concerns regarding the PREA should be directed to:

Bureau of Juvenile Justice PREA Coordinator
Tel: 717-787-9532

2-3m. Rate Methodology Task Force

Pursuant to Act 55 of 2013, the Department convened a Taskforce to develop recommendations for a methodology to determine reimbursement for actual and projected costs of purchased services which are reasonable and allowable.

During Taskforce meetings, the role of the private providers in the county's development of the NBPB has been presented as inconsistent to non-existent. In accordance to the guidelines of Section 2-2a., current service providers should be actively engaged in the county's process of determining need and service levels. These discussions will lead to identification of resource needs.

2-3n. Adoption and Foster Care Analysis and Reporting System (AFCARS) Proposed Rule and Supplemental Proposed Rule

The U.S. Department of Health and Human Services (HHS) is statutorily required to have a regulated national data collection system that provides comprehensive demographic and case-specific information on all children who are in foster care and adopted with title IV-E agency involvement. (Section 479 of the Social Security Act). The current regulations no longer fully support HHS's current data needs to understand a child's entire experience in foster care. These regulations are being updated to incorporate requirements from the Fostering Connections to Success and Increasing Adoptions Act of 2008, the Preventing Sex Trafficking and Strengthening Families Act, and the Indian Child Welfare Act (ICWA).

The proposed changes to AFCARS will require data collection changes at the state and county level once the rule is finalized. These changes will be incorporated into Child Welfare

Information System (CWIS) Phase 2. Implementation of changes to AFCARS described in the proposed and supplemental rule will be dependent on the issuance of a final rule. Implementation of the changes will be effective no sooner than the start of the second federal fiscal year following the publication of the final rule. **This means the earliest effective date will be no sooner than October 1, 2017 if the final rule is published prior to October 1, 2016. If published later than October 1, 2016 the effective date would likely be October 1, 2018.** The Children's Bureau wants to provide Title IV-E agencies with at least one full year, and possibly longer, before they require states to collect and report new AFCARS data.

For complete context and understanding, the entire proposed rule which was published in the Federal Register on February 9, 2015 can be viewed at:
<http://www.gpo.gov/fdsys/pkg/FR-2015-02-09/pdf/2015-02354.pdf>

For complete context and understanding, the supplemental proposed rule which was published in the Federal Register on April 7, 2016 can be viewed at:
<https://www.federalregister.gov/articles/2016/04/07/2016-07920/adoption-and-foster-care-analysis-and-reporting-system>.

OVERVIEW

Background

The proposed rule would provide the first update of AFCARS regulations since 1993. The AFCARS regulations need to be revised and updated to: 1) incorporate statutory requirements that have passed since 1993 (for example, the Fostering Connections legislation provided for extensive changes to the Title IV-E program, including a federal Guardianship Assistance Program); 2) implement the statutory authority to assess penalties for noncompliant data submissions; and 3) enhance the type and quality of information Title IV-E agencies report to the Children's Bureau by modifying and expanding data elements and requiring Title IV-E agencies to submit historical data.

Key Provisions of the Proposed Rule

The proposed rule focuses on the following four areas to enhance comprehensive data collection: (1) revise the reporting populations; (2) revise the data structure; (3) revise data elements; and 4) strengthen data quality through compliance and penalties.

1. Revise the Reporting Populations: The rule proposes two reporting populations:

- The out-of-home care reporting population: includes a child, of any age, who is in foster care or a child who has run away or whose whereabouts are unknown at the time the Title IV-E agency becomes responsible for the child. Once the child enters the out-of-home care reporting population, he or she remains in the population until the Title IV-E agency's responsibility for the child ends. This proposal is very similar to current AFCARS practice.
- The adoption and legal guardianship reporting population includes any child who is in a finalized adoption under a Title IV-E adoption assistance agreement and any child who is in a legal guardianship under a Title IV-E Subsidized Permanent Legal Custodian (SPLC) agreement. Agencies continue to report a child through the report period in which their Title IV-

E assistance agreement ends. This is a change from the current regulation in which a child is reported only in the reporting period during which the adoption or legal guardianship was finalized.

2. **Revise the Data Structure:** Title IV-E agencies will report AFCARS information in two separate data files: an out-of-home care data file and an adoption and guardianship assistance data file.
 - For the out-of-home care data file, report a combination of point-in-time information that doesn't change over time (e.g., demographics) and information that does change; such as placements and permanency plan goals.
 - For the adoption and legal guardianship data file, report information that is unlikely to change over time, such as child demographics, adoption/guardianship finalization date, placing agency, number of siblings, etc.
3. **Revise Data Elements:** The rule proposes to keep (and in some instances revise) the vast majority of data elements currently in AFCARS and add new data elements to enrich our analysis of a child's experience in foster care and a child's exit to adoption/guardianship, etc. It modifies existing data elements on the child's placements, permanency plans, circumstances surrounding the child at removal, prior adoptions, and reasons for exiting foster care, among others. These modifications are necessary to clarify data element descriptions, capture historical information, incorporate statutory changes in federal child welfare programs, and conform to the new data structure. The following information must be reported:

Out-of-Home Care Data File Data Elements

- General information such as the name of the title IV-E agency and record number of the child in the out-of-home care reporting population.
- Child demographic information such as health assessment information, diagnosed health, behavioral or mental health conditions, educational wellbeing, prior adoption or guardianship, and any types of financial and medical assistance the child received during the report period.
- Parent or legal guardian demographic information such as the year of birth, termination of parental rights (TPR) petition date, TPR date, and the date of the first judicial finding of child abuse or neglect.
- Each of the child's removals, such as:
 - the type of household or facility the child lived in at the time of removal,
 - whether the removal is court ordered or a voluntary placement (if known), and
 - The circumstances occurring in the child's life at the time the child entered foster care (not just the "primary" reason for entering foster care). These include abuse/neglect, abandonment, domestic violence, inadequate housing, caretaker alcohol/drug abuse, inadequate access to medical or mental health services, and child behavior problem.
- Each of the child's living arrangements/providers such as:

- The date the child began living in each placement, the type of the placement (foster family home, group home, child care institution, runaway, etc.), the number of siblings living with child, and the federal funding sources that support the child's room and board.
 - For each placement that is a foster family home, basic demographics on each foster parent.
- Permanency planning information for the child, such as:
 - the date and goal of each permanency plan, whether the permanency plan changed during the report period (and if so, all of the reasons why it changed),
 - if the child has a concurrent permanency plan (and if so, the date and goal of each),
 - the date of each periodic review and permanency hearing,
 - the date, location, and purpose for each caseworker visit, and
 - if the child has a transition plan (and if so, the date of and which provisions are included in the plan).
- Each of the child's exits from out-of-home care, such as:
 - exit date and exit reason, and
 - if the child was transferred to another agency, report the type of agency where the child was transferred (e.g., state or tribal IV-E agency, tribal agency, juvenile justice agency, etc.).
- Each of the child's exits to a finalized adoption or legal guardianship, such as:
 - demographics and other characteristics (including relationship to child) for each adoptive parent or legal guardian,
 - the location of where the child was placed for adoption or guardianship (intercountry, interjurisdictional, or interjurisdictional),
 - the name of the state, tribal service area, Indian reservation, or country where the child was placed if not within the jurisdiction of the reporting title IV-E agency.
- Each of the child's exits to a finalized adoption or legal guardianship, such as:
 - demographics and other characteristics (including relationship to child) for each adoptive parent or legal guardian,
 - the location of where the child was placed for adoption or guardianship (intercountry, interjurisdictional, or interjurisdictional),
- Title IV-E agencies will be required to collect and report information related to ICWA's statutory standards for removal, foster care placement and adoption proceedings. These additional elements are to:
 - Address the unique needs of American Indian/Alaska Native (AI/AN) children in foster care or adoption, and their families.
 - Assess the current state of adoption and foster care programs and relevant trends that affect AI/AN families.
 - Improve training and technical assistance to help states comply with title IV-E and title IV-B of the Social Security Act.
 - Develop future national policies concerning its programs.
 - Inform and expand partnerships across federal agencies that invest in Indian families and that promote resilient thriving tribal communities through several initiatives.
 - Implement Tribal sovereignty principles and Federal trust responsibilities.

Adoption and Legal Guardianship Assistance Data File Data Elements

The title IV-E agency must report the following:

- General information such as the name of the title IV-E agency and record number of the child in the out-of-home care reporting population.
 - Child demographic information such as date of birth, whether child was born in the United States, gender, race, and ethnicity.
 - Information on title IV-E adoption or guardianship assistance agreement, such as:
 - date of adoption finalization or legalized guardianship,
 - the amount of the subsidy paid on behalf of the child,
 - information on nonrecurring costs,
 - the total number of siblings the child has in foster care or who have a finalized adoption or legal guardianship under a title IV-E agreement, and
 - the agency that placed the child for adoption or legal guardianship, including agency type and location.
 - No historical information collected since this information doesn't change over time.
4. **Strengthen Data Quality through Compliance and Penalties:**
- The title IV-E agency must meet certain data file standards (e.g., timely submission, proper format) and data quality standards (e.g., internally consistent, no missing data, valid responses).
 - HHS will implement the penalty structure specified in statute.
 - If the resubmitted data does not meet the regulatory standards, then HHS will apply a penalty amount of 1/6 of 1 percent of the agency's title IV-E foster care administrative funds.
 - A penalty of 1/4 of 1 percent is assessed for each subsequent report period the data is out of compliance.
 - HHS will exempt from the compliance requirements: records in both data files of youth over age 18; and children in a legal guardianship under a title IV-E agreement from the adoption and guardianship assistance data file.

The Adoption and Foster Care Analysis and Reporting System (AFCARS) Notice of Proposed Rulemaking (NPRM) is scheduled to be finalized early this fall. All county CCYA's should request the needed funds in their IT Grant request to cover the new and enhanced requirements for AFCARS reporting. All the required changes must be in place before October 1, 2017. Please see the accompanying AFCARS Elements Workbook for a listing of the required AFCARS elements. The final file layout will be provided upon issuance of the final rule. The ICWA related elements were provided on its own spreadsheet.

AFCARS Improvement Plan (AIP)

During the week of June 23, 2014, the Children's Bureau, in collaboration with OCYF, completed a review of the State's AFCARS data. On October 5, 2015, the Department of Health and Human Services, Administration on Children, Youth and Families provided the AFCARS Assessment Review (AAR) Report to Secretary Dallas. The final report contained detailed findings at both the state and county levels. This report included the State AFCARS AIP and a working copy of AIP matrices.

Individual meetings were held with the individual county case management system owners regarding specific state level and county system findings as well as to outline the requirements for development of county system improvement plans. All county work plans were returned to OCYF on December 18, 2015. OCYF submitted the AIP to ACF and is currently awaiting approval of the plan. Once the approved plan is received, the AIP will be in place for two years.

Counties should identify any program and resource implications in regard to IT system changes and training associated with completing their county AIP.

2-3o. Successor Permanent Legal Custodians

As of March 2016, the Office of Medical Assistance Programs reports 3,005 youth are in Permanent Legal Custodianship (PLC) arrangements (per the Client Information System (CIS)). Many of the PLC arrangements reported are impacted by the federal Preventing Sex Trafficking and Strengthening Families Act, Public Law (P.L.) 113-183 and Act 92 of 2015, which maintains a child's eligibility for federal or state PLC subsidy payments and benefits when the PLC(s) of a child dies or is incapacitated. The ability to transfer the subsidy payments and benefits on behalf of a child when a PLC dies or is incapacitated, is dependent upon:

- The PLC naming a Successor Permanent Legal Custodian (Successor) in the Subsidized Permanent Legal Custodian (SPLC) agreement (or by amendments to that agreement); and
- The Successor meeting the requirements for employment in child-care services and approval as a foster or adoptive parent under 23 Pa.C.S. § 6344 (relating to employees having contact with children; adoptive and foster parents); and
- The Successor receiving receive legal and physical custody of the child from a court.

The Department is in the process of revising and reissuing the Permanent Legal Custodian Policy. In the interim, if the need for a Successor arises, CCYAs should be addressing these situations by contacting the following resource account for assistance:

Ra-ocyftitleiveqa@pa.gov

CCYAs should consider any program or resource implications associated with the following activities: obtaining necessary certifications (FBI, state police and child abuse) for Successor(s) and adult household members; notifying existing SPLCs of the opportunity to name a Successor; updating SPLC agreements, as necessary, to incorporate or update any named Successor(s); revising template agreements and annual contact forms to reflect the ability to name a Successor; and supporting non-recurring expenses of Successor(s).

➤ **See *Successor Permanent Legal Custodian* in the Narrative Template**

2-3p. Preventing Sex Trafficking

In accordance with P.L. 113-183, CCYAs need to identify, document in agency records and provide appropriate services to children and youth known to the CCYA to be victims of sex trafficking, or at risk of victimization. CCYAs also need to ensure they have established protocols to expeditiously locate any child who runs away from foster care. When a child who runs away from foster care is recovered, CCYAs need to determine the factors that led to the child being absent from foster care and the child's experiences while absent from foster care.

The CCYA must screen the child for possible sex trafficking, and ensure they are responding to all of these factors in the current and future placements for the child.

Furthermore, the Justice for Victims of Trafficking Act of 2015 requires states to amend their definitions of child abuse and neglect, as well as the definition of sexual abuse to include if the child is identified by the CCYA as being a victim of sex trafficking (the recruitment, harboring, transportation, provision, obtaining, patronizing, or soliciting of a person for the purpose of a commercial sex act) or severe forms of trafficking (sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age). These amendments, when enacted in state legislation, will amend the definition of child abuse and perpetrator.

Pennsylvania's Act 94 of 2015 requires CCYAs to report to law enforcement immediately, and in no case later than 24 hours, any child known to the CCYA that they identify as a victim of sex trafficking or that they have reasonable cause to suspect is at risk of being a victim of sex trafficking. The law also requires CCYAs to report to law enforcement and the National Center for Missing and Exploited Children, immediately, and in no case later than 24 hours, any child known to the CCYA who is missing or abducted. CCYAs are also required to report annually to the Department the total number of children who are sex trafficking victims. The Department is in the process of finalizing screening and assessment tools, as well as training for child welfare staff, to assist CCYAs in meeting these requirements.

CCYAs should consider any program or resource implications associated with serving children known to the CCYA who are at-risk of becoming, or determined as, a victim of sex trafficking. Activities to consider include incorporating relevant information into purchased service contracts; training staff; conducting screenings and assessments; providing services to this population; reporting to law enforcement and the National Center for Missing and Exploited Children (NCMEC); as well as tracking and reporting data related to this population.

➤ **See *Preventing Sex Trafficking* in the Narrative Template**

2-3g. The Child Abuse Prevention and Treatment Act (CAPTA):

The President signed Public Law (P.L.) 114-22, the Justice for Victims of Trafficking Act of 2015, into law on May 29, 2015. The law amends the CAPTA state grant program to add new state plan requirements and modifies the definition of child abuse and neglect, in addition to making amendments to other statutes. Specifically, the amendments to CAPTA:

1) Require states to assure and describe in their CAPTA state plan that they have:

- o provisions and procedures regarding identifying and assessing all reports involving known or suspected child sex trafficking victims (as defined in section 103(10) of the Trafficking Victims Protection Act of 2000 (TVPA) (22 U.S.C. 7102));

- o provisions and procedures for training CPS workers about identifying, assessing and providing comprehensive services to children who are sex trafficking victims, including efforts to coordinate with state law enforcement, juvenile justice, and social service agencies such as runaway and homeless youth shelters.

Most of the provisions are addressed through the enactment of Act 94 and the efforts being undertaken through the Preventing Sex Trafficking workgroup as already outlined in the Preventing Sex Trafficking section above. The provisions related to modifying the definition of

child abuse and neglect are identified as a legislative priority for the department and will require amendments to the Child Protective Services Law (CPSL), specifically as it relates to the definition of child abuse and perpetrator. The amendments to these definitions will likely result in an increase in reports of suspected child abuse being made to the county agency in order for an investigation to occur. While these amendments do not go into effect until May 2017, we anticipate more immediate enactment of state legislation. Consideration should be given to the potential increase in reports of suspected child abuse related to these amendments and the costs associated with this increase, including for staffing.

2-3r. Promoting the Well-Being of Children and Youth in Out-of-Home Placement through Age and Developmentally Appropriate Activities

P.L. 113-183 and Act 75 of 2015 require counties to ensure that children in out-of-home placement are afforded opportunities to engage in age and developmentally appropriate extracurricular, enrichment, cultural or social activities and experiences. Caregivers, including resource parent(s) for the child and designated staff in the child's placement setting, are empowered to make decisions regarding the child's participation in such activities without prior approval from the CCYA, private provider agency, or the court, provided the decision is based on a "reasonable and prudent parental standard" and the decision does not conflict with the child's service plans or active court orders. Caregivers need to receive training in how to use and apply the reasonable and prudent parent standard and CCYAs are responsible for ensuring caregivers in any programs they operate receive such training. Service plan(s) for all children in out-of-home placement need to include goals and objectives, and the child's progress toward meeting the goals and objectives, related to their participation in activities; for youth 14 and older service plan(s) must also include goals and objectives aimed at providing opportunities for the youth to gain experience in mastering skills needed to transition to successful adulthood and managing freedom and responsibility.

CCYAs should incorporate the new rights and responsibilities afforded to caregivers by Act 75 into the agreement they provide to resource families in accordance with OCYF Bulletin #3700-08-01 entitled "Implementation of Act 68 of 2005 (The Resource Family and Adoption Process Act), Act 73 of 2005 (The Resource Family Care Act) and Act 76 of 2007" as caregivers need to receive written notice of their rights and responsibilities under Act 75 at the time of certification or placement of a child into their home and annually thereafter.

CCYAs also need to ensure that children in out-of-home placement have their opportunities under Act 75 explained to them in a manner appropriate to the child's age, development and maturity and that these children are provided with a written explanation of the requirements of Act 75 at initial placement, any subsequent move, and at least annually as part of the family service and permanency planning process. CCYAs should be updating the grievance policies they have established in accordance with OCYF Bulletin #313-12-02/3700-12-01/3680-12-01/3800-12-01 entitled "Children in Foster Care Act (Act 119 of 2010) to incorporate these opportunities into the list of requirements established under section 3, Children in Foster Care Act (P.L. 1263, No. 119).

CCYAs should also review their established grievance policies to ensure they address a child's rights in regards to education, health, visitation, court participation, receipt of any credit reports annually and assistance with resolving inaccuracies (details below), receipt of certain documents upon discharge at age 18 or older (details below), and the right to stay safe and avoid exploitation.

CCYAs should consider any program or resource implications that may be newly associated with providing children and youth access to age and developmentally appropriate activities; incorporating relevant information into purchased service contracts; training resource families maintained by the CCYA about their new role and responsibilities; educating staff about the reasonable and prudent parent standard; and changes in casework practice and culture to ensure promotion of opportunities for children to participate in age and developmentally appropriate activities and experiences.

- **See *Promoting the Well-Being of Children and Youth in Out-of-Home Placement through Age and Developmentally Appropriate Activities in the Narrative Template***

2-3s. Encouraging Sibling Connections/Expanded Relative Notification

P.L. 113-183 and Act 92 of 2015 requires that within 30 days of a child's placement, CCYAs also need to make diligent efforts to identify any parent who has legal custody of a sibling of a child who is placed, notify such parent(s) that the child has been or is being removed, and explain their options to participate in the care and placement of the child.

2-3t. Use of Another Planned Permanent Living Arrangement (APPLA)

Children who are assigned the permanency goal of Another Planned Permanent Living Arrangement (APPLA) are more likely to "age out" of foster care and lack permanent connections. To address these concerns, P.L. 113-183 and Act 94 of 2015 prohibit courts and CCYAs from establishing or maintaining a permanency plan/goal of APPLA for children under the age of 16. Act 94 further requires that at every permanency hearing held for a youth with a goal of APPLA, that the CCYA identify, or document their efforts to identify, at least one significant connection with a supportive adult willing to be involved in the youth's life as they transition to adulthood. CCYAs must also document their ongoing intensive efforts and offer a compelling reason why, as of the date of each permanency hearing, it is not in the youth's best interests to be returned home, placed for adoption, placed with a Permanent Legal Custodian (PLC), or placed with a fit and willing relative. CCYAs must apply these new APPLA requirements to the first permanency hearing held for a child after January 1, 2016 which includes identifying a permanency plan/goal other than APPLA for youth under the age of 16. Following the first permanency hearing held after January 1, 2016, federal and state funds will no longer be available to support placement costs for children and youth under the age of 16 for whom APPLA is newly assigned or maintained as a permanency goal.

Pursuant to Section 30 of Act 94 of 2015, in February of 2016 the Department convened a work group to conduct a study to analyze and make recommendations on strategies to reduce or eliminate APPLA as permanency goal for children 16 years of age or older. The work group recommended several strategies, and a timeline for achieving these strategies, to reduce and ultimately eliminate APPLA as a permanency goal for all children and youth by 2021. The study was shared with certain members of the General Assembly prior to the statutory deadline of April 28, 2016.

Data reviewed by the work group revealed that the majority of youth age 16 or older with a primary or concurrent goal of APPLA do not receive adequate permanency services. CCYAs

should begin to prepare for a reduction and potential elimination of APPLA as a permanency goal by doing the following:

- Reviewing county-level CCYA and Commonwealth of Pennsylvania Common Pleas Case Management System (CPCMS) data to identify and track all children and youth with a primary or concurrent permanency goal of APPLA.
- Consider implementing a rigorous, high-level, administrative approval process for all recommendations of APPLA as the primary or concurrent goal for youth age 16 and older.
- Including all youth age 16 years or older in Statewide Adoption and Permanency Network (SWAN) requests for service. At a minimum, youth age 16 years and over should be referred for the following SWAN units of service: Child Profile, Child Preparation and Child Specific Recruitment.
- Ensuring family-driven teaming models (i.e. Family Group Decision Making (FGDM), Family Group Conferencing or Family Team Conferencing) are used to address case planning and permanency needs of all youth in foster care age 16 years or older. CCYAs that do not currently use a family-driven teaming model should consider implementing such a model as an Evidence Based Practice (see Section 4-3a) or Pennsylvania Promising Practice (see Section 4-3b).
- Beginning to implement Permanency Roundtables (PRT) or a similar intensive case review process for all youth age 16 years and older. The Permanency Roundtable process is managed by the SWAN prime contractor and requests to begin their implementation should be made directly to the county's SWAN Technical Assistant. Because this process is managed by the SWAN prime contract, county costs for the Permanency Roundtable process are minimal; counties are expected to provide a location for training on the Permanency Roundtable process and room for the actual Permanency Roundtable reviews.
- Engaging youth, the CCYA, JPO, providers, attorneys and the court in learning opportunities about the need for these youth to have permanency, safety and well-being.
- Building commitment to permanence for older youth by providing caseworkers with specialized training.

➤ **See *Use of Another Planned Permanent Living Arrangement (APPLA) in the Narrative Template***

2-3u. Ensuring Youth 14 Years Old and Older Are Engaged in Service Planning and Prepared to Successfully Transition to Adulthood:

In accordance with P.L. 113-183, CCYAs must consider the following:

- All service plan(s) for youth age 14 years and older, including Independent Living Plan(s) and Discharge/Transition Plan(s) when applicable, must be developed in consultation with the youth and, if the youth chooses, up to two members of the case planning team chosen by the youth. The two members selected by the youth cannot be the youth's caseworker or foster parent. One member of the service planning team selected by the youth may be designated as an advisor to the youth and as necessary advocate for application of the reasonable and prudent parent standard.
- All youth in care age 14 years and older must be assessed to determine the programs and services which will help them successfully transition to adulthood

(previously referred to as Independent Living) and this information must be documented in the youth's service plan(s). Act 94 of 2015 further requires courts to review and determine the services needed to assist these youth to make the transition from foster care to successful adulthood at every Permanency Review.

- CCYAs must ensure that each youth in foster care age 14 years or older (previously 16) receives once every 12 months, without cost, a copy of their credit report from each of the three credit reporting agencies. These youth must also receive assistance interpreting and resolving any inaccuracies in the report.
- CCYAs must ensure that youth leaving out-of-home placement at age 18 years or older, must receive, at a minimum, an official or certified copy of their birth certificate, a social security card issued by the Social Security Administration, health insurance information, a copy of their medical records, and a driver's license or state issued identification.

2-3v. Educational Success and Truancy Prevention

Statewide attention has long been placed on educational success and truancy prevention. More recent attention has focused on recommendations for legislative reform, educational curriculum on truancy for child welfare professionals, enhancements to the Pennsylvania Toolkit for School Attendance and Truancy Reduction, Cyber Charter Schools and data sharing between courts, education and child welfare. These recommendations include draft truancy legislation that would place a renewed emphasis on the use of community-based intervention and services for youth in need of attendance improvement (see Senate Bill 359 Printer's Number (P.N.) 1766 and House Bill 1907 P.N. 3199). The Joint State Government Commission (JSGC) convened the Truancy Advisory Committee comprised of stakeholders across the Commonwealth with a focus on addressing truancy and school dropout prevention. The JSGC issued their report in October 2015 with statutory and public policy recommendations. The entire report can be found at:

<http://jsg.legis.state.pa.us/resources/documents/ftp/publications/2015-10-27%202015%20TAC%20Final%20Report%2010-27-15%203pm.pdf>

Collection of education-related data has been discussed in the Education Success and Truancy Prevention Workgroup with recommended data collection points outlined in the 2015 State Roundtable report. Ongoing discussions continue to occur with Administrative Office of Pennsylvania Courts, Pennsylvania Department of Education and DHS with a focus on the identified data collection points and a determination of where these points are most appropriately collected and how to share this data across systems. Many of the data collection points are appropriately collected by PDE and those to be collected from DHS would be included in CWIS Phase 2.

The passage of the Every Student Succeeds Act (ESSA) in December 2015 contains key protections for vulnerable youth in the foster care and juvenile justice systems. This law, paired with Fostering Connections, envisions dual-agency responsibility for supporting educational success for students in foster care. Some of the key provisions related to youth in foster care include:

- Allowing youth in foster care to remain in the same school even when their foster home placements are changed.
- Requiring schools to immediately enroll children in foster care after a school move.

- Requiring points of contact in every state education agency as well as many school districts.
- Requiring plans for school transportation for youth in care.
- Tracking achievement data for youth in care.

New ESSA provisions will improve the rates of success for youth being rehabilitated in the juvenile justice system. Under the new ESSA, states receiving Title 1 Part D funding (funding for prevention and intervention programs for children and youth who are neglected, delinquent or at risk) must provide protections, including:

- Providing better planning and coordination of education between facilities and local districts.
- Supporting reentry into the community for youth returning from juvenile justice placements, including timely re-enrollment in appropriate educational placements.
- Creating opportunities to earn credits in secondary, postsecondary, or career/technical programming.
- Requiring transfer of secondary credits to the home school district upon reentry.
- Prioritizing attainment of a regular high school diploma.

CCYAs should consider any program or resource implications that could result should the draft truancy legislation mentioned above be signed into law. Clarification of the term “habitually truant” and changes to the reporting procedures may result in an increase in referrals and services.

2-3w. Newly Supported Evidence-Based Practices – Other

Beginning in FY 2016-17, CCYAs were encouraged to request funding through the NBPB’s Special Grant Initiatives for Nurse Family Partnership (NFP), youth employment programs, and the Child and Adolescent Needs and Strengths Assessment (CANS).

- **NFP** is an evidence-based community health program that utilizes ongoing home visits from registered nurses to support low-income first time mothers. Funding requests are considered for additional NFP services over and above the allocation of their Office of Child Development and Early Learning (OCDEL) grant and any Maternal, Infant and Early Childhood Home Visiting (MIECHV) award if the county has an unmet need for this service which is not a result of the program’s inability to hire/retain qualified staff.
- **Youth employment programs** offer opportunities to acquire and apply the essential skills needed to prepare for independence. Research links early exposure to career preparation activities to the following outcomes; increased academic achievement, pro-longed retention in post-secondary education, expanded support networks; greater financial stability; and stronger life-time earnings. Counties are encouraged to explore youth employment programs and partner with systems that provide youth with summer and year-round employment experience.
- **CANS** is a multi-purpose tool developed for children’s services to support decision-making, including level of care and service planning, to facilitate quality improvement initiatives, and to allow for the monitoring of outcomes of services. The CANS helps inform decisions regarding the appropriateness of services which will lead to better outcomes for our children and reduce the reliance on psychotropic medication which remediates symptoms without addressing root

cause trauma. The Department is not directing that the CANS is the only acceptable tool for assessments; however, it is currently the only assessment tool eligible for incentivized funding. Generally, assessment tools must meet the needs of the child and provide for a holistic evaluation of the child's well-being and capture strengths and challenges in a developmentally appropriate manner, accounting for the trauma resulting from abuse or neglect.

2-3x. Unallowable Costs

Legal Representation Costs for Juveniles in Delinquent Proceedings and Parents in Dependency Proceedings

Counties are not permitted to request funding for the above Legal Representation costs in the NBPB, although the Department is continuing its review of this matter for future consideration of funding.

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

Medical Assistance 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 providing such 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. The county must document 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.

2-3y. Guardian ad-Litem (GAL)

Pennsylvania's Juvenile Act requires that every child who is the subject of a dependency case be appointed a Guardian ad-Litem to represent the best interests of the child. Effective legal representation and advocacy for children in the dependency system can assist in achieving permanency for children and families in the shortest time possible. New for FY 2017-18, CCYAs are asked to provide data related to the number of GALs representing their children and youth in court in FY 2015-16.

- **See *Guardian Ad-Litem* in the Narrative Template**

2-3z. Child Advocacy Centers (CACs)

CACs provide state-of-the-art treatment for the victims of child sexual abuse and child abuse. They coordinate medical care, treatment and other social services for victims while gathering evidence, through age-appropriate forensic interviewing and other methods employed by Multidisciplinary Investigative Teams (MDITs), to build an effective case against the alleged

offender. By bringing medical professionals, social workers, prosecutors and police who specialize in child sexual abuse together under one roof, CACs are the most effective way to bring a perpetrator to justice and ensure that the systems designed to protect children do not further traumatize them.

CCYAs should consider whether resources are needed to support the work of the CACs.

➤ **See *Child Advocacy Centers* in the Narrative Template**

2-3aa. Medical Foster Care

The Department convened an internal work group to update the 1994 Special Transmittal entitled “Medical Foster Care Services for Children Served by County Children and Youth Agencies”. The Special Transmittal addresses accessing MA funding for medically necessary services provided to foster children with medical conditions that require significant care and monitoring. Four levels of medical foster care are outlined based on diagnosis and medically necessary equipment and procedures. The county children and youth agency with custody of the child is responsible for determining the level of medical foster care services required by the foster child. Both county and private children and youth agencies can apply to become a Medical Assistance (MA)-enrolled medical foster care service provider.

The work group is evaluating the current processes outlined in the Special Transmittal and considering whether any revisions are necessary.

➤ **See *Medical Foster Care* in the Narrative Template**

2-3bb. Department of Labor’s New Overtime Rule

On May 18, 2016, the Department of Labor (DOL) issued a new rule, effective December 1, 2016, that updates the regulations determining which white-collar, salaried employees are entitled to the Fair Labor Standards Act’s (FLSA’s) minimum wage and overtime pay protections. The rule increases the salary threshold below which most white-collar, salaried workers are entitled to overtime from the current \$455 per week (or \$23,660 for a full-year worker) to \$913 per week (or \$47,476 for a full-year worker). The rule also automatically updates the salary threshold for overtime every three years. In response to the new rule, employers can:

- evaluate and realign employee workloads;
- pay overtime accordingly;
- raise workers’ salaries above the new threshold;
- limit workers hours to 40 per week; or
- a combination of the above.

CCYAs should review the new rule and resources available from DOL (including Frequently Asked Questions and Fact Sheets):

<https://www.dol.gov/featured/overtime/>

It’s important to note that neither the FLSA nor DOL’s regulations provide an exemption from overtime requirements for non-profit organizations. While some non-profits may not be covered under FLSA, it’s likely that many employees of non-profits are entitled to FLSA protections as

the FLSA may apply to businesses/small entities (enterprise coverage) with annual sales or business of at least \$500,000 or individuals who meet certain criteria. Enterprise coverage only applies to activities performed for a business purpose; charitable activities and the income associated with them are not counted towards the \$500,000 threshold.

The impact to employees of non-profit organizations will be limited as many fall into categories not affected by the final rule:

- Hourly workers
- Workers with regular workweeks less than 40 hours
- Workers who fail the duties test
- Highly compensated workers
- Workers from non-profit organization that don't meet the enterprise coverage threshold or meet the criteria for FLSA protection as an individual

Consideration should be given to resource implications for both the CCYA and private providers potentially impacted when the rule takes effect. Counties must request documentation from private providers to support any requests for resources.

➤ **See *Overtime Rule* in the Narrative Template**

Section 3: General 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 **blue** cells.

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 the Office of Children, Youth and Families (OCYF) will distribute no later than June 30, 2016.

3-1: County Fiscal Background

As counties provide prior years' trend data and analysis of service levels, consideration as to fiscal climate of the county should also be considered. Counties must provide information related to overmatch and/or underspending patterns within the county and the practice and fiscal drivers that impact the county's level of resource need. Please consider whether resource allocations (both financial and staffing, including vacancies, hiring, turnover, etc.) are appropriate to address the service level and program improvement efforts as outlined in the narrative template. Counties should use this section to identify the impact of the FY 2015-16 budget impasse on county budget and practices for both FY 2015-16 and FY 2016-17.

➤ **See *County Fiscal Background* 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 in the Narrative Template.

At a minimum, please provide the following demographics, data, and program items. In the Indicator Excel file, **all counties must enter the FY 2011-12 through 2015-16 actual data and FYs 2016-17 and 2017-18 projections.** The rate of change (Column I) will automatically calculate. Counties may refer to previous years' budget submissions for data. *Only enter data in blue cells.*

NOTE: Counties do not need to include narrative for every chart provided in the Narrative Template. An opportunity to analyze and address trends is provided in the *Chart Analysis* section of the template.

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 2011-12, 2012-13, 2013-14, 2014-15, 2015-16 and the projected numbers for FYs 2016-17 and 2017-18.
 - ❑ The number of families/children with an open case (i.e., Family Service Plan developed or being developed) in the CCYA in FYs 2011-12, 2012-13, 2013-14, 2014-15, 2015-16 and the projected numbers for FYs 2016-17 and 2017-18.
 - ❑ The number of children (non-duplicated) under the sole supervision (meaning Shared Case Responsibility (SCR) has not been established) 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 2011-12, 2012-13, 2013-14, 2014-15, 2015-16 and the projected numbers for FYs 2016-17 and 2017-18.
- **See 3-2a through 3-2e Charts in the Narrative Template to include the chart; trend data can be summarized in the *Chart Analysis* section of the 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 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 2011-12, 2012-13, 2013-14, 2014-15, 2015-16 and the projected numbers for FYs 2016-17 and 2017-18.
 - ❑ The total days of care for each fiscal year.

- **See 3-2a through 3-2e Charts in the Narrative Template to include the chart; trend data can be summarized in the *Chart Analysis* section of the 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 2011-12, 2012-13, 2013-14, 2014-15, 2015-16 and the projected numbers for FYs 2016-17 and 2017-18.
 - ❑ The total days of care for each fiscal year.
- **See 3-2a through 3-2e Charts in the Narrative Template to include the chart; trend data can be summarized in the *Chart Analysis* section of the template.**

3-2d. Out-of-Home Placements

- Complete section 3-2d *General Indicators* tab in the Excel file. **In the table, indicators with growth rates over/below a 10% threshold will automatically highlight. The county must track:**
 - ❑ The number of children (non-duplicated) in placement on the first day of each fiscal year, the number of children (non-duplicated) entering, and the number of children (non-duplicated) leaving **dependent and delinquent** Foster Family Care during FYs 2011-12, 2012-13, 2013-14, 2014-15, 2015-16 and the projected numbers for FYs 2016-17 and 2017-18.
 - ❑ Also enter the total days of care for each fiscal year. Separate the above numbers by the following types of **dependent and delinquent** 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 2011-12, 2012-13, 2013-14, 2014-15, 2015-16 and the projected numbers for FYs 2016-17 and 2017-18.
 - ❑ Also, enter the total days of care for each fiscal year.
 - Alternative Treatment Dependent
 - Alternative Treatment Delinquent
 - Dependent Community Residential
 - Delinquent Community Residential
 - Supervised Independent Living Dependent
 - Supervised Independent Living Delinquent

- Juvenile Detention
 - Dependent Institutional Residential Services
 - Delinquent Institutional Residential Services
- **NOTE:** Emergency Shelter placements are NOT to be reported.
- **See 3-2a through 3-2e Charts in the Narrative Template to include the chart; trend data can be summarized in the *Chart Analysis* section of the template.**
- ☞ In the county's analysis of the general indicators, the agency should identify children/youth that are placed in Residential Treatment Facilities that are in the custody of the county agency under Institutional Residential Services. 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.

Counties are expected to track the number of any dependent/delinquent youth (non-duplicated) leaving custody/responsibility of the agency at age 18 or older, and the number who have, at the time of leaving care:

- permanent residence;
 - source of income to support him/herself (either employment or public benefits); and
 - life connection (defined as the love and emotional support of at least one adult who is committed to their development and individual success).
- **See 3-2a through 3-2e Charts in the Narrative Template to include the chart; trend data can be summarized in the *Chart Analysis* section of the template.**

3-2f. General Indicators Data Table

Counties must paste the entire General Indicators data table into the Narrative Template (in three separate parts). Click on the "Copy Part 1" button, then click the appropriate section in the Narrative Template. Repeat these steps for Parts 2 and 3.

- **See *General Indicators* in the Narrative Template**

3-2 (g) (h) (i)

Counties have the opportunity to insert up to three additional charts that capture the usage and impact of Prevention, Diversion and/or Differential Response activities.

- **See *Chart Analysis for 3.2a through 3.2j* in the Narrative Template.**

3-3: Outcome Indicators for Reunification & Permanency

NOTE: No entry to the Narrative Template is required for Sections 3.3a through 3.3h. Counties must select three outcome indicators from 3.3b through 3.3e that are relevant to their identified benchmarks and include a narrative in Section 3-4.

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.

- Using the standard Adoption and Foster Care Analysis and Reporting System (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

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 achieve permanency (defined as a discharge to parents or relatives, adoption or guardianship), within the following twelve months.

These three measures are currently provided as the federal Child and Family Services Review (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.

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

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

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

3-3h. 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.

3-4: Program Improvement Strategies

Counties should identify the areas for improvement that are the focus of County Improvement Plans (CIPs), Initial Design and Implementation Report-Update (IDIR-U) or other strategic plans that are in planning stages or under implementation in FY 2016-17 and FY 2017-18. Counties should tie the data analysis of 3-3a through 3-3h, as well as any other county data available.

The OCYF Priorities as outlined on pages 6-8 of these Guidelines include the identification of Program Improvement Strategies and DHS support/technical assistance in achieving Quality outcomes for our children and families. Those priorities include:

- Safely Reducing the Number of Children in Out-of-Home Care
- Strengthening Service Delivery to Transitional Age Youth in Care
- Providing Quality Services
- Monitoring the Utilization of Psychotropic Medications
- Ensuring the Provision of Quality Health Care to Children in Foster Care
- Taking a Multi-Disciplinary Approach Against Opioid Abuse
- Reducing the number of Re-entries
- Increasing the number of Exits to Permanency

As noted on page eight of this document, counties above the national standard for re-entry must select this as an area of program improvement. The plan must:

- identify the characteristics of children and families re-entering the child welfare placement system;
- assess the available services and determine what additional prevention or after-care services are needed;
- determine what resource needs exist to support the identified services planned; and
- monitor outcomes of the programs implemented.

For already established programs, counties will be asked to provide an outcome analysis to support continued use of those programs.

Counties should consider if their program improvement activities will impact the other priority areas identified in this document and incorporate that into their responses to the questions contained in the narrative template.

Counties must select a minimum of three Outcome Indicator Charts from 3-3a through 3-3h that are relevant to their identified areas of program improvement and provide responses to the targeted questions for Section 3-4 in the Narrative Template. These questions should be answered for both the child welfare and juvenile probation population.

- **NOTE:** Counties may opt out of completing all or parts of this section if one or more of the following apply:
 - Participating Child Welfare Demonstration Project (CWDP) counties, if the information is captured in their IDIR-U and the plan is submitted as an attachment.
 - Phase I – IV Continuous Quality Improvement (CQI) counties who's CIP captures the required information and the plan is submitted as an attachment.
 - Counties have a formalized strategic plan (child welfare and/or juvenile justice) that captures the required information and the plan is submitted as an attachment.
- **See *Program Improvement Strategies* in the Narrative Template**

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 description of the county's employee benefit package for Fiscal Year (FY) 2015-16 which includes a description of each benefit included in the package and the methodology for calculating benefit costs.

- **See the *Employee Benefit Detail* 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. Complement

Explain any variations between the state-approved personnel complement and the county-approved personnel complement for FY 2016-17 and potential causes.

- **See *Complement* in the Narrative Template**

4-1d. Caseload Sizes

The Statewide Leadership Roundtable approved the creation of the Caseworker Retention Workgroup to examine the issue of staff turnover in child welfare. The group is tasked with developing recommendations on recruitment and retention of a skilled workforce. To support this work, provide a breakdown of caseload sizes.

- **See *Caseload Sizes* in the Narrative Template**

4-1e. Staff Provided Service Evaluations

Describe the county's method of measuring the effectiveness of County Children and Youth Agency (CCYA) staff in providing required services; i.e., how does the county determine that staff have positive results in their work? DO NOT describe the county's standard individual performance evaluation which may include Employee Performance Reviews. Also, address any staff retention or training issues.

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

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4-1f. Contract Monitoring & Evaluation

Identify the staff person or unit that oversees and monitors county contracts and describe how they measure and evaluate the effectiveness of each provider's service contract. **DO NOT describe the process by which provider submissions are reviewed in relation to state and federal funding.**

The federal Office of Management and Budget (OMB) released Uniform Grant Guidance, "Uniform Guidance", which applies to new federal awards and additional funding increments of existing awards made after December 26, 2014. The Uniform Guidance streamlines the following related federal circulars and guidance: A-21, A-50, A-87, A-89, A-102, A-110, A-122 and A-133. Changes to the guidance can be grouped into three categories:

Administrative Requirement Key Changes

The changes include:

- Consistent definitions for sub-recipients and contractors. The use of the term "vendor" has been eliminated and the guidance is clear that the nature of the relationship trumps what the agreement is called.
- Information to be included in any federal award; including data elements and specific terms and conditions.
- Heightened focus on sub-recipient monitoring; including required elements of a sub-award, mandatory risk assessments to determine monitoring, and verification of sub-recipient audits (if applicable) directly from the Federal Audit Clearinghouse instead of through the sub-recipient.
- Provide general requirements around procurement with a focus on conflict of interest policies.
- Establishment and maintenance of effective internal controls over federal programs.

Cost Principles Key Changes

The changes include:

- Focus on time and effort reporting (time studies) to justify costs of salaries and wages for employees whose salary is paid in whole or part with federal funds.
- Clarified allowable costs related to staff recruitment and retention.

Single Audit Key Changes:

The changes include:

- Increased audit threshold from \$500,000 to \$750,000.
- Updated the low-risk auditee criteria

Counties must evaluate their current process by which they monitor their sub-recipients or contractors throughout the fiscal year and determine what changes, if any, are necessary to be compliant with the Uniform Guidance:

https://www.whitehouse.gov/omb/grants_docs

Provide the efforts the CCYA makes to completed risk assessments and monitor its sub-recipients or contractors' use of federal and state dollars through reporting, site visits, regular contact or any other means to provide reasonable assurance that federal and state dollars are used in compliance with laws, regulations and the provisions of the contracts/agreements, and

that performance goals are achieved. **DO NOT describe the process by which provider submissions are reviewed in relation to federal and state funding.**

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

4-2. Human Services Block Grant (HSBG)

The HSBG, established in FY 2012-13, consists of seven funding streams, including child welfare funds; specifically the following Special Grants: Evidence-Based Programs (EBP), Pennsylvania Promising Practices (PaPP), Alternatives to Truancy Prevention (ATP) and Housing Grant. Participating counties are provided the flexibility to use HSBG funds within their local human services systems, including child welfare. HSBG funding is not intended to supplant funding in the NBPB, but to provide counties with the option of creating services in the eligible cost centers to improve outcomes for children and youth.

Participating counties should consider and account for HSBG funds they will allocate to CCYA during development of the NBPB. 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 and juvenile justice services in your county and the NBPB. 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.

HSBG counties may only request additional funds for the EBP-Other category or to expand existing SGI through the Special Grant instructions if they have budgeted and are spending 100% of their child welfare funds in the child welfare program in the HSBG. These requests will be maintained as Special Grants, not part of the HSBG, and will require the CCYA to report program and fiscal information separately in both grant programs.

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

4-3. Special Grant Initiatives (SGIs)

4-3a. Evidence-Based Practices (EBPs)

Evidence-based programs use a defined curriculum or set of services that, when implemented with fidelity as a whole, has been validated by some form of scientific evidence. Evidence-based practices and programs may be described as “supported” or “well-supported”, depending on the strength of the research design.

EBPs included in the Special Grants section of the NBPB include:

1. Multi-Systemic Therapy (MST)
2. Functional Family Therapy (FFT)
3. Treatment Foster Care Oregon (TFCO)¹
4. Family Group Decision Making (FGDM)

¹ Treatment Foster Care Oregon (TFCO) formerly known as Multidimensional Treatment Foster Care (MTFC.) The program model and developer are unchanged. Please discontinue use of MTFC name to avoid trademark infringement.

5. Family Development Credentialing (FDC)
6. High-Fidelity Wrap Around (HFWA)
7. EBP – Other

The CCYA may select any EBP (including the original six listed above) that is designed to meet an identified need of the population they serve that is not currently available within their communities. A list of EBP registries, which can be used to select an appropriate EBP, can be found online at the California Evidence-Based Clearinghouse for Child Welfare at:

<http://www.cebc4cw.org/>.

Additional information is available online at the Child Information Gateway at:

<https://www.childwelfare.gov/topics/>.

Any EBP found on any of the listed registries, or on any other EBP registry, will be acceptable as an EBP-Other, provided that it meets a specific need identified by the CCYA. Nurse Family Partnership (NFP) and Child and Adolescent Needs assessments have been pre-approved as EBP-Other. The CCYA may select as many EBPs as needed, provided that it meets a designated need and can be **fully operational** by July 1, 2018.

Any CCYA interested in learning more about the Parent Child Interaction Therapy (PCIT), an Evidence-Based Service, that enhances positive relationships between parent and child and promotes effective behavior management and discipline techniques for children ages 2.5 to 7 years old can contact Shelley Hiegel at hiegelsa@upmc.edu or (412)-246-5886.

Counties who had any of the seven EBP listed above must describe the programs for FYs 2013-14, 2014-15 and FY 2015-16, the outcomes of the services (via use of available data), and the county's plans for expansion of these programs during FY 2016-17, if appropriate. The county must discuss how many children are expected to be served, and the expected reduction in placements. Counties must also address any under-utilization or under-spending since FY 2012-13 and its plan(s) to correct the underperformance(s) in FY 2016-17 and FY 2017-18.

If requesting NFP as an EBP-Other, please document the anticipated/actual use of **all** NFP grant funds available through the Office of Child Development and Early Learning (OCDEL) and the Maternal, Infant and Early Childhood Home Visiting (MIECHV) Program.

Counties who wish to implement a new EBP-Other must identify the website registry or program website used to select the model, describe the EBP, what assessment or data was used to indicate the need for the program, describe the populations to be served by the program, explain how the selected EBP will improve their outcomes and identify a key milestone that will be met after one year of implementation of the EBP.

As part of the Title IV-B Annual Progress and Service Report, all states must include a description of the activities that the state has undertaken to reduce the length of time children who have not attained five years of age are without a permanent family, and the activities the state undertakes to address the developmental needs of foster children. OCDEL offers several programs that provide support and services to families with children from birth to age five with developmental delays and disabilities. The CCYA should take advantage of those programs whenever possible but should also consider whether or not there is an EBP that may help to provide services to this population of children.

Additionally, there are EBP that counties may find helpful as they begin implementation of Concurrent Planning; such as Family Group Decision Making or other evidence-based family engagement practices.

The CCYA must provide a work statement that includes the action steps and time frames in which the steps will be completed that they will take in FY 2016-17 to implement the new EBP effective July 1, 2017. Counties may re-direct funds within their existing Special Grants Initiatives (SGI) allocations to allow for implementation, but may not exceed their approved total SGI budget. Additional considerations for implementation include, but are not limited to, identifying a provider for the EBP; determining how to select the children and/or families to be served by the EBP; determining how the EBP will be managed within the CCYA; determining how data will be collected on the EBP; and determining how the CCYA will monitor the provider to ensure fidelity to the selected model of the EBP, technical assistance needs, etc.

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

- Participating HSBG counties will not need to provide a response to this section, unless requesting additional funds for EBP-Other or to expand existing EBP

4-3b. Pennsylvania Promising Practices (PaPP)

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

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

If the county has implemented a specific outcome-based dependency and/or an outcome-based delinquency program in FY 2015-16 and plans to continue the program during FY 2016-17, those programs are no longer eligible for FY 2017-18 funding requests under the PaPP Grant. If the county is in the first year of implementation of an outcome-based dependency or delinquency in FY 2016-17, the county may request second year funds for FY 2017-18. Finally, if a county has exhausted its two year limit for a PaPP, the county may request special funding consideration for a maximum of two new programs for implementation in FY 2017-18.

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

- Participating HSBG counties will not need to provide a response to this section, unless requesting additional funds to expand existing PaPP.

4-3c. Housing Initiative

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

- Prevent children and youth from entering out of home placement; or
- Facilitate the reunification of children and youth with their families; or
- Facilitate the successful transition of youth aging out, or those who have aged out of placement to living on their own.
- Meet one-time or startup expenses for youth ages 18-21 who opt to remain in, or re-enter, substitute care settings and for whom the court resumes dependency jurisdiction.

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

The Housing Initiative further includes youth between the ages of 18-21, regardless of whether or not they meet the Chafee Room and Board eligibility requirements.

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

- ⇒ Participating HSBG counties will not need to provide a response to this section, unless requesting additional funds to expand the existing Housing Grant.

4-3d. Alternatives to Truancy Prevention (ATP)

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

- Reduce the number of students referred for truancy;
- Increase school attendance among student participants;
- Improve educational outcomes among student participants who may not have otherwise benefited without the program;
- Increase appropriate advance to the next higher grade level;
- Decrease child/caretaker conflict; or
- Reduce the percentage of children entering out-of-home care because of truancy.

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

- ⇒ Participating HSBG counties will not need to provide a response to this section, unless requesting additional funds to expand the existing ATP Grant.

➤ **For Sections 4.3a through 4.3d, see the *Special Grants worksheets in the Budget Excel file*.** Enter the amounts in the “16-17 EBP Bdgt”, “SG 16-17 Budget” and “17-18 SGI BDGT RQST” in the Budget Excel File.

4-3e. Independent Living Services (ILS)

The ILS Grant combines the federal Chafee Foster Care Independence Program (CFCIP) funds and Act 148 funds. This effort occurred in FY 2009-10 in order to accurately account for, and

report on, the amount of funds used for IL Services. For FY 2016-17 all Independent Living (IL) services for youth most likely to remain in foster care until age 18, re-enter foster care after 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 review the OCYF Bulletin #3130-14-01, entitled Youth Independent Living Services Guidelines, and request sufficient funds to meet the IL needs of youth for FY 2017-18 through the ILS Grant.

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 “16-17 IL CY-814 Bdgt,” “16-17 IL CY-815 Bdgt,” “17-18 IL CY-Grant Request,” and “16-17 IL Bdgt Change” tabs in Excel budget file.**

4-3f. Information Technology (IT) Grant

Counties must request all IT funding through the IT Grant. Funding for IT costs will not be approved through any other funding sources of the NBPB. In addition, 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 Child Welfare Information Solution Plan and for compliance with federal and state regulations. *Appendix 4: Information Technology* provides guidance on the completion of the IT Grant request excel workbook, which is a stand-alone workbook. Counties must also answer questions in the Narrative Template section that corresponds to 4-3f.

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

Child Welfare Demonstration Project (CWDP) Counties

Counties participating in the CWDP have the flexibility to use federal funds for operational IT costs. Participating counties must continue using the IT Grant process to request operational IT funds. Be aware that the CWDP excludes IT development costs.

To maintain federal approval for all IT funding, operational IT costs for the CWDP counties require annual reporting to the Administration for Children and Families (ACF) along with non-CWDP IT costs. Therefore, CWDP counties will continue to report on these costs using a modified IT Expenditure Report.

Revisions to FY 2016-17 Implementation Year IT Budgets

Counties should review their previously submitted FY 2016-17 IT Grant request and tentative allocation prior to submitting their FY 2017-18 IT Grant request. If a county plans to revise their FY 2016-17 request, they should submit a revision at the same time as the FY 2017-18 IT request. This will assist in the review of the budget year. Even though a county indicates a FY 2016-17 budget revision in the same Excel file as their FY2017-18 request, they must also submit a revision on the FY2016-17 ITG Budget Revision and Invoice form, using the NBPB IT Resource Account at RA-nbpbbit@pa.gov.

Child Welfare Information System (CWIS)

In December 2014, the Department implemented CWIS Phase 1. CWIS modernizes state IT Systems and supports the exchange of information between the CCYA and the Department.

CCYAs continue to use their local case management systems approved by the Department to perform day-to-day operations. The local systems are required to exchange information with state-level systems or databases. In addition, the Department seeks to incorporate the latest technology to enhance the exchange of child welfare information with other critical partners.

Counties should use the IT Grant to budget for any necessary county system modifications needed for the CWIS development and implementation in FY 2016-17 and FY 2017-18.

Counties should also consider business-related implementation activities, such as, revising manuals and policy, as well as, system and process training.

Phase 1 Enhancements

OCYF will continue to implement enhancements to CWIS as needed to address any new changes in the Child Protective Services Law (CPSL) or to address the efficiency and effectiveness of the system. These enhancements will be communicated to counties in a timely manner so that counties can plan for development and implementation resources. At this time there are two enhancement releases tentatively planned.

Release 1.2.1 is tentatively scheduled to begin in March 2016 and be implemented in July 2016. This release is planned to have no impact on the county data exchange or systems.

Release 1.3 is currently being scoped and will include changes to CWIS, the county data exchange and the county systems. OCYF will communicate the details of this release as soon as they become available. This release will occur after Release 1.2.1 and will likely occur in the second half of FY 2016-17.

Phase 2 - Children

Phase 2 of CWIS focuses on children and builds the functionality to provide a complete view of a child's case management data. This phase improves the accuracy and timeliness of data to evaluate performance and outcomes in terms of child and family characteristics, service type, and outcomes. At the end of this phase, the following key features should be in place:

- Child case management data will be received from all counties and made available in CWIS
- Child Eligibility Determination data (partial)
- Transfer of case information from CWIS to counties
- County users will have the ability to access up to date child information from CWIS
- National Child Abuse and Neglect Data System (NCANDS) and AFCARS reporting from CWIS
- Transactional component to support the Interstate Compact on the Placement of Children (ICPC) and the Interstate Compact on Adoption and Medical Assistance (ICAMA) functions at State level

The timeline for Phase 2 of CWIS has not been finalized. Due to uncertainties regarding the Phase 2 timeline, counties should carry forward the FY 2016-17 CWIS budgeted costs to their FY 2017-18 IT requests. This will ensure that counties have the projected Phase 2 funding available once the timeline is finalized.

Activities associated with Phase 2:

FY 2016-17 and 2017-18

- Business Requirements Documentation (BRD): TBD
- System Requirements Documentation (SRD): TBD
- General System Design (GSD): TBD
- Detailed System Design (DSD): TBD
- Development: TBD
- Testing: TBD
- Implementation: TBD

CWIS Maintenance

CWIS maintenance activities are scheduled to occur on a quarterly basis. OCYF will coordinate the release schedule to minimize impacts to the CWIS Data Exchanges. Specific updates or bug fixes are prioritized and planned for each release and will be communicated to the counties and their system vendors as early as possible.

CWIS Data Sharing Agreement

CWIS established an electronic data exchange with the seven approved county case management systems. DHS and OCYF use data collected from the county systems for state level data sharing and program coordination and to improve the efficiency and effectiveness of commonwealth child welfare programs. Both state and county officials rely on child welfare data for the purpose of carrying out Pennsylvania's CPSL, federal program requirements and, in later CWIS phases, for making eligibility determinations for the federal Title IV-E and Temporary Assistance to Needy Families (TANF) program mandates. Furthermore, with the passage of Act 29 in 2014, the CPSL was amended to allow DHS to establish a Statewide Database of Protective Services and collect reports from CCYAs on child abuse and children in need of general protective services.

To facilitate the appropriate exchange of data between state and county systems, DHS has developed the attached Data Sharing Agreement. This document establishes the terms and conditions by which DHS will disclose and share CWIS data with the CCYAs. The CWIS Data Sharing Agreement is to be entered into at the agency level by OCYF, the County Solicitor and CCYA Director and, where appropriate, one or more County Commissioners. This Agreement includes a list of the CWIS Modules and Secured Applications and the CWIS User Terms and Conditions. A separate business partner account (b-account) agreement is required for the use and sharing of data by individual CWIS users.

As a user of the CWIS data, CCYA must agree to comply with the stated:

- CWIS Use Policy & Related OA Policies;
- Commonwealth and DPW policies and procedures on IT security; and
- Records Access/Data Sharing policies

The annual renewal of the agreement is being transitioned to occur along with the submission of the counties annual NBPB. The period covered by the agreement will be from October 1st of each year to September 30th of the subsequent year. County administrators should review and sign the agreement along with the county solicitor and

county commissioner (if applicable). The agreement should be returned along with the submission of the NBPB.

Development of National Youth in Transition Database (NYTD) Functionality

Counties are reminded that modifications to a case management system to meet the reporting requirements for NYTD are ineligible for regular Title IVE administrative funding and must be reported separately from all other IT costs. Costs associated with NYTD reporting may be reported as an administrative cost of CFCIP funds. If CFCIP funds are not available, then the county may only use state and local funds for this purpose.

The following websites provide the NYTD reporting requirements.

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

4-3g. 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. SWAN provides Direct Services, such as Child Profile, Family Profile, Child Preparation, Child Specific Recruitment, Placement and Finalization services through services allocated to CCYA. In addition to those Direct Services, families may access SWAN Post-permanency Services which are not budgeted for or funded through the county NBPB process.

The SWAN Legal Services Initiative (LSI) is also funded by the Department through the SWAN Prime Contract. Since its inception the LSI has grown tremendously and now has approximately 215 paralegals in 67 counties. Given the size of this program, requests for additional LSI paralegal positions must include an explanation for the need. Priority for additional positions in this program will be given to counties that do not have a paralegal or who can demonstrate a need for additional staff.

- **See the Budget Excel file.**
- **See SWAN in the Narrative Template.**

4-4. Accurint Search Tool

OCYF pays for a maximum number of users in a state contract for the online use of the Accurint Search Tool on behalf of the CCYAs. In subsequent years, OCYF tracked county specific utilization of the Accurint Tool and contacted counties about their specific needs in order to establish the maximum number of users across the Commonwealth and to assign a specific number of users to each CCYA. Given the current number of active users, the total number of users assigned to each county will remain the same in FY 2017-18.

Refer to Appendix 6 for more information.

- **See Accurint in the Narrative Template.**

Section 5: Required & Additional Language

5-1a. Assurances

- See *Assurances* in the Narrative Template.

5-1b. CWIS Sharing Agreement

- See *CWIS Sharing Agreement* in the Narrative Template.

Appendix 1: Budget Forms & Instructions

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

This part of the Needs-Based Plan and Budget (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 (FY) in the space provided (entry format: 2015-16). 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.
- **NOTE:** ONLY Child Welfare Demonstration Project (CWDP) counties will have entries on the "Title IV-E CWDP Non-Traditional Funds" line.
2. Secondly, enter the expenditure and revenue data from the FY 2015-16 fourth quarter Act 148 invoice 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. The Annualized Expenditures are projected assuming level spending throughout the year or 25 percent per quarter with the exception of fixed assets for counties who requested and received permission from their Regional Office to use a quarter other than the fourth quarter. Fixed assets are considered to be one-time costs and therefore not annualized. Revenues are projected at the same ratio to appropriate expenditures as exist in the actual report submitted but not to exceed existing "capped" allocations.
4. Complete the two required supporting forms, **Schedule of Services** and **Personnel Summary**. The data on these forms must detail the expenditures reported in the "Purchased Services" and "Wages and Salaries" major objects of the most recent Act 148 invoice. The forms provide necessary data to analyze the county's existing services and personnel. **Both of the forms are unprotected. Be careful with data entry so that formulas are not deleted or altered. Copying and pasting data from a previous FY NBPB file creates formula errors.** They may be separately completed, and then specific contract and employee data may be copied into the worksheets of the Excel workbook. Insert rows if additional rows are needed, then copy the formulas (in hidden columns) by selecting the row number to highlight the entire row (including hidden columns) then paste to the inserted rows.
 - a. **Schedule of Services** details by cost center the children/family services purchased by the county and reported as Purchased Services. This form should: (1) assist in the identification of program/service types; (2) connect services with a cost center; and (3) provide, through analysis, a more accurate picture of what is actually being delivered through the counties and provider network to children, youth, and families.

The Department recognizes that in some cases this information may be lengthy; however, it will help the Department understand the county's specific service needs and support the Department's justification of any increases requested. 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) "Residential Facility Certification" – list the Certificate of Compliance number associated with the provider, if applicable.
 - (4) "Unit Identifier" – enter the unit identification associated with the rate for each provider, if applicable.
 - (5) "Contracted Rate" – list the county contract rate or cost per unit of service.
 - (6) "Define Rate" – Describe the unit on which the county contract rate is based (e.g., day, hour, session, etc.)
 - (7) "Number of Units provided" – Enter the number of units provided during the period.
 - (8) "Total Cost" – county contract rate times units (column three multiplied by column five).

(9) "Target population" - identify the primary population to be served.

(8) "Description of Service" – with the exception of placement services, very briefly describe the service that best identifies what will be received by the children/families through the provider. **Completion of this section is vital to a thorough and fair assessment of need.** Again, no description of service is necessary for placement services.

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.

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

b. **Personnel Summary** details current filled and vacant Department approved positions. The worksheet in the county's NBPB file must be completed; a separately submitted computer-generated form is not acceptable.

- The County Name will automatically populate.
- Enter the number of approved positions for FY 2015-16 based on the total number of Department-approved positions per the county's most recent FY 2015-16 allocation letter.
- Identify the report period which will be the same as the most recent Act 148 Invoice.
- Enter the "Total Salaries" and "Total Benefits" for the period. Both must crosswalk with the totals in the Actual Act 148 Invoice form.
- List the Position Number for all positions that were filled for any time during the report period. Do not use social security numbers or names in place of position numbers.
- Enter the staff category number ("1" thru "7") based on categorization in the "CY Staff Summary" form. (Reference Staff Category Definitions/Instructions in Section 8 below.)
- If a position is less than full-time, enter the appropriate percentage in the "percentage of time" column. Enter as a percentage or decimal. If full-time, leave blank.

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

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

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

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

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

5. The ***Children and Youth Staff Assessment Summary*** contains information on positions and costs for FY 2015-16 year-to-date through FY 2017-18. Positions are shown on this form as full-time equivalent (FTE); i.e., part-time staff numbers are shown using a decimal.

Column 1 – FY 2015-16 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 2015-16 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 2015-16 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 2016-17 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 2016-17 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 2016-17 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 2016-17.

Column 7 – FY 2016-17 Vacant and New Staff Adjustments

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

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

Column 8 – FY 2016-17 Non-reimbursable Positions/Costs

Show the number and cost of non-reimbursable full- and part-time staff for FY 2015-16. 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 2015-16.

Column 9 – FY 2016-17 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 2016-17.)

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 2017-18 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 2017-18 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 2017-18 Vacant Position Adjustments

Show the number of approved positions by each staff category projected that were vacant as of July 1, 2016 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 2017-18 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 2017-18 Total Positions/Cost

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

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

Column 15 – FY 2017-18 Non-reimbursable Positions/Cost

Show the number and cost of non-reimbursable full- and part-time staff for FY 2015-16. 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 the Department during the previous fiscal year, regardless of whether the item is still in the possession of the CCYA. Please list all Information Technology (IT) fixed assets as defined in Appendix 4 in the IT Excel Workbook. 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 most recent invoice expenditure report as submitted via the resource account.

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.

☞ **NOTE:** Counties are required to maintain a cumulative fixed asset inventory of **ALL** items purchased through the Department.

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 2015-16 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 15-16” 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 16-17” 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.

☞ Counties should consider whether adjustments are necessary as a result of implementation of Acts 80 and 91 of 2012 and Fostering Connections to Success and Increasing Adoptions Act of 2008 (Fostering Connections). Explanations must accompany any revenue adjustments.

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

All “Adjustments to Implementation Plan – FY 16-17” 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 a separate form for each activity. All adjustments over the baseline must be justified on a form labeled “Adjustments to Needs Based Plan and Budget Base – FY 17-18” 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.

- ⇒ Counties should consider whether adjustments are necessary as a result of implementation of Acts 80 and 91 of 2012 and Fostering Connections. Explanations must accompany any revenue adjustments.

- ⇒ **Reference Appendix Two for adjustment form instructions.**

All “Adjustments to Needs-Based Plan and Budget Base – FY 16-17” forms are summarized on **Summary of Adjustments to NBPB Base** expenditure report by major object by cost center, per instructions in Appendix 2.

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

- **In-Home Cost Centers**

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

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

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

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

- Complete the text box by indicating the FY(s) for which the adjustment 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.

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.

- a. The Federal Medical Assistance Percentage (FMAP) rate for Title IV-E Placement Maintenance (PM), Adoption Assistance (AA) and Subsidized Permanent Legal Custodianship (SPLC) will be **51.78 percent October 1, 2016 through September 30, 2017 and a projected 51.87 percent October 1, 2017 through September 30, 2018. The Federal Financial Participation (FFP) rate for administration and training remains at 50 percent.** The counties can assume continuation of these federal matching rates until further notice.
- b. Counties must budget Title XX and IV-B based on their FY 2016-17 final allocation.
- c. Counties must budget Temporary Assistance for Needy Families (TANF) based on their FY 2016-17 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 worksheet is optional:

Fiscal Crosswalks & Checks: 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.

⇒ **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 fourth quarter. Examples for Implementation Plan or Needs-Based Plan and Budget (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. Do NOT name the adjustment by the adjustment classification or by cost center or expenditure category.
 - Example: “Contracted Rate Increases” could be used in an adjustment that reflects increases in contracts based on negotiations. That type of title should be used in place of “Maintenance” or “Purchased Services” or “Maintenance of Purchased Service”.
- 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

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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: If a county is reporting their third quarter actuals, and all of the county’s indirect costs are included by third quarter, the system’s default projections will overstate the Est. Actual year; 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/Enhancement 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 relate to serving more youth/families but rather maintaining the same level of service while providing the service in an enhanced manner to achieve outcomes. There would be no change in the number of children served or units of service being purchased reflected in this Adjustment.

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).

- Counties should consider the costs associated with vehicle leasing
- Information Technology items, including printers, should be asked for through the IT Grant and not in an Adjustment.
 - If the county experiences special circumstances in the Implementation Year that requires IT expenses that were unplanned and unable to be funded through the IT Grant, the county may request through an Adjustment. The justification must describe the need for the items and the basis for the costs occurring outside the IT Grant.

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. Counties should be cognizant of one-time operating costs or fee increases in FY 2015-16 and/or FY 2016-17 that need to be removed in the subsequent FY.

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. Start-up costs and other one-time costs that are not fixed assets associated with a new program/service should be removed in the subsequent FY.

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.

NOTE: Do not include rate increases in this Adjustment.

- In the “Description of Service” section, briefly describe service being adjusted.
- In the “Justification Narrative” section, the county must provide the detailed information and data to support the decision to make the adjustment. The box to complete this section is expandable. Provide necessary detail to support the adjustment. For all changes in requested expenditures, the county must detail the steps taken to minimize any increase. Appropriately justify the county’s request as follows:
 - The predicted goal of the strategy which must relate to an outcome that assures the safety, permanency or well-being of the children served or the Balanced and Restorative Justice principles of Accountability, Competency Development and Community Safety.
 - The level of improvement expected in the relevant measure(s) because of the requested change.
 - Evidence indicating that the strategy will succeed in achieving its intended outcome and the measurement of the outcome.
 - A description of the steps utilized to determine the fit of the program into current structure, capacity for expansion, identification of infrastructure necessary to support implementation and ongoing sustainability
 - 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.
 - The status of implementation of the identified service/activity, examples include:
 - dates by which new staff will be hired or vacancies filled
 - status of contract negotiations
 - current activities

- startup of a new program/service
- If number of children or units is affected by the adjustment, provide the numbers in the section provided and include the number on the expenditure report of each year. The children served and days of care do not auto-populate into the related fiscal year's expenditure report in the Excel file therefore manual input is required.
- The "Projection of Cost" section must detail the components of the calculation that produces the total estimate of cost, and the allocation plan distributing into the appropriate cost centers. This data box is expandable; therefore, provide sufficient detail to support the request amounts. If the cost projection is based on proposed Program Funding of the service, this should also be identified.
- **Offsets, if applicable** – If an adjustment to one cost center or major object of expenditure results in a decrease in another cost center or major object, the offset must be narrated in the "Justification Narrative" section and the expenditures must be a part of the calculation in the "Projection of Cost" section. If other adjustments are needed that affect those cost centers or major objects, they must be separately presented in another adjustment. **(Example:** Three children will be adopted. The foster care cost center (purchased services) will be reduced and the adoption assistance cost center (subsidies) will increase. A separate adjustment must be done if foster care placement increases are anticipated.)
- The "Cost Center Adjustments" section is a breakdown of the total dollar amount for this particular adjustment by major object within each cost center affected. Use the drop down menu to select a cost center.
- "Totals for Adjustment" is a total of all cost centers listed in above. To update this section, go to the bottom left of the screen, "Record" section. Using the left or right arrow, click to another record (forward or back) and then return to the record being created. This will update the grand total for all cost centers in the adjustment.
- When completed with processing the adjustment(s), close the window (not the program) by clicking on the small black **x** in the upper right of the screen. Do not click on the large black **X** in the upper right corner because that will close the program, not the window.
- The Start-Up Form reopens. At the bottom of the screen, click on the button "Return to Excel" which closes the Access database and opens the Excel File to "Summary of Adjust. to Actuals" worksheet.
- In the upper left corner of the worksheet, click on the macro button labeled "Refresh Data" which totals all adjustments and summarizes by major objects within each cost center to the worksheet.
- Input the children served and days of care into the appropriate cost centers based on the Adjustments that have been entered for that fiscal year.
- Click on the "Print" button (upper left corner of the worksheet) to print the Excel summary worksheet.

- Revenue must be projected at the same ratio to appropriate expenditures as exist in the actual revenue report. If additional revenue adjustments are needed, the county must provide on separate documentation form, "Adjustments to Revenues" (form available in the Excel file), justifying the revenue adjustments and displaying the calculations made to determine the dollar amount. (Reference Appendix 1 for instructions.)
- All "Adjustments to Revenues" for the actual year must be summarized on the "Adjustments to Actual Revenues" worksheet.
- All Expenditure and Revenue Adjustments will be reviewed by the regional program and fiscal staff for need and reasonableness.
- To delete an adjustment, place arrow and click on "Edit", then click on "Delete Record." When prompted to confirm, click on "Yes."
- To print all adjustments, click on box on the summary of adjustment (Excel) worksheets. To print an individual adjustment record, click on the box at the bottom of the form to print that one record. Another print option is to click on "File" (which is located at the top of adjustment form screen). Then select "All" to print all adjustments or "Selected Record" to print the adjustment that is currently open.

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

**INSTRUCTIONS FOR COMPLETING THE
PERMANENCY SERVICES WORKSHEET
(CY919)**

INTRODUCTION: The Permanency Services Worksheet provides a detailed picture of the County Children and Youth Agency’s (CCYAs) total projection for permanency services, projected units and projected costs. **The form is completed for FY 2017-18 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 and Permanency Network (SWAN) Prime Contract.** Private contracts for specialized adoption services that cannot be provided by the county and/or are outside of the scope of the SWAN prime contract must be approved by the appropriate regional office.

The worksheet, which is included in the budget form workbook, must be completed. Each county will receive a funding allocation for SWAN services.

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

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

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

Post-Permanency Services (3):

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

➤ **NOTE:** County agencies should make requests for SWAN services based on costs currently presented. If changes are made to any cost for SWAN services, the Office of Children, Youth and Families (OCYF) will reassess the need for reallocation.

➤ **NOTE:** Child Specific Recruitment (CSR) may not be used for the sole purpose of family finding. Family finding is one component of CSR.

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SERVICE CATEGORY DEFINITIONS

CASE MANAGEMENT

Case management is the coordination of all adoption service activities and final case decisions made by the CCYA that has legal custody and responsibility for children in care. A “Unit” of Case Management is an unduplicated child receiving services. Do not include case management costs for Subsidized Permanent Legal Custodianship (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, and 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, and 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, and 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 care, 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 Pennsylvania (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.

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.

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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." Any county requesting additional paralegals must enter the number of additional paralegals they are requesting for FY 2017-18 into the box under the area titled "Number of Additional Paralegals Requested in County for FY 2017-18". Each county should then total the amount of current and requested paralegals and enter this figure into the area titled "Total Number of Current and Requested Paralegals for FY 2017-18." 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. If a county is requesting new or additional paralegal support, they must clearly document their need and the services of the additional paralegals in their narrative. Priority for additional positions in this program will be given to counties who can defend a need for additional staff.

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I. IT Costs

County Children and Youth Agencies (CCYAs) must provide documentation of all anticipated IT costs for FY 2017-18. This documentation is reviewed to ensure compliance with federal and state regulations. All costs are considered for how they align with the goals of the statewide Child Welfare Information Solution (CWIS) and for compliance with federal and state statutes and regulations. Costs submitted on the IT Schedules in the IT Excel file should be supported by the county's technology plan and information provided in the Supporting Documentation sections of the IT Excel file.

- ⇒ **NOTE:** The IT Budget is not part of the larger Budget Excel workbook and is a stand-alone workbook.

Personal Computer (PC), including Desktops, Laptops, and Tablets

Guidelines have been revised to provide funding options for purchase of mobile computing devices based on county need. In general, CCYAs may purchase or lease one PC per user. CCYAs may now request additional devices, such as laptops or tablets, for mobile computing purposes. CCYAs making such a request must provide a business justification for the number of PCs exceeding the number of staff. The justification should include how the CCYA plans on using the devices and how the use of mobile devices is efficient, economical and effective in carrying out workers' responsibilities.

Revisions to Fiscal Year (FY) 2016-17 (Implementation Year) IT Budgets

Counties should review their previously submitted FY 2016-17 IT Grant request and tentative allocation prior to submitting their FY 2017-18 IT Grant request. If a county plans to revise their FY 2016-17 request, they should submit a revision at the same time as the FY 2017-18 IT request. This will assist in the review of the Needs-Based Plan and Budget (NBPB) year. Even though a county indicates a FY 2016-17 budget revision in the same Excel file as their FY 2017-18 request, they must also submit a revision on the FY 2016-17 ITG Budget Revision and Invoice form, using the NBPB IT Resource Account at RA-nbpbit@pa.gov.

II. Federal Financial Participation (FFP)

When planning for IT costs, counties must consider whether those costs are eligible for Federal Financial Participation (FFP). FFP eligible costs are those that have received prior approval through the county IT Grant and meet the Federal requirements at (45 CFR 95 Subparts F and G).

<http://www.acf.hhs.gov/programs/css/resource/final-rule-state-systems-advance-planning-document-process>

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 contracted costs that have not received prior approval from ACF, or are proprietary.

The Department and the Administration for Children and Families (ACF) require prior written approval when a county plans to engage in a competitive bid process to procure IT

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equipment or services where the total anticipated acquisition costs are \$6 million or more. If the county plans to sole source the acquisition, prior approval is required for total anticipated acquisition costs of \$1 million or more.

Please note that FFP for Title XIX (Medicaid) is not an allowable funding source for CCYA IT.

III. Contract Language

IMPORTANT: FFP IS PROHIBITED FOR PROPRIETARY APPLICATION SOFTWARE DEVELOPED SPECIFICALLY FOR COUNTY CHILDREN AND YOUTH AGENCIES (CCYA) (45 CFR 95.617).

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

Software and Ownership Rights

If a CCYA uses federal or state 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:

“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.

IV. Definitions and Information Technology Allowable Costs

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

The IT Schedule on which counties submit their IT Grant request has been divided into separate schedules 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 appear on both Schedules and the Grand Total Costs (FFP and Non-FFP) appear on the FFP Costs Schedule.

Each schedule has been divided into the following sections:

- Section 1 captures costs associated with County Operations & Maintenance categories.
- Section 2 captures costs associated with County Non-CWIS Development and Implementation categories.

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- Section 3 captures costs associated with County CWIS Development and Implementation categories.
- Section 4 captures required supporting documentation to justify each request.

Counties are only reimbursed for the purchase of IT equipment in compliance with Commonwealth standards. If a county is not able to comply with those standards they should provide a clear explanation of the reason when they submit their request. A list of Department Hardware and Software Configuration and Cost Standards is included in this document. Counties that are members of the Department of General Service, Bureau of Procurement COSTARS Program may use that service for the purchase of IT hardware.

COSTARS website: <http://www.costars.state.pa.us>

Counties must include documentation to justify purchases that exceed the commonwealth standard prices. Requests must include justification for sole source contracts. Counties must provide a written explanation and justification for individual IT related costs over \$100,000.

Operations and Maintenance

Operations are the automated processing of data used in the administration of services for child welfare under Titles I, IV-A, **IV-B**, IV-D, **IV-E**, X, XIV, XVI (AABD), XIX, and XXI of the Social Security Act. Operations include the use of supplies, software, hardware, and personnel directly associated with the functioning of the automated system. For IT Grant funding, counties should request only costs associated with child welfare. Counties must cost allocate any portion of maintenance of automated systems that supports non-child welfare functions.

- **Application Maintenance** includes routine support activities that normally include corrective, adaptive, and perfective changes without introducing additional functional capabilities. Maintenance can include activities such as revising/creating new reports, making limited element and database changes, and making minor alterations to data input and display screen designs.
- **Corrective Changes** – tasks to correct minor errors or deficiencies in software
- **Adaptive Changes** – minor revisions to existing software to meet changing requirements
- **Perfective Changes** – minor improvements to application software so it performs in a more efficient, economical, and effective manner

Non- CWIS Development and Implementation

Non-CWIS Development costs are the definition of system requirements, detailing of system and program specifications, programming and testing; and includes hardware to the extent necessary for the development phase. Tasks included in the original creation and implementation of a new software application or distinct functional areas are deemed “development costs.” Requests for “IT Development” expenditures are evaluated and approved on a case-by-case basis. Counties should describe the business need for new development, including how it is necessary to support a specific initiative. Development for the statewide CWIS is tracked separately.

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CWIS Development and Implementation

CWIS Development costs are the definition of system requirements, detailing of system and program specifications, programming and testing; and includes hardware to the extent necessary for the development phase. Tasks included in the original creation and implementation of a new software application or distinct functional areas are deemed “development costs.” Requests for “IT Development” expenditures are evaluated and approved on a case-by-case basis.

Operations and Maintenance Section - Allowable Costs

A. Hardware

Counties must depreciate single purchases of \$5,000 and over following current commonwealth practices. Hardware costs that meet the \$5,000 threshold should only appear as a Depreciable Hardware line item on the IT Schedule.

1. Personal Computer (PC), including Desktops, Laptops, and Tablets

“PC” in this document includes all of the above categories of personal computing devices.

- Generally, CCYAs may purchase or lease one type of PC per user. The number of users is determined by the certified number of staff, for example, casework, supervisory, administrative, and listed in the CCYAs latest NBPB. If a county uses a different number to compute the number of allowable PCs, then they must explain their method for doing so, identifying all positions that are not included in the county’s certified staffing.
- CCYAs may request additional PCs above their certified number of staff for mobile computing purposes. CCYAs making such a request should provide a business justification for the number of PCs exceeding the number of staff. The justification should include how the use of mobile devices is efficient, economical and effective in carrying out your responsibilities.
- CCYAs may replace broken computers and provide computers for new workers when no existing office computers are available. The expectation is that counties will not replace PCs for a minimum of four years of use. Documentation must identify the replacement timeline for requested PCs or provide strong justification if replacement is less than four years. In addition, at the time of invoicing, counties must provide an out-of-service date on the Inventory form for the computers they are replacing.
- The cost of PCs must fall within Commonwealth standards and counties must justify them regarding age and usage.
- PCs, purchased or leased, should include a maintenance package. We suggest that counties purchase all new equipment with at least a one-year, preferably a three-year, maintenance contract. 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:

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- Make and model
- Length of maintenance package, if applicable
- Operating system and software included, if applicable
- Information pertaining to leased equipment, if applicable

2. Printers, Scanners, and Copiers

- Counties may purchase one printer, scanner, or copier per group of users. Typically, there is 5-10 staff per group.
- All requests for stand-alone or portable printers, scanners, or copiers require additional justification to support the need.
- The cost per printer, scanner, or copier should include at least a one-year equipment warranty period.
- Replacement of printers, scanners, or copiers is permitted after five years of use.
- Counties must identify:
 - Type of printer, scanner, or copier, for example, network, stand alone, mobile
 - Counties must distinguish if the item is
 - A printer only without scanning and copying functionality
 - A scanner only without printing and copying functionality
 - A copier only without scanning functionality
 - Multifunctional as a printer, scanner, and copier
 - Make and model
 - Length of maintenance package, if applicable
 - Information pertaining to leased equipment, if applicable
 - Why they need the printer, scanner, or copier, for example, additional staff (number of new staff)
 - If replacing an older printer, scanner, or copier, counties must identify the printer, scanner, or copier on the Inventory form, including when it was purchased and when it was placed out-of-service.

3. Servers

- Counties must clearly identify and justify purchases under \$5,000 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 and model
 - Type of server, for example, file/print, web/virtual, or database
 - Length of maintenance package, if applicable
- If the server costs \$5,000 or more, counties must follow current Commonwealth practices, including:
 - Server details in the Supporting Documentation section
 - Completion of the Depreciation Form

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- Providing only the first year's depreciation amount in the Hardware Depreciation line item
- Purchase of servers, where only a portion of the server is used for child welfare must be cost allocated across all user groups. Include only the child welfare portion of the costs in the IT Grant request.

4. **Other Hardware**

This line item includes requests for routers, switches, battery back-ups, docking stations, monitors, and so forth. Complete the Supporting Documentation section of the IT Schedule with additional information, for example, number of items, cost per item, and make and model for purchases, if applicable.

5. **Depreciable Hardware**

- Enter hardware with an individual cost of \$5,000 or more on this line item of the IT Schedule.
- The dollar amount included for this line item should be the depreciation amount that the county claims for FY 2017-18 and not the total purchase price of the item(s).
- If a county has depreciable hardware carried over from prior years, enter the dollar amount for FY 2017-18 from the prior years' depreciation schedule in this line item.
- Additional information in the Supporting Documentation section must specify:
 - Type of hardware
 - Make and model
 - Year of purchase
 - Depreciation year, for example, first, second, third, and so forth
- Counties must complete the Depreciation Form for all items entered. The form automatically calculates the depreciation amount for all applicable years.

B. Software

Counties may benefit from use of commonwealth volume licensing, as well as, extended licensing options. For example, Microsoft's Software Assurance option 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 purchased, including the version
- Number of copies and licenses purchased
- Cost per user or license
- Length of licensing agreement, if applicable

2. **New PC Application Software**

- The CCYA may purchase single-user application software, such as Microsoft Office, that operates directly from an individual PC.
- CCYAs may spend up to \$550 per PC for PC application software at the time they purchase the PC.

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- Counties must provide:
 - A complete list of the software purchased, including the version
 - Number of copies for each software title
 - Cost per copy
 - Whether this software will be loaded on a newly purchased PC

3. Software Upgrades for Existing PC

- The CCYA may purchase upgrades to existing software; that is, replacement of a product with a newer version of the same product.
- Counties must provide:
 - A complete list of the software purchased, including the version
 - Number of copies for each software title
 - Cost per copy

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
 - Type of software license 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:

- Report only software hosting costs in this line item
- All counties requesting reimbursement for software hosting services must meet the requirements of Section IV, Contract Language of these instructions.
- Counties must identify:
 - Name of the software
 - Vendor's name, address and phone number
 - If this is a new request or if the county is currently under contract
 - Number of users supported

Report software maintenance for a hosted application under **E. Application Maintenance**.

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D. Communications

1. Network Wiring

- Cost to purchase and install wiring to connect IT equipment to the CCYAs local area network
- Additional information must include:
 - Justification to support the cost, that is, new employees, new building, upgrade, and so forth
 - Type of connection
 - 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
 - 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.
- Additional information must include:
 - Justification to support the cost
 - Type of mobile technology associated with the cards
 - Number of users

E. Application Maintenance

- Counties may charge the cost of technical staff needed to maintain their current IT system.
- Counties should budget for ongoing application maintenance costs based on the need to perform corrective, adaptive, and perfective maintenance.
- Counties must provide:
 - Vendor name, address and phone
 - Cost per user or hour for technical staff
 - Length of contract or number of hours allocated to CCYA
 - Description of duties
 - Number of staff assigned
- Counties must clearly justify an increase in any category within application maintenance.
- Counties must clearly identify costs for system maintenance for correction of application defects and software upgrades for performance and or security needs.
- Counties must capture any new development or implementation costs under the development and implementation section of this form.

F. Hardware/Network Support Services & Setup

Use this line item to report hardware and network support that the county purchased separately from the actual hardware. If purchasing new equipment with maintenance

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contracts, include the maintenance in the purchase price of the equipment under **A. Hardware.**

- 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.
- Counties must identify all costs in this category regarding the equipment being maintained. If the PC package maintenance warranty expired, include additional justification to support the need.
- This section includes costs associated with the CCYA Network and hardware setup.
- Additional information required:
 - Vendor name, address and phone number
 - Length of contract
 - Cost per unit
 - Number of units
 - Hourly cost, if applicable
 - Additional justification when cost is above the amount per user
- Use this category to report fees for “hosted” server usage.

G. Disaster Recovery

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 Expenses

Federal and State participation must adhere to prevailing County practice, but in no case may exceed the rates paid by the commonwealth for its employees.

- CCYAs may budget the cost of IT-related travel for county technical staff or program staff.
- Costs of IT-related employee travel include:
 - Meals
 - Lodging
 - Parking fees
 - Tolls
 - Travel related to participation in statewide information system planning, testing, change management and implementation

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

This includes costs associated with the purchase of consumable supplies, such as, computer disks and printer cartridges.

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Non-CWIS Development and Implementation Section - Allowable Costs

K. Hardware

Counties must depreciate single purchases of \$5,000 and over following current Commonwealth practices. Hardware costs that meet the \$5,000 threshold should only appear as a Depreciable Hardware Column Line Item on the IT Schedule.

1. Servers

- Counties must clearly identify and justify purchases under \$5,000 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 and model
 - Type of server, for example, web/virtual or database
 - Length of maintenance package, if applicable
- If the server costs \$5,000 or more, counties must follow current Commonwealth practices, including:
 - Provide server details in the Supporting Documentation section
 - Complete the Depreciation Form
 - Provide only the first year's depreciation amount in the Hardware Depreciation line item
- Purchase of servers where only a portion of the server is used for child welfare must be cost allocated across all user groups. Include only the child welfare portion of the costs in the IT Grant request.

2. Other Hardware

This line item includes requests for routers, switches, battery back-ups, docking stations, monitors, and so forth. Complete the Supporting Documentation section of the IT Schedule with additional information, for example, number of items, cost per item, and make and model for purchases, if applicable.

3. Depreciable Hardware

- Enter hardware with an individual cost of \$5,000 or more on this line item of the IT Schedule.
- The dollar amount included for this line item should be the depreciation amount that the county claims for FY 2017-18 and not the total purchase price of the item(s).
- If a county has depreciable hardware carried over from prior years, enter the dollar amount for FY 2017-18 from the prior years' depreciation schedule in this line item.
- Additional information in the Supporting Documentation section must specify:
 - Type of hardware
 - Make and model
 - Year of purchase
 - Depreciation year, for example, first, second, third, and so forth

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- Counties must complete the Depreciation Form for all items entered. The form automatically calculates the depreciation amount for all applicable years.

L. Software

Counties may benefit from use of Commonwealth volume licensing, as well as, extended licensing options. For example, Microsoft's Software Assurance option 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 purchased, including the version
- Number of copies and licenses purchased
- Cost per user or license
- Length of licensing agreement, if applicable

2. Non-CWIS Development Software

- Counties must provide:
 - A complete list of the software purchased, including the version
 - Number of copies for each software title
 - Cost per copy

3. Infrastructure (Security/Virus) Licenses

- CCYA may purchase or renew server licenses to comply with manufacturer's copyright licensing agreements for intended use of one or more copies of the software.
- CCYA must provide:
 - A comprehensive list of the manufacturer's name
 - Type of software license purchased
 - Software version
 - Number of copies for each software title
 - Cost per copy

M. Non-CWIS 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 **(requires prior Department approval)**
- Counties should budget for application development costs based on the need for new system functionality
- Counties must provide:
 - Vendor name, address and phone
 - Cost per user or hour for technical staff
 - Length of contract or number of hours allocated to CCYA
 - Description of duties
 - Number of staff assigned
- **Requests for development expenditures are evaluated and approved on a case-by-case basis and are not based on prior years' approved amounts.**

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- **Counties must describe the business need for new development, including how it is necessary to support a specific initiative.** Development for CWIS is tracked separately.

N. Conversion Costs

- Counties transitioning to another sustainable system may budget the cost of data conversion to the new system.
- Counties must provide:
 - Vendor name, address and phone
 - Cost per hour for technical staff
 - The system the data is converting to

O. Disaster Recovery

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

Federal and state participation must adhere to prevailing county practice, but in no case may exceed the rates paid by the commonwealth for its employees.

- CCYAs may budget the cost of IT-related travel for county technical staff or program staff.
- The costs of IT-related employee travel includes:
 - Meals
 - Lodging
 - Parking fees
 - Tolls

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

This includes costs associated with the purchase of consumable supplies, such as, computer disks and printer cartridges.

CWIS Development and Implementation Section - Allowable Costs

S. Hardware

Counties must depreciate single purchases of \$5,000 and over 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. Servers

- Counties must clearly identify and justify purchases under \$5,000 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.

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- All requests must include the following documentation in the supporting documentation section of the IT Schedule:
 - Make and model
 - Type of server, for example, web/virtual, or database
 - Length of maintenance package, if applicable
- If the server costs \$5,000 or more, counties must follow current Commonwealth practices, including:
 - Provide server details in the Supporting Documentation section
 - Complete the Depreciation Form
 - Provide only the first year's depreciation amount in the Hardware Depreciation line item
- Purchase of servers, where only a portion of the server is used for child welfare must be cost allocated across all user groups. Include only the child welfare portion of the costs in the IT Grant request.

2. Other Hardware

This line item includes requests for routers, switches, battery back-ups, docking stations, monitors, and so forth. Complete the Supporting Documentation section of the IT Schedule with additional information, for example, number of items, cost per item, and make and model for purchases, if applicable.

3. Depreciable Hardware

- Enter hardware with an individual cost of \$5,000 or more on this line item of the IT Schedule.
- The dollar amount included for this line item should be the depreciation amount that the county claims for FY 2017-18 and not the total purchase price of the item(s).
- If a county has depreciable hardware carried over from prior years, enter the dollar amount for FY 2017-18 from the prior years' depreciation schedule in this line item.
- Additional information in the Supporting Documentation section must specify:
 - Type of hardware
 - Make and model
 - Year of purchase
 - Depreciation year, for example, first, second, third, and so forth
- Counties must complete the Depreciation Form for all items entered. The form automatically calculates the depreciation amount for all applicable years.

T. Software

Counties may benefit from use of Commonwealth volume licensing, as well as, extended licensing options. For example, Microsoft's Software Assurance option 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 purchased, including the version

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- Number of copies and licenses purchased
- Cost per user or license
- Length of licensing agreement, if applicable

2. CWIS Development Software

- Counties must provide:
 - A complete list of the software purchased, including the version
 - Number of copies for each software title
 - Cost per copy

3. Infrastructure (Security/Virus) Licenses

- CCYA may purchase or renew server licenses to comply with manufacturer's copyright licensing agreements for intended use of one or more copies of the software.
- CCYA must provide:
 - A comprehensive list of the manufacturer's name
 - Type of software license purchased
 - Software version
 - Number of copies for each software title
 - Cost per copy

U. CWIS 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
- Counties should budget for application development costs based on the need for new system functionality
- Counties must provide:
 - Vendor name, address and phone
 - Cost per user or hour for technical staff
 - Length of contract or number of hours allocated to CCYA
 - Description of duties
 - Number of staff assigned

V. Conversion Costs

- Counties should describe any conversion needs for CWIS.
- Counties must provide:
 - Vendor name, address and phone
 - Cost per hour for technical staff
 - The system the data is converting to

W. County Staff Travel Costs

Federal and state participation must adhere to prevailing county practice, but in no case may exceed the rates paid by the Commonwealth for its employees.

- CCYAs may budget the cost of IT-related travel for county technical staff or program staff.
- The costs of IT-related employee travel includes:
 - Meals
 - Lodging
 - Parking fees

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- Tolls
- Travel related to participation in statewide information system planning, testing, change management and implementation

X. 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.

Y. Miscellaneous Operating Costs

This includes costs associated with the purchase of consumable supplies, such as, computer disks and printer cartridges.

Z. Total FFP Costs

The total of A through R on the FFP Costs Schedule

AA. Total CWIS FFP Costs

The total of S through Z on the FFP Costs Schedule.

AB. Total NON-FFP Costs

The total of A-R on NON-FFP Worksheet

AC. Total CWIS NON-FFP Costs

The total of S-Z on the NON-FFP Costs

V. Requirements for Inventory of Hardware

Recipient Property Management standards (45 CFR 74.34 (F)) clarify the information that counties must provide 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
- Unit acquisition cost

CCYAs are required to maintain and update a Fixed Asset Inventory for IT equipment on a quarterly basis. Counties must provide an updated IT Inventory when submitting a quarterly expenditure report that includes new hardware.

VI. IT Equipment Depreciation Form

Hardware with an individual cost of \$5000 or over must be entered here. This form provides the length of an asset's depreciable life and the amount of depreciation a county can claim for it each year.

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The depreciable life for hardware spans six fiscal years. The total depreciation amount that counties can claim for a fiscal year displays in the section header for each applicable fiscal year. Included in the total that counties can claim for FY 2016-17 are depreciable hardware expenses carried forward from each prior year's depreciation schedule.

CCYAs must keep their IT Equipment Depreciation form current by entering depreciable hardware in the corresponding fiscal year it is installed. The date installed should correspond to the date reported on the **IT Inventory** form.

LOCATION: IT Excel File; **IT Equipment Depreciation Form**

The **IT Equipment Depreciation Form** – provides counties with the ability to calculate hardware depreciation costs across a six fiscal year schedule.

COLUMN NAME	DESCRIPTION
Contact (name and phone number)	County contact name and phone number
Revised Submission/#	Protected field pre-populated with the highest revision number entered in cells J9 through J17 on the County Info Tab
Revision Date	Protected field pre-populated with the submission date from the highest non-blank field entered in cells I8 through I17 on the County Info Tab
Item No.	Protected field Generic sequential identifier
Asset Description	Name and description of the IT equipment or device
Date Installed	Date when the IT equipment or device was placed into use by the county
Total Purchase Cost	Total purchase price of the IT equipment or device
Salvage Value	Protected field calculated at 10% of the Total Purchase Cost in column 1
Depreciation Cost	Protected field calculated by subtracting the Salvage Value in column 2 from the Total Purchase Cost in column 1
1st FY Expense	Protected field calculated at 20% of the Depreciation Cost in column 3, then multiplied by 50%
2nd FY Expense	Protected field calculated at 20% of the Depreciation Cost in column 3
3rd FY Expense	Protected field calculated at 20% of the Depreciation Cost in column 3
4th FY Expense	Protected field calculated at 20% of the Depreciation Cost in column 3
5 th FY Expense	Protected field calculated at 20% of the Depreciation Cost in column 3
6 th FY Expense	Protected field calculated at 20% of the Depreciation Cost in column 3, then multiplied by 50%

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QUESTIONS

Address questions to:

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

HARDWARE CONFIGURATION AND COST STANDARDS APRIL 1, 2016

I. DESKTOP CONFIGURATIONS

STANDARD DESKTOP – NOTE: CDWG\LENOVO DOES NOT HAVE A TPM SECURITY CHIP

MATERIAL DESCRIPTION	HP	CDWG\LENOVO
Base Unit:	HP ProDesk 600 G2 Small Form Factor (SFF), Intel Core i3- 6100, (3.47 GHz)	ThinkCentre M700 SFF, Intel Core i3-4130, (3.2 GHz)
Memory:	4GB DDR4 SDRAM, 1600MHZ, (1 DIMM)	4GB DDR4 SDRAM, 1600MHZ, (1 DIMM)
Keyboard:	USB Keyboard	USB Keyboard
Monitor:	23 Inch, VGA/ DVI, 1920 x 1080	23 inch LE2323
Video Card:	Intel HD 530	Intel HD Graphics 530
Hard Drive:	500 GB Hard Drive	500 GB Hard Drive
Operating System:	Windows 7 SP1, 64-bit	Windows 7 SP1, 64-bit
Mouse:	USB 2-Button Optical Mouse with Scroll	USB 2-Button Optical with Scroll
NIC:	Gigabit Ethernet	Integrated Realtek Gigabit Ethernet
Optical Drive:	16X DVD+/-RW	16X DVD+/-RW
Sound Card:	Integrated	Integrated
Speakers:	Internal	Internal
TPM Security	Yes	Yes
Manufacturer's Warranty Terms:	4 Year On-site service. 12 business-hour fix	4 year On-site service. 12 business-hour fix
Price	\$623.00	\$576.80
Memory Upgrade to 8GB	\$26.00	\$42.40

HIGH END DESKTOP

MATERIAL DESCRIPTION	HP	CDWG\LENOVO
Base Unit:	HP ProDesk 600 G2 SFF, Intel Core i5-6500, (3.2 GHz, 3M)	ThinkCentre M800 SFF Pro, Intel Core i5-6400, (3.3 GHz)
Memory:	4GB DDR4 SDRAM, 1600MHZ, (1 DIMM)	4GB DDR4 SDRAM, 1600MHZ, (1 DIMM)
Keyboard:	USB Keyboard	USB Keyboard

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MATERIAL DESCRIPTION	HP	CDWG\LENOVO
Monitor:	23 Inch, VGA/ DVI, 1920 x 1080	23 inch E2323
Video Card:	Intel HD 530	Intel HD Graphics 530
Hard Drive:	500 GB Hard Drive	500 GB Hard Drive
Operating System:	Windows 7 SP1, 64-bit	Windows 7 SP1, 64-bit
Mouse:	USB 2-Button Optical Mouse with Scroll	USB 2-Button Optical with Scroll
NIC:	Gigabit Ethernet	Integrated Realtek Gigabit Ethernet
Optical Drive:	16X DVD+/-RW	16X DVD+/-RW
Sound Card:	Integrated	Integrated
Speakers:	Internal	Internal
Manufacturer's Warranty Terms:	4 Year On-site service. 12 business-hour fix	4 year On-site service. 12 business-hour fix
TPM Security	Yes	Yes
Price	\$692.00	\$666.75
Memory Upgrade to 8GB	\$26.00	\$42.40
Intel Core i3 (at least 3.3 GHz) Processor Downgrade	N/A	\$30.00
Intel Core i5, (at least 3.3 GHz) Processor Upgrade	\$17.00	\$15.90 (i5,3.6Ghz)
Intel Core i7 (at least 3.4 GHz) Processor Upgrade	\$94.00	\$136.74

II. LAPTOP CONFIGURATIONS

STANDARD LAPTOP

MATERIAL DESCRIPTION	HP	CDWG\LENOVO
Base Unit:	HP ProBook 650 G2, Intel Core i3-6100M, (2. 3 GHz, 3M)	ThinkPad L560, Intel Core i3-6100U, (2.3GHz, 3 M)
Memory:	4GB DDR3 SDRAM, 1600MHZ, (1 DIMM)	4GB DDR3 SDRAM, 1600MHZ, (1 DIMM)
Keyboard:	Integrated English Keyboard	Integrated English Keyboard
Display:	15.6 inch, 1366x768	15.6 inch, 1366x768
Video Card:	HD Graphics 520	Dual Monitor Support
Hard Drive:	500 GB Hard Drive	500 GB Hard Drive
AC Adapter:	65W	65W
Operating System:	Windows 7 SP1, 64-bit	Windows 7 SP1, 64-bit

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MATERIAL DESCRIPTION	HP	CDWG\LENOVO
Mouse:	Touchpad	Touchpad
NIC:	Gigabit Ethernet	Gigabit Ethernet
Battery:	6-Cell Lithium Ion	6-cell, Lithium ion
Optical Drive:	8X DVD+/-RW	8x DVD+/-RW
Sound Card:	Integrated	Integrated
Speakers:	Internal	Internal
Modem:	No	No
Wi-Fi	802.11 n	802.11ac
Camera:	No	No
Manufacturer's Warranty Terms:	4 year On-site service. 12 business-hour fix	4 year On-site service. 12 business-hour fix
Price	\$732.00	\$607.70
Memory Upgrade to 8GB	\$28.00	\$42.40

HIGH END LAPTOP

MATERIAL DESCRIPTION	HP	CDWG\LENOVO
Base Unit:	HP ProBook 650 G2, Intel Core i5-4200M, (2.5 to 3.1GHz, 3M)	ThinkPad E560, Intel Core i5-6200U, (2.5 GHz - 3.1GHz, 3 M)
Memory:	4GB DDR3 SDRAM, 1600MHZ, (1 DIMM)	4GB DDR3 SDRAM, 1600MHZ, (1 DIMM)
Keyboard:	Integrated English Keyboard	Integrated English Keyboard
Display:	15.6 inch, 1366x768	15.6 inch, 1366x768
Video Card:	HD Graphics 520	Dual Monitor Support
Hard Drive:	500 GB Hard Drive	500 GB Hard Drive
AC Adapter:	65W	65W
Operating System:	Windows 7 SP1, 64-bit	Windows 7 SP1, 64-bit
Mouse:	Touchpad	Touchpad
NIC:	Gigabit Ethernet	Gigabit Ethernet
Battery:	6-Cell Lithium Ion	6-cell, Lithium ion
Optical Drive:	8X DVD+/-RW	8x DVD+/-RW
Sound Card:	Integrated	Integrated
Speakers:	Internal	Internal
Modem:	No	No
Wi-Fi	802.11 n	802.11ac
Camera:	No	No

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MATERIAL DESCRIPTION	HP	CDWG\LENOVO
Manufacturer's Warranty Terms:	4 year On-site service. 12 business-hour fix	4 year On-site service. 12 business-hour fix
Price	\$777.00	\$687.75
Memory Upgrade to 8GB	\$28.00	\$42.40
Possible Intel Core i5 M, (at least 2.7 GHz) Processor Upgrade	\$94.00	N/A
Possible Intel Core i7 M (at least 2.97 GHz) Processor Upgrade	\$204.00	N/A

III. TABLET PC

MATERIAL DESCRIPTION	Dell Venue 11 Pro (64GB)	Dell Venue 11 Pro (128GB)	Microsoft Surface Pro 3
Processor	Intel® Atom™ processor Z3775D (2MB Cache, up to 2.41GHz Quad-Core)	Intel® Core™ i5 4210Y processor (3MB Cache, 1.5 GHz Dual-Core)	4th generation Intel® Core™ processor family (i3, i5, i7); TPM Chip for enterprise security
Operating System	Windows 8.1 (32Bit) English	Windows 8.1 (64Bit) English/French	Windows 8.1 Pro
Display	10.8" HD LCD (1366x768) 16:9	10.8 inch IPS Display with FHD (1920 x 1080) resolution with 10-pt capacitive touch	Screen: 12" ClearType Full HD Plus Resolution: 2160 x 1440 Aspect Ratio: 3:2 Touch: Multi-touch
Memory	2GB DDR3 Memory	4GB DDR3 Memory	
Video Card	Intel® Gen7 graphics	Intel® GT2 Graphics	
Storage	32GB Mobility Solid State Drive	128GB Mobility Solid State Drive	64GB or 128GB storage with 4GB RAM 256GB or 512GB storage with 8GB RAM
Wireless	Dell Wireless 1538 Dual-Band 2x2 802.11n WiFi + Bluetooth® 4.0	Dell Wireless® 1537 Dual-Band 802.11n WiFi + Bluetooth® 4.0	Wireless: Wi-Fi 802.11ac/802.11 a/b/g/n Bluetooth® 4.0 Low Energy technology

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MATERIAL DESCRIPTION	Dell Venue 11 Pro (64GB)	Dell Venue 11 Pro (128GB)	Microsoft Surface Pro 3
Webcam	Integrated 2MP HD Webcam (front) / 8MP (back)	Integrated 2MP HD Webcam (front) / 8MP (back)	5.0 megapixel rear-facing camera 5.0 megapixel front-facing camera Stereo microphones Stereo speakers with Dolby® sound
Ports & Connectors	1 x Full size USB3.0. 1 x Headphone and microphone combo jack, 1 x mini HDMI Near Field Communication (NFC)	1 x Full size USB3.0. 1 x Headphone and microphone combo jack, 1 x mini HDMI Near Field Communication (NFC)	Full-size USB 3.0 microSD™ card reader Headset jack Mini DisplayPort Cover port
Software	Office Home and Student 2013 Tablet	None	None
Support	1 Yr In-Home Service after Remote Diagnosis	1 Yr In-Home Service after Remote Diagnosis	
			Sensors: Ambient light sensor Accelerometer Gyroscope Magnetometer
			Surface Pen
Price	\$429.99	\$849.99	\$799.00 - starting

IV. ULTRABOOKS

STANDARD CLAMSHELL ULTRABOOK

MATERIAL DESCRIPTION	HP	CDWG\LENOVO
Base Unit:	HP EliteBook 840 G1, Intel Core i5-6200U	ThinkPad T460, Intel Core i5-6200U
Memory:	4GB DDR3 SDRAM, 1600MHZ, (1 DIMM)	4GB DDR3 SDRAM, 1600MHZ, (1 DIMM)
Keyboard:	Integrated English Keyboard	Integrated English Keyboard
Display:	14 inch, 1366x768	13 inch, 1366x768
Video Card:	HD Graphics 5500	Dual Monitor Support
Hard Drive:	128 GB Solid State Hard Drive	128 GB Solid State Hard Drive
AC Adapter:	45W	45W
Operating System:	Windows 7 SP1, 64-bit	Windows 7 SP1, 64-bit
Mouse:	Touchpad	Touchpad
NIC:	Gigabit Ethernet	Gigabit Ethernet
Battery:	6-Cell Lithium Ion	6-cell, Lithium ion

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MATERIAL DESCRIPTION	HP	CDWG\LENOVO
Optical Drive:	N/A	N/A
Sound Card:	Integrated	Integrated
Speakers:	Internal	Internal
Modem:	No	No
Wi-Fi	802.11 n	802.11ac
Camera:	No	No
Manufacturer's Warranty Terms:	4 year On-site service. 12 business-hour fix	4 year On-site service. 12 business-hour fix
Price	\$1,018.00	\$832.10
Memory Upgrade to 8GB	\$40.00	\$42.40

HIGH END CONVERTIBLE ULTRABOOK

MATERIAL DESCRIPTION	HP	CDWG\LENOVO
Base Unit:	HP EliteBook Revolve 810, Intel Core i5-3437U	ThinkPad Yoga 260, Intel Core i5-6200U
Memory:	4GB DDR3 SDRAM, 1600MHZ, (1 DIMM)	4GB DDR3 SDRAM, 1600MHZ, (1 DIMM)
Keyboard:	Integrated English Keyboard	Integrated English Keyboard
Display:	11.6 inch, 1366x768	11.6 inch, 1366x768
Video Card:	HD Graphics 4600	Dual Monitor Support
Hard Drive:	128 GB Solid State Hard Drive	128 GB Solid State Hard Drive
AC Adapter:	45W	65W
Operating System:	Windows 7 SP1, 64-bit	Windows 7 SP1, 64-bit
Mouse:	Touchpad	Touchpad
NIC:	Gigabit Ethernet	Gigabit Ethernet
Battery:	6-Cell Lithium Ion	6-cell, Lithium ion
Optical Drive:	N/A	N/A
Sound Card:	Integrated	Integrated
Speakers:	Internal	Internal
Modem:	No	No
Wi-Fi	802.11 n	802.11ac
Camera:	No	No
Manufacturer's Warranty Terms:	4 year On-site service. 12 business-hour fix	4 year On-site service. 12 business-hour fix
Price	\$1,161.00	\$1,044.10
Memory Upgrade to 8GB	\$34	\$42.40

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MATERIAL DESCRIPTION	HP	CDWG\LENOVO
Memory Upgrade to 12GB	\$122.00	\$127.20 (16GB Upgrade)
Possible Intel Core i7-4600U (3.3 GHz) Processor Upgrade	\$235.00	\$212.00

V. SERVERS

TYPE	LOW END*	HIGH END*
FILE/PRINT AND WEB***	<p>IBM System x3750 M4 8722AC1 (2U Rack Server) 2- Quad-Core Intel Xeon E5-4603 2.00GHz 10MB cache 1066MHz Storage subsystem: 8 HDD Enablement Kit Hot swap SAS/SATA 8 Pac HDD Kit for IBM System x3750 M3 3-4GB 1Gbit PC3L-10600 CL9 ECC DDR3 (12GB Total) Internal SATA RAID - Cabled only, Setup by Customer ServeRAID-M5110e SAS/SATA Controller ServeRAID Controller Battery 3- IBM 500GB 7200 NL SATA 2.5" SFF Slim-HS HDD 2 - IBM 250GB 7200 NL SATA 2.5" SFF Slim-HS HDD Optical drive : UltraSlim Enhanced SATA Multi-Burner Ethernet : Dual port 1Gb Ethernet Daughter Card System management : IBM Virtual Media Key 1-IBM System x3650 M3 PCI-Express (3x8) Riser Card 2 1-Intel Quad Port Server Adapter 2- 1400W power supply Power Cords Rack kit: Universal Slide Kit System Planar for 2U servers System Documentation and Software-US English 2.5" HDD Filler Bezel 5-yr Onsite Repair 24x7 4-hr</p> <p>\$18,604.00</p>	<p>IBM System x3750 M4 8722AC1 (2U Rack Server) 2- Six-Core Intel Xeon E5-4610 2.4GHz 15MB cache 1333MHz Storage subsystem: 8 HDD Enablement Kit Hot swap SAS/SATA 8 Pac HDD Kit for IBM System x3750 M3 3-8GB 1Gbit PC3L-10600 CL9 ECC DDR3 (24GB Total) Internal SATA RAID - Cabled only, Setup by Customer ServeRAID-M5110e SAS/SATA Controller ServeRAID Controller Battery 5- IBM 500GB 7200 NL SATA 2.5" SFF Slim-HS HDD 2 - IBM 250GB 7200 NL SATA 2.5" SFF Slim-HS HDD Optical drive : UltraSlim Enhanced SATA Multi-Burner Ethernet : Dual port 1Gb Ethernet Daughter Card System management : IBM Virtual Media Key 1-IBM System x3650 M3 PCI-Express (3x8) Riser Card 2 2-Intel Quad Port Server Adapter 2- 1400W power supply Power Cords Rack kit: Universal Slide Kit System Planar for 2U servers System Documentation and Software-US English 2.5" HDD Filler Bezel 5-yr Onsite Repair 24x7 4-hr</p> <p>\$21,801.00</p>

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TYPE	LOW END*	HIGH END*
DATABASE***	<p>Dell PowerEdge R910 (4U Server) 2-Six Core Intel Xeon X7560 24M cache, 2.26GHz, Turbo, HT 16-2GB 1066MHz Memory (32GB total) R910 Chassis allowing up to sixteen 2.5-in HD 1-PERC RAID Controller, 5 to 8 Hard Drives, RAID 1/RAID 5 config Redundant Power Supply 2-500GB 7.2K RPM Near-Line SAS 2.5-in HotPlug Hard Drive 5-500GB 7.2K RPM Near-Line SAS 2.5-in HotPlug Hard Drive Dell ReadyRails with cable management Bezel PowerEdge R910 Active Bezel Power Cords 2x Power Cord, NEMA 5-15P to C14, 15 amp 2-Dual Port embedded Boradcom 5709 Gigabit NIC 1-Quad Port Intel Gigabit ET NIC, PCIe-4 Optical Drive DVD-RW Drive Electronic System Documentation, OpenManage DVD Kit with DMC 5yr ProSupport for IT and Mission Critical 4HR 7x24 Onsite Pack 3-yr Keep Your Hard Drive Keep Your Hard Drive**</p> <p>\$27,189.00</p>	<p>Dell PowerEdge R910 (4U Server) 4-Ten Core Intel Xeon E7-4870 30M cache, 2.4Ghz, Turbo, HT 16-4GB 1066MHz Memory (64GB total) R910 Chassis allowing up to sixteen 2.5-in HD 1-PERC RAID Controller, 5 to 8 Hard Drives, RAID 1/RAID 5 config 2 Redundant Power Supply 2-500GB 7.2K RPM Near-Line SAS 2.5-in HotPlug Hard Drive 6-1TB 7.2K RPM Near-Line SAS 2.5-in HotPlug Hard Drive Dell ReadyRails with cable management Bezel PowerEdge R910 Active Bezel 1100W Power Supply; 4x Power Cord, NEMA 5-15P to C14, 15 amp 2-Dual Port embedded Boradcom 5709 Gigabit NIC 2-Quad Port Intel Gigabit ET NIC, PCIe-4 Optical Drive DVD-RW Drive Electronic System Documentation, OpenManage DVD Kit with DMC 5yr ProSupport for IT and Mission Critical 4HR 7x24 Onsite Pack 3-yr Keep Your Hard Drive Keep Your Hard Drive**</p> <p>\$43,779.00</p>

NOTE* PRICES VARY CONSIDERABLY AND ARE APPROXIMATE RANGES FOR THE VARIOUS SERVER CATEGORIES.

******THESE SERVERS REQUIRE 2 ADDITIONAL YEARS OF "KEEP YOUR HARD DRIVE" PROTECTION. THIS IS NOT AVAILABLE FOR PRICING BUT COULD ADD \$150-\$300 TO THE PRICE. COMMONWEALTH SERVER PURCHASES ARE REQUIRED TO HAVE 5 YEARS OF 24X7X4 MAINTENANCE.

*******THE PRICES DO NOT INCLUDE OPERATING SYSTEM SOFTWARE, OTHER PERTINENT SOFTWARE, UPS HARDWARE, SERVER CABINETS, ETC. COSTS.

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VI. PRINTERS

TYPE	LOW END*	HIGH END*
Small Network Printer	\$237.00	\$4,039.46
Small Networked Multi-Function Device (MFD)**	\$684.23	\$2,672.03
Large Networked Multi-Function Device (MFD)**	\$2,975.04	\$79,858.08
<p>NOTE* PRICES VARY CONSIDERABLY AND ARE APPROXIMATE RANGES FOR THE VARIOUS PRINTER CATEGORIES.</p> <p>**THE COMMONWEALTH HAS A CONTRACT TO LEASE LARGE NETWORKED MFDs FOR A 48 MONTH TIMEFRAME. PRICES LISTED ARE THE TOTAL PRICE TO LEASE THE MFD OVER THE 48 MONTH TIMEFRAME. THE COMMONWEALTH LARGE NETWORKED MFD CONTRACT DOES NOT HAVE THE OPTION TO PURCHASE THE UNIT.</p>		

VII. STANDARD EQUIPMENT MAINTENANCE PRICES

DHS MAINTENANCE PRICE

EQUIPMENT CATEGORY	NEXT BUSINESS DAY (NBD) MONTHLY SERVICE RATE PER UNIT 24 HOUR SOLUTION TIME (ST) PRINCIPAL PERIOD OF MAINTENANCE (PPM) 12 HRS X 6 DAY	BULLETIN GUIDELINE
Braille Embosser	\$3.57	
Graphics Tablet/Digitizer	\$1.18	
Diskless Workstation	\$2.66	
External Storage Devices (Floppy, Hard, Optical and Tape Drives)	\$0.60	
Interface Controller	\$0.36	
Jukebox	\$21.26	
Lan Data Storage – CD ROM	\$0.65	
Lan Data Storage – RAID	\$11.96	
Lan Data Storage – Serial System	\$8.02	
Lan Repeater/Converter	\$1.04	
Lan Router	\$6.14	
Lan Switch	\$1.39	
Lan Hub	\$2.50	
Laptop Docking Station	\$1.69	
Laptop/Notebook/Portable	\$3.97	
Mid Range Server	\$12.03	
Modem	\$0.27	
Monitor - CRT	\$0.23	

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EQUIPMENT CATEGORY	NEXT BUSINESS DAY (NBD) MONTHLY SERVICE RATE PER UNIT 24 HOUR SOLUTION TIME (ST) PRINCIPAL PERIOD OF MAINTENANCE (PPM) 12 HRS X 6 DAY	BULLETIN GUIDELINE
Monitor - LCD larger then 23"	\$9.46	
Monitor - LCD up to and including 23"	\$0.99	
PC - Desktop/Tower	\$1.07	
Plotter – Desktop	\$4.52	
Plotter – Floor Model	\$4.52	
Printer – Daisy/Rotary and Dot Matrix	\$1.07	
Printer – Inkjet	\$1.10	
Printer – Laser	\$2.06	
Printer – Multifunction	\$1.92	
Printer – Specialized	\$1.57	
Printer – Thermal	\$1.33	
Scanner – Bar Code	\$0.39	
Scanner – OMR	\$1.57	
Telesensory Equipment	\$14.25	
Terminal	\$1.56	
Terminal – POS	\$14.80	
UPS (1-1500 Watts)	\$1.62	
UPS (1501 – 6000 Watts)	\$2.69	

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PURPOSE: The purpose of these instructions is to transmit guidelines for the preparation and submission of FY 2017-18 Independent Living Services (ILS) grant requests from County Children and Youth Agencies (CCYAs) for funding of Independent Living (IL) services, as defined in this Appendix. These instructions also require the preparation and submission of Fiscal Year (FY) 2016-17 Intermediate Object (16-17 IL CY814 Bdgt), Implementation Year Budget Change Request (16-17 IL Bdgt Change), and Implementation Budget by Source of Funds (16-17 IL CY815 Bdgt).

These instructions serve as the sole means to request funding for the provision of IL services in FY 2017-18 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 Chafee Foster Care Independence Program (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 support successful transitions to adulthood and 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. CCYAs are not required to meet the state's federal funds match requirement.

NOTE: Placement maintenance costs for children placed in IL residential programs, foster family care, and new Supervised Independent Living Placement (SILP) settings for youth ages 18 to 21 will continue to be requested through the Needs-Based Plan and Budget (NBPB) 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 Adoption and Foster Care Analysis and Reporting (AFCARS) data. All counties requesting funding for IL Services from July 1, 2017 – June 30, 2018 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.

- An updated Office of Children, Youth and Families (OCYF) Bulletin #3140-14-01, entitled "Youth Independent Living Services Guidelines", was issued on December 8, 2014 to comply with recent federal and state statutes.

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- Federal requirements of the Preventing Sex Trafficking and Strengthening Families Act effective September 29, 2015 which includes:
 - New case planning activities for children age 14 and older, effectively lowering the age of IL Services eligibility to age 14;
 - Lowering the annual credit reporting and assistance in fixing any inaccuracies to children in foster care age 14 and older.
 - Providing to youth exiting foster care at age 18 and older, copies of their birth certificate, Social Security Card, driver's license or state identification card, health insurance information, and medical records.
- Computer purchases for agency or staff use should be requested through the county's IT grant request process.
- Updated information about the National Youth in Transition Database (NYTD) reporting requirements are included.

ILS Grant Guidelines and Components Youth Eligibility Requirements

CFCIP Eligibility – IL services are provided to youth involved with CCYA utilizing a combination of federal CFCIP funds, state and local funds. CCYA are required to identify youth who are likely to remain in foster care until age 18 and to provide a broad array of services designed to help youth transition successfully to adult living or higher education.

CCYA may also provide IL services to many subgroups of youth who are under age 21, including youth who are under age 14, 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 14, including youth adopted or entering permanent legal guardianship arrangements after age 14 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;		✓

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YOUTH STATUS and ELIGIBILITY	CFCIP Funds	State/Local Funds
<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 IL services.		✓

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.** The county where the youth is currently residing is responsible for the assessment and delivery of services. Aftercare services are defined as IL services available to any youth who exited substitute care on or after his or her 14th birthday and prior to his or her 21st birthday. Aftercare services may include the full range of services available to IL participants, including any service areas addressed in the assessment, counseling and/or stipends; however, if the youth entered an adoptive or Permanent Legal Custodianship (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/Child’s Permanency Plan (CPP).

CCYA and private providers of service must maintain, within the youth’s case record, documentation that Aftercare Services have been offered to all eligible youth. The aftercare services policy must include a statement signed by the youth indicating they are aware of the availability of aftercare services, in which they may participate after discharge and until they reach their 21st birthday. All youth eligible to receive IL services should be presented with Aftercare Services information, resumption of jurisdiction/foster care re-entry information and availability at the onset of services. Youth must also be re-informed of these services and supports (as applicable) 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.

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Room and Board Eligibility

Pennsylvania defines CFCIP funded IL Room and Board services as financial aid and casework support to include payment or reimbursements for shelter, food, rent, security deposits, utilities, furniture, household items and other startup expenses that may be incurred for youth who have exited substitute care on or after age 18. CFCIP Room and Board funds may also be used to meet one-time or startup expenses for youth ages 18-21 who opt to remain in, or re-enter, foster care and for whom the court resumes dependency jurisdiction. These funds may not be used to supplement costs of a SILP setting or current foster family care per diem rate, extend substitute care beyond age 18, or resume dependency jurisdiction, up to age 21. Federal requirements limit the amount of federal CFCIP funds that may be expended for Room and Board to 30 percent of the state’s allocation of federal funds. OCYF will manage the 30 percent maximum at the state level to allow interested counties to budget and expend more than 30 percent of their allocation. IL Room and Board services are fundable through the ILS Grant CFCIP funds and the OCYF Special Grant Housing Initiative with state and local funds only. The CCYA may use allocated and available Housing Initiative funds for CFCIP eligible youth after CFCIP funds have been exhausted. The following table illustrates the appropriate funding sources by youth status and eligibility.

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

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:

- Needs 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 CPP.

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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 to Success and Increasing Adoptions Act of 2008 (Fostering Connections) and OCYF policy require that the Transition Plan be reviewed by the court. During the 90-day period immediately prior to the date the child will discharge from the child welfare system at age 18 or older, the CCYA must *“provide the child with assistance and support in developing a Transition Plan that is personalized at the direction of the child, includes specific options on housing, health insurance, education, local opportunities for mentors and continuing support services, and work force supports and employment services, and is as detailed as the child may elect”* (42 U.S.C. §675(5)(H)). Ensuring that an up-to-date CPP, IL plan and Transition Plan are in the youth's case record will help the CCYA meet this requirement.

B. Life Skills Training

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

- Locating, 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;
- Understanding and managing personal credit (to include the annual credit report results for each youth age 14 and older in substitute care);
- 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

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- Understanding the importance of having a health care power of attorney or health care proxy, health care insurance coverage and 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 crisis in their lives. The inability to resolve conflict, negotiate, and problem solve in society can result in youth regressing after obtaining success in their lives. Soft skills are defined as those intangible skills needed to deal with personal issues, which include, but are not limited to:

- decision making
- self-esteem
- negotiation skills
- impulse control/anger management
- assertiveness
- communication skills
- conflict resolution/problem solving
- stress management and coping strategies
- cultural competence
- peer interactions
- healthy dating and relationships

C. Prevention Services

Prevention activities and skills development should be provided to youth receiving IL services in order to reduce the instances of drug, alcohol and tobacco abuse; domestic violence; teenage pregnancy; and Sexually Transmitted Diseases (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;
- Preparation for/assistance in obtaining a General Equivalency Diploma (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:

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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
 - Statewide 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; clothing for job interviews; or as the CCYA determines necessary to meet the individual needs of youth directed towards a youth's plan to achieve normalcy. Examples include, but are not limited to, a class ring, prom or formal attire or yearbook.

When stipends for youth are a part of a 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.

Stipends should not be used to cover the cost of necessities or items that should be covered by the cost of care or insurance for youth still in substitute care or Supervised IL Placement Setting. The amount and duration of stipend payments to youth in or out of substitute care should be commensurate with identified need and restricted to cover allowable costs after the CCYA determines that all other youth eligible and generated resources have been exhausted. Stipends should not be regular or ongoing payments.

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

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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)

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.

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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 SILPs for dependent or delinquent youth must be requested through the NBPB. 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

Please reference “Room and Board Eligibility” in the beginning of this appendix for more information. To ensure that OCYF does not exceed the federal requirement that states do not expend more than 30% of Chafee funds for this purpose, CCYA may not budget or expend more than 30% of their Chafee funds without prior written approval from OCYF.

For FY 2017-18, 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 the Administration for Children and Families (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:

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- 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 YAB related travel.

FOSTER YOUTH IDENTITY THEFT - CREDIT HISTORY REPORTS

The Child and Family Services Improvement and Innovation Act and Preventing Sex Trafficking and Strengthening Families Act requires that “each child in foster care under the responsibility of the State who has attained 14 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.” Annually, CCYA must obtain any credit history report information from each of the three main credit reporting agencies: TransUnion, Equifax, and Experian.

HEALTH CARE POWER OF ATTORNEY OR HEALTH CARE PROXY

The Patient Protection and Affordable Care Act of 2010 (ACA) 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 its training, support and technical assistance provider;
- Serving as primary contact for the agency to provide internal and external training, support and assistance;

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

TECHNICAL ASSISTANCE/MONITORING

The Independent Living Project of the Child Welfare Resource Center (CWRC) 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 CWRC Program Improvement Specialists. CCYA are encouraged to contact project staff to answer any questions about completing the grant application, to discuss program ideas and/or to arrange for a technical assistance visit.

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

PURCHASE OF ASSETS

An asset is any specific item with a purchase cost of \$500 or more AND a useful life of more than one year. Please provide written justification on the purchase of any equipment or vehicles for the project and receive approval from the Department PRIOR to making the purchase. All purchase of assets requests must be submitted by May 15, 2016. All agency or staff computer purchases and IT needs must be requested to be reimbursed through the county's IT grant application and funds. Computers purchased, in full or parts, for youth are not considered assets and are reimbursable with ILS funds. 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 CWRC IL Project Staff. Purchase requests should be submitted to the state IL Program Manager by fax at 717-214-3784, email at jwarrick@pa.gov or by mailing the request to:

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

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FISCAL REPORTING AND PAYMENTS

CCYA are required to submit quarterly fiscal reports to the Department. Reports are due within 45 days of the end of each fiscal quarter and must be submitted on forms provided by the Department. 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 the Department upon request. Expenditure reports should be emailed in a Microsoft Excel file to: ra-pwspgrilexp@pa.gov

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

PAYMENTS

OCYF will make payments to CCYA's who complete timely fiscal reports and whose current year spending warrants payment according to the following schedule which allows for a total of six payments:

- OCYF will process the first advance payment for IL to CCYA for 25 percent 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 percent 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 12.50 percent 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 percent 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 percent 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.

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- 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 CCYAs the withholding or delaying of advances should reported expenditures not warrant a payment.

RECORD OF EXPENDITURE/AUDIT

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

PROGRAM REPORTING

Youth Reporting Forms for PILOTS must be submitted to CWRC 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 CWRC IL Project staff. CCYA will be notified when this program reporting requirement can be discontinued and transferred to NYTD only program reporting.

NYTD REPORTING

Please refer to Section 2.3d for information of NYTD reporting.

COUNTY PROGRAM CHANGES

CCYA with an approved application may alter or revise the provision of services, activities or programming with approval from the Department. CCYA may implement changes as long as the changes meet the guidelines and requirements of these instructions are consistent with the goals and requirements of CFCIP. CCYA must provide a written request to the OCYF Regional Director and the state IL Program Manager and include a budget revision, if deemed necessary, within 30 days following the implementation of the revision by fax at 717-214-3784, email at jwarrick@pa.gov or by mailing the request to:

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

ILS GRANT APPLICATION

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

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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 2016-17 Intermediate object (16-17 IL CY814 Bdgt);
- Implementation Year Budget Change Request (16-17 IL Bdgt Change); and
- Implementation Budget by Source of Funds (16-17 IL CY815 Bdgt).
- FY 2017-18 IL Grant Request

Approval of Applications

OCYF staff will present their findings and recommendations to the Deputy Secretary 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 your OCYF Regional Representative or Joseph Warrick, State IL Program Coordinator, at (717) 214-6765 or CWRC IL Project Coordinator, at (717) 795-9048.

INDEPENDENT LIVING GRANT REQUEST FORM INSTRUCTIONS

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

- **See *Independent Living Services Grant* in the Narrative Template for the grant application.** The application must be included as part of the NBPB Narrative Template Submission.

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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Appendix 6: Accurint Instructions

HISTORY: In 2009, the Department established a statewide contract with LexisNexis for the online use of the Accurint Search Tool on behalf of the County Children and Youth Agencies (CCYA's). Each county has a set number of users allotted. Given the current number of active users and usage rates, the total number of users assigned to each county will remain the same in FY 2017-18.

PURPOSE: Recognizing that technology is a tool that can assist in the implementation of Family Finding efforts, locating absent parents, safety planning, and tracking youth post-care, DHS continues to support counties through the provision of tools that promote best practice. 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:

- Identification of family members and significant others who may care for the child;
- Location of absent or missing parents;
- Identification of family members and significant others to participate in the Family Group Decision Making conferences to support the child and family;
- Enhancement of safety planning with the identification of other individuals who may support and care for the child;
- Prevention of 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;
- 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 ;
- Compliance with the family finding provisions of the Fostering Connections to Success and Increasing Adoption Act.
- Identification of permanent connections for older youth; and location of older youth in compliance with the requirements for the National Youth in Transition Database.

COUNTY RESPONSIBILITIES: Report Form Submission: Reports are due quarterly to the Accurint Manager.

Adherence to the User Policy Guidelines: 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.

DHS RESPONSIBILITIES: OCYF is responsible for managing Accurint for County Children and Youth Agencies. The Accurint Manager maintains a master list of users

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by county and tracks the county specific usage of the Accurint Tool on a monthly basis. 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. For questions or assistance regarding Accurint, contact the Accurint Manager, Ms. Belinda Eigen at (717) 787-2726 or beigen@pa.gov

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Appendix 7: Special Grant Initiatives

This appendix addresses the Special Grants Initiatives (SGI) discussed in subsection Evidence-Based Programs (EBP), Pennsylvania Promising Practices (PaPP), Housing Grants and Alternatives to Truancy Prevention (ATP).

PURPOSE: These instructions transmit guidelines for the preparation and submission of FY 2017-18 SGI categories of EBP, PaPP, Housing and ATP requests from County Children and Youth Agencies (CCYAs).

These instructions also provide additional guidelines for the submission of required information and documents for the Fiscal Year (FY) 2016-17 implementation year by CCYA with approved funding for the above mentioned SGI.

BACKGROUND: Some EBP and a limited number of PaPP were extracted from the NBPB process through adjustments and extractions for implementation during FY 2008-09 and FY 2009-10. Funding to support the SGI during FY 2009-10 was a combination of state and local funds. Programs and/or practices eligible at that time for the EBP included the following:

- Multi-Systemic Therapy (MST);
- Functional Family Therapy (FFT);
- Treatment Foster Care Oregon (TFCO);²
- Family Group Decision Making (FGDM);
- Family Development Credentialing (FDC); and
- EBP-Other (as selected in 2014-15 NBPB)

As a part of the NBPB process for SFY 2010-11, CCYA were encouraged to request SGI funds for EBP, including High-Fidelity Wrap Around (HFWA), as well as, PaPP, ATP, Housing Grants, and State Reintegration. As part of the PaPP, including ATP, CCYA were eligible to identify and request funds for one outcome-based dependency program and one outcome-based delinquency program, as well as ATP for SGI consideration.

During SFY 2012-13, the Department requested applications to implement the pilot Human Services Block Grant (HSBG), of which, 30 counties are now approved. The HSBG combines several human services funding sources at the county level, allowing greater flexibility of counties to provide services in a flexible manner.

OCYF expanded EBP to include “other” EBPs designed to meet an identified need of the population they serve that is not currently available within their communities.

OCYF, the Office of Mental Health and Substance Abuse Services (OMHSAS) and the Pennsylvania Commission on Crime and Delinquency (PCCD) established the Evidence-Based Prevention & Intervention Support Center (EPISCenter), through Pennsylvania State University. The EPISCenter will provide training, technical assistance, and data collection to OCYF and CCYA contracting or delivering services

² Treatment Foster Care Oregon (TFCO) formerly known as Multidimensional Treatment Foster Care (MTFC.) The program model and developer are unchanged. Please discontinue use of MTFC name to avoid trademark infringement.

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using MST, FFT, TFCO and other evidence-based program models and some of the PaPP.

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

CHANGES FOR EVIDENCE-BASED PRACTICES

Evidence-Based Practices (EBP) – Other

The CCYA may select any EBP (including the six listed above) that is designed to meet an identified need of the population they serve that is not currently available within their communities. The new EBP will be referred to as EBP-Other.

A list of EBP registries, which can be used to select an appropriate EBP, can be found online at the California Evidence-Based Clearinghouse for Child Welfare at:

<http://www.cebc4cw.org/>.

Additional information is available online at the Child Information Gateway at:

<https://www.childwelfare.gov/topics/>.

Any EBP found on any of the listed registries, or on any other EBP registry, will be acceptable provided that it meets a specific need identified by the CCYA. The CCYA may select as many EBP as needed, provided that it meets a designated need and can be fully operational by July 1, 2018.

Evidence-based programs use a defined curriculum or set of services that, when implemented with fidelity as a whole, have been validated by some form of scientific evidence. Evidence-based practices and programs may be described as "supported" or "well-supported", depending on the strength of the research design.

Counties who wish to continue operation of any previously OCYF supported EBP must describe the programs for FYs 2013-14, FY 2014-15, and FY 2015-16. The outcomes of the services (via use of available data), and the county's plans for expansion of these programs during FY 2016-17 and FY 2017-18, if appropriate. The county must discuss how many children are expected to be served, and the expected reduction in placements. Counties must also address any under-utilization or under-spending since FY 2013-14 and its plan(s) to correct the underperformance(s) in FY 2016-17 and FY 2017-18.

Counties who wish to implement a new EBP-Other must identify the website registry or program website used to select the model; describe the EBP; identify what assessment or data was used to indicate the need for the program; describe the populations to be served by the program; explain how the selected EBP will improve their outcomes and identify a key milestone that will be met after one year of implementation of the EBP.

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HSBG counties may only request additional funds for the EBP-Other category or to expand existing SGI through the Special Grant instructions if they have budgeted and are spending 100 percent of their child welfare funds in the child welfare program in the HSBG. These requests will be maintained as Special Grants and will require the CCYA to report program and fiscal information separately in both grant programs.

As part of the Title IV-B Annual Progress and Service Report, all states must include a description of the activities that the state has undertaken to reduce the length of time children who have not attained 5 years of age are without a permanent family, and the activities the state undertakes to address the developmental needs of foster children. The Office of Child Development and Early Learning (OCDEL) offers several programs that provide support and services to families with children from birth to age five with developmental delays and disabilities. The CCYA should take advantage of those programs whenever possible but should also consider whether or not there is an EBP that may help to provide services to this population of children.

The CCYA must provide a work statement that includes the action steps and time frames in which the steps will be completed that they will take in FY 2016-17 to implement the EBP effective July 1, 2017. Counties may re-direct funds within their existing SGI allocations to allow for implementation, but may not exceed their approved total SGI budget. Additional considerations for implementation include, but are not limited to, identifying a provider for the EBP, determining how to select the children and/or families to be served by the EBP, determining how the EBP will be managed within the CCYA, determining how data will be collected on the EBP, determining how the CCYA will monitor the provider to ensure fidelity to the selected model of the EBP, technical assistance needs, etc.

FUNDING

The SGI is funded through a combination of state and matching county funds. The required match percentage varies dependent on the SGI and ranges from five percent to 20 percent. Requests for FY 2017-18 SGI funds must include the appropriate county share as the total. Additionally, all county expenditure reporting must include the required match to continue to receive state funding.

The matching amounts for the SGI are as follows:

Program/ Practice	State	Local
EBP and EBP-Other:	95%	5%
PaPP (Dependent & Delinquent)	90%	10%
Housing	85%	15%
ATP	90%	10%

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PROGRAM/ PRACTICE SUMMARIES

I. Pennsylvania Promising Practices (PaPP)

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

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

Youth employment programs will be considered under the SGI category of PaPP in FY 2017-18. For FY 2016-17, counties are permitted to transfer or shift existing funds within the SGI categories of EBP, EBP-Other, PaPP, Housing and ATP to support youth employment programs; requests will only be considered up to the maximum allocation amount.

If the county has implemented a specific outcome-based dependency and/or an outcome-based delinquency program in FY 2015-16 and plans to continue the program during FY 2016-17, those programs are no longer eligible for FY 2017-18 funding requests under the PaPP Grant. If the county is in the first year of implementation of an outcome-based dependency or delinquency in FY 2016-17, the county may request second year funds for FY 2017-18. Finally, if a county has exhausted its two year limit for a PaPP, the county may request special grant funding consideration for a maximum of two new programs for implementation in FY 2017-18.

II. Housing

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

- Prevent children from entering out of home placement;
- Facilitate the reunification of children with their families;
- Facilitate the successful transition of youth aging out, or those who have aged out, of placement to living on their own.
- Meet one-time or startup expenses for youth ages 18-21 who opt to remain in, or re-enter, foster care and for whom the court resumes dependency jurisdiction.

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

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The Housing Initiative further includes youth between the ages of 18-21 who do not meet the Chafee Room and Board (R&B) eligibility requirements of discharge on or after age 18; to provide additional funds for Chafee R&B eligible youth after expending the federal limit. CCYA may also include costs for youth discharged between the ages of 16 and 18 who agree to participate with IL Services. Housing costs for youth meeting the Chafee R&B eligibility requirements should be included in Appendix 5, IL Grant Services.

III. Alternatives to Truancy (ATP)

The county may identify practices or programs designed to address truancy issues among school-age youth in order to:

- Reduce the number of students referred for truancy;
- Increase school attendance among student participants;
- Improve educational outcomes among student participants who may not have otherwise benefited without the program;
- Increase appropriate advancement to the next higher grade level;
- Decrease child/caretaker conflict; or
- Reduce the percentage of children entering out of home care because of truancy.

PAYMENTS FOR SGI

CCYA are required to provide OCYF with expenditure reports from which payments will be reconciled and generated if a payment is warranted. The following payment schedule allows for a total of six payments to be made by OCYF to the CCYA:

- OCYF will process the first advance payment for SGI to CCYA for 25 percent of the allocation amount upon approval of the state budget or July 1. The allocation amount is the total amount of all the SGI categories including: EBP, PaPP, Housing and ATP.
- The second advance payment, up to 25 percent 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 12.50 percent 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 percent 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.

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- The fifth advance payment, up of 12.50 percent 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.

TOTAL FUNDS REPORTING

All SGI budgets must be reported using the total of state and local funds. OCYF developed new fiscal expenditure forms that will allow for multiple programs per page. This development may also require CCYA to report expenditures using total funds. OCYF will notify counties of further changes in a separate correspondence.

REQUESTS TO TRANSFER/SHIFT FUNDS

The Department allows CCYA's to transfer or shift funds within the SGI categories of EBP, EBP-Other, PaPP, Housing and ATP for FY 2016-17 within the maximum allocation amount. CCYA must have sufficient local matching funds when requesting a transfer to those programs with a higher match requirement. CCYA may transfer EBP funds from one EBP to another without OCYF approval; however, OCYF approval is required if transferring to/from EBP and other SG programs.

SGI PROGRAM BUDGETS

CCYAs, with approved allocations for the SGI in FY 2016-17, must prepare and submit the Special Grants Budget Form and budget narrative found in the Budget Excel File and Budget Narrative Template.

FY 2015-16 ACTUAL EXPENDITURES

Complete the first section of the Special Grants Budget Excel File, SG BDGT 2015-16. Enter the total amount of the grant funds (state and local) and any NBPB funds used to support the program or practice during FY 2015-16. If an adjustment was made, enter the adjustment number referenced in the county's Access file submission.

FY 2016-17 SGI FUNDS BUDGET

CCYA intending to implement one or more new EBP for FY 2016-17 must first complete the excel worksheet, 16-17 EBP Bdgt. Complete all requested information. This detail will total all EBP-Other AND automatically populate fiscal information to the SG16-17 Budget worksheet in a new column. Please use the correct EBP model name in the 16-17 EBP Bdgt and Narrative Template.

The second section of the SG 16-17 Budget worksheet, of the Special Grants Budget Excel File, must be completed for all CCYA with approved FY 2016-17 allocations for the SGI. Enter the combined total of state and local funds for each SGI. (Local match and

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state grant funds will be distributed by the appropriate match percentage for each line item and major category.) Do not budget for more than the FY 2016-17 approved amount. Additional information is requested and found in the Special Grants Budget Narrative Template.

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

If information entered into the Special Grants Narrative Template and the Special Grants Budget Excel File do not match, the Special Grants Budget Excel file will be deferred to and considered as a final budget.

FY 2017-18 EBP FUNDING REQUEST FORM

This worksheet is for completion by CCYA requesting funding for any EBP for FY 2017-18 as directed above. Multiple columns are provided for budget information by EBP. Please use the correct EBP model name in each column. The total of all EBP will automatically fill in the appropriate cell in the 17-18 SGI Bdgt Rqst worksheet.

FY 2017-18 SGI FUNDING REQUEST FORM

This worksheet is for completion by all CCYA to request funding amounts for the SGI contained in this Addendum for FY 2017-18. Enter the combined total of state and local funds for each SGI. Additional information is requested and found in the Special Grants Budget Narrative Template.

FFT TRAINING COSTS

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

SGI EXPENDITURE REPORTING

Quarterly Expenditure Reports – SGI Expenditure Reports are changed and effective July 1, 2016. The primary changes are to combine all SGI to one page and tentative plans to accept expenditure reports using Total funds, not state funds. New forms will be transmitted through separate correspondence from OCYF.

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

- County
- Grantee
- Program name (if applicable)
- Name and telephone number of a fiscal contact person
- Date Submitted

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- Grantee Federal I.D. number
- Reporting Quarter
- An accompanying expenditures narrative which clearly describes the costs charged to the grant for the reporting period. This may include provider operating, personnel and other expenses; number of children/families served and per diem costs; county or other costs.

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

The following maximum costs for FGDM are allowable.

- Successful FGDM Conference - \$3,000. A successful conference is defined as a conference that is held with a facilitator, nuclear family and extended kin.
- Successful FGDM Referral - \$1,000. A successful referral is defined as new family engagement activities/actions occurring after a referral to FGDM that directly correlate to the FGDM referral, but that do not lead to a successful FGDM conference. The new engagement/activities must be documented in the Family Service Plan.
- Unsuccessful FGDM referral - \$250. An unsuccessful referral is defined as the referral of a family for FGDM that does not result in a FGDM conference or any new engagement/activities due to lack of engagement of nuclear and extended family/kin.

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

The quarterly Microsoft Excel expenditure form must be emailed within 45 days following the quarter in which the expenditures occurred to: ra-pwspgrilexp@pa.gov

General Instructions for all Fiscal Forms:

- Please check the appropriate box at the top of all forms.
- Complete all required information on the form (including signatures).
- Type all amounts to the penny for all the expenditure forms, whole dollars for budget forms.
- Double-check all calculations.
- DHS Grant Funds Amount column must match your most recent approved budget.
- Enter total amount for each line item listed (0 if no funds allocated or spent).
- Enter the total for each Section (Personnel, Operations, and Equipment)

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- Expenditure Reports and Budget Revisions must be completed for each of the special grant programs.

NOTE: ALL BUDGET REVISIONS AND BUDGET REVISION REQUESTS ARE DUE BY MAY 15th – NO EXCEPTIONS

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

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

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

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

Department approval is required prior to the implementation of this revised budget. The approval letter will indicate the effective date of the budget revision request. Budget Revision requests for the current FY must be received no later than May 15. The total grant amount may not be exceeded. Counties must have sufficient local matching funds when requesting a transfer to those programs with a higher match requirement.

Simply stated, a budget revision must be submitted to the Department for any changes to the approved budget; including, reallocating funds among budget categories, adding line items, exceeding the original line item amount by at least 10 percent.

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

ASSETS:

An asset is any individual item with a purchase cost of \$500 or more and has a useful life of more than one year. Assets purchased with grant funds are property of the Department. The Department reserves the right to request the return of assets upon termination of grant activities. **Grantees must provide written information on the purchase of any asset and receive approval from the Department PRIOR to**

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making the purchase. (See IT/Computer Purchase below.) Please send a written asset request to the Special Grants Program Manager. The written request must include as much detailed information as possible including the following:

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

COMPUTER PURCHASES

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

AUDIT

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

TECHNICAL ASSISTANCE AND PROGRAM REPORTING REQUIREMENTS

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

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

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

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