



# **Fiscal Year 2026-27 Needs-Based Plan & Budget**

Commonwealth of  
Pennsylvania

Office of Children, Youth  
and Families

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



## CHILDREN, YOUTH & FAMILIES BULLETIN

ISSUE DATE <b>TBD</b>	EFFECTIVE DATE <b>July 1, 2025</b>	NUMBER <b>3140-25-XX</b>
SUBJECT Fiscal Year 2026-27 Children, Youth and Families' Needs-Based Plan and Fiscal Year 2025-26 Implementation Plan Instructions		BY Laval Miller-Wilson 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 FY 2026-27 Needs-Based Plan and Budget (NBPB) and the FY 2025-26 Needs-Based Implementation Plan which must be submitted by August 15, 2025.

**BACKGROUND:**

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

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

**COMMENTS AND QUESTIONS REGARDING THIS BULLETIN SHOULD BE DIRECTED TO:** The appropriate OCYF Regional Office.  
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**ORIGIN OF BULLETIN:**  
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Act 30 of 1991, which amends Article VII, mandates an annual NBPB process. Section 62 P.S. §709.2 (b) (relating to Review of County Submissions), requires DHS to consider whether the county's plan and budget is reasonable in relation to past costs, projected cost increases, number of children and youth in the county, number of children and youth served, service level trends, and estimates of other sources of revenues.

The Child Protective Services Law (CPSL), Title 23 Pa. C.S. Chapter 63, requires that the CCYAs establish programs of protective services with procedures to assess risk of harm to children and youth, respond adequately to meet the needs of the children, youth and family who may be at risk, and to prioritize the response and services to children and youth most at risk.

The Juvenile Act, 42 Pa. C.S. §6301 et seq., preserves the unity of the family or provides an alternative permanent family when the unity of the family cannot be maintained; provides for the care, protection, safety and mental and physical development of children; provides for children and youth committing delinquent acts programs of supervision, care, and rehabilitation; separates the child or youth from parents only when necessary for his or her welfare, safety, health, or in the interests of public safety; ensures that all parties are assured a fair hearing and their constitutional and other legal rights are recognized and enforced.

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 or youth 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 sets forth the mechanism by which DHS reimburses counties for eligible expenditures incurred by the CCYA and Juvenile Probation Office (JPO) for services to dependent and delinquent children and youth 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 and youth in the county, the number of children and youth served, service levels, and unit costs.

New initiatives and services must be reasonable, and the county must identify any 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 10 months funding based on

adequate justification, and the county must show that the cost savings will equal at least the amount of the additional funds requested beyond the six months.

55 Pa. Code §3140.21(c) identifies costs that will not be considered reimbursable through the NBPB process. These expenditures include, but are not limited to, intellectual and developmental disability treatment services, basic education programs, and costs 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 DHS. Subsection 3170.11(b) states that DHS 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 marketplace. Expenses which are not included in Chapter 3170 are not eligible for DHS’s financial participation.

55 Pa. Code Chapter 3490, “Protective Services”, defines Child Protective Services, Abuse of Students in School, General Protective Services, General Requirements for Child Protective Services, and General Protective Services. This section applies (§3490.1) to state and local agencies, public and nonpublic schools, and persons who, during their employment, encounter children and youth. Specifically, to guide those individuals or groups (§3490.2) to protect abused children and youth from further abuse; preserve and stabilize families; implement CPSL; involve law enforcement agencies in responding to child abuse; prioritize the response and services to children most at risk; and encourage more complete reporting of suspected child abuse.

## **DISCUSSION:**

DHS continues to enhance the NBPB process 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.

The following high-level overview of changes to the NBPB process will assist counties in their review of the expectations for FY 2026-27 NBPB and FY 2025-26 Implementation Plan:

- Sections with significant content changes include:
  - DHS Priorities;
    - New: Workforce
    - New: Licensing Standards for Relative or Kinship Foster Family Homes
    - Removed: Racial Equity
  - Section 1-3, Program Resources and Implications
    - Updated content to all sections.
  - Appendix 1: Budget File Instructions
  - Appendix 3: Special Grants Initiative

Counties should enlist and must assess, via a cross-systems approach, their needs prior to the development of their NBPB and request only those funds that meet the objectives in the Juvenile Act, CPSL and Human Services Code. Chapters 3130 and 3490 provide detail regarding these objectives and are currently being revised for public comment. DHS is not prescribing what is to be included in this cross-systems assessment but is recognizing that an assessment is a critical component of the plan development process. The statutes and regulations 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 CCYAs are responsible to administer as follows:

- Services designed to keep children and youth 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 childcare facilities for a child or youth in need of care;
- Services designed to reunite children and youth and their families when children and youth are in temporary, substitute placement;
- Services to provide a permanent legally assured family for a child or youth in temporary, substitute care who cannot be returned to his or her own home; and
- Service and care ordered by the court for children and youth who have been adjudicated dependent or delinquent.

55 Pa. Code §3490.53 provides the following:

- The county agency is the sole civil agency responsible for receiving and investigating reports of child abuse except reports of abuse allegedly perpetrated by an agent. The county agency shall investigate allegations of abuse of children and youth residing in facilities operated directly by the Department.
- The county agency shall protect the safety of the subject child and other children and youth in the home or facility and shall provide or arrange appropriate services when necessary, during the investigation period.
- The county agency shall determine the status of reports of suspected child abuse.
- If the county agency concludes that the child or youth is in danger of further child abuse, the county agency shall do the following:
  - Accept the case for service;
  - Provide direct case management; and
  - Monitor the provision of services, whether provided directly by the county agency or through purchase or agreement.
- The county agency shall provide direct case management of services provided to abused children, youth and their families until the county agency is reasonably

assured that the child or youth is no longer in danger of child abuse. The reasons for termination of the county agency involvement shall be recorded in the case record.

Least Restrictive Services/Settings: When the court or parent transfers custody of a child or youth to a CCYA, the agency must determine the most appropriate placement setting that will provide for the safety and treatment needs of the child or youth and locate the least restrictive, most family-like setting best suited to meet the child or youth's needed level of care. The CCYA must first look for appropriate relatives and kin who are able and willing to provide care for a child or youth. If appropriate relatives or kin cannot be located, the child or youth may be placed in a non-relative foster home. Ongoing assessment should occur to continuously evaluate the child's safety and identify when the level of treatment and supervision needed may be provided in a more family-like setting. As with any placement, discharge planning should begin upon the placement occurring to assure that the placement duration is only for the time needed to allow remediation of the factors that led to removal from the family home and implementation of on-going home and community-based services and supports to promote successful and permanent discharge.

In some instances, the special needs or behavioral health of a child or youth may require a more restrictive setting. Community residential, group home, or therapeutic residential placements are options in such cases. The Human Services Code 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.

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 and youth from abuse and neglect;
- To increase the use of in-home services for dependent and delinquent children and youth;
- 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 and youth;
- To reduce the duration of out-of-home placements; and
- To promote adoption of children and youth 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 the foundation of the 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 (IL) skills; and
- **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 treatment needs presented by individual offenders.

In June 2010, the Executive Committee of the Pennsylvania Council of Chief Juvenile Probation Officers and Juvenile Court Judges' Commission (JCJC) established the Juvenile Justice System Enhancement Strategy (JJSES). Their Statement of Purpose reflects their initiative and underlying goals of BARJ.

### **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:

- Employing evidence-based practices, with fidelity, at every stage of the juvenile justice process. An evidence-based program is one that has been rigorously evaluated and shown to work through scientific evaluations including randomized control trials; large studies including diverse populations, multiple replications, and independent researchers; and significant and sustained effects for a minimum of 6 months. The utilization of curriculums that are considered promising practices or best practices may also be employed. "Promising

Practice” is evidence rating on the Model Programs Guide that indicates a program has some evidence that it achieves its intended outcomes. These treatment curriculums do not necessarily have the required dosage and duration and lack the complex evaluation process typically seen in Evidence-Based Practices (EBPs); however, promising practices do offer credible, research-based information on what works to improve the lives of children and families.

- 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. Pennsylvania utilizes the Youth Level of Service (YLS), which is a risk/needs assessment tool specifically designed for adolescents that helps probation officers, youth workers, psychologists, and social workers identify the individual’s needs, strengths, barriers, and incentives to help treatment teams select the most appropriate goals for a youth and to develop an individualized case management plan. 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 to the juvenile’s treatment, supervision, rehabilitation, and welfare.

Upon commitment to a treatment facility, JJSES also emphasizes the importance of family involvement. This is an intervention designed to fit within the existing system that increases family involvement through targeted brochures describing components of a juvenile’s treatment; increased contact with the juvenile’s counselor; and weekly structured calls to maximize the quality of juvenile/parent interactions in hopes of promoting further family engagement and improving healthy communication which may play a large role in the youth successfully transitioning back into the community. In addition, for the youth to be accepted and reintegrated successfully back into the community, appropriate aftercare must be in place. Aftercare is a combination of services, planning, support, and supervision that starts at disposition and continues through placement to support a youth’s return to a community setting. An aftercare plan provides the youth with opportunities to demonstrate their ability to utilize the behavioral skills learned while in care and to apply them as they transition back into the community, which may include continuing education, obtaining employment, reuniting with family, medication management and/or finding independent living settings.



The Office of Children, Youth and Families (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.

The table below shows tentative interim per diem rates that would have been used for planning purposes for FY 2025-26. Calculations to determine the tentative interim rates for FY 2026-27 have not yet been completed, however it is expected that the tentative interim rate for FY 2026-27 will be a minimum of 2% higher than the tentative interim rates already published in OCYF Bulletin #00-24-02 for planning purposes for FY 2025-26.

<b>YDC/YFC Tentative Interim Per Diem Rates FY 2025-2026</b>		
<b>Facility</b>		
	<b>County Share (40%)</b>	<b>State Share (60%)</b>
Youth Forestry Camp #3	\$381.20	\$571.80
Loysville Youth Development Center	\$381.20	\$571.80
North Central Secure Treatment Unit	\$381.20	\$571.80
South Mountain Secure Treatment Unit	\$381.20	\$571.80
Northeast Secure Treatment Unit	\$381.20	\$571.80
Western Secure Treatment Unit	\$381.20	\$571.80
Southeast Youth Development Center	\$381.20	\$571.80
Contracted Facilities	\$381.20	\$571.80

## **DHS PRIORITIES:**

DHS has set several priorities for the upcoming year to improve the quality, effectiveness, and efficiency of the child welfare system for the children, youth, and families of Pennsylvania to achieve the statewide goals established in Section 1. The focus remains on enhancing the quality of services provided which leads to improved child safety, permanency, and well-being outcomes. A county's NBPB is the roadmap for how the county will meet the needs of the children, youth, and families that they serve. By utilizing relevant data, the analysis of practice performance, service levels and service trends, counties identify areas for practice enhancement and strategies for outcome improvement. These priorities were identified by the OCYF through engagement with county administrators, and cross-system partners as imperative to ensuring safety, well-being, and permanency.

## **Workforce**

Across Pennsylvania's 67 counties, more than 3,000 county-employed caseworkers and case supervisors dedicate themselves to ensuring the safety and well-being of the Commonwealth's children, youth, and families. As a county administered child welfare system, CCYAs may contract with private providers for the delivery of services to children and families. These workers in both the public and private sector – in concert

with fiscal and administrative staff supporting their agencies – represent the backbone of the child welfare service delivery system in PA, serving on the frontlines protecting vulnerable children and supporting stronger families.

In June 2024, OCYF released the Caseworker Recruitment and Retention Study report. The report is a culmination of eight months of collaboration across multiple organizations who provided data, insights, feedback into the CCYA workforce recruitment and retention experience. Following a series of monthly steering committees, focus groups, employee surveys, research, interviews and analysis, the report provides 43 recommendations spanning the array of entities and factors that impact CCYAs' success in recruiting and retaining staff. As noted in the study, in PA:

- Between SFY 2017-18 and SFY 2022-23, more than 3,500 CCYA caseworkers (including supervisors) separated from employment. Approximately half of these separations occurred within the first two years of service.
- Of the 878 CCYA caseworkers, supervisors, and administrators hired in SFY 2017-18, more than four of five (81.3 percent) had separated by the end of SFY 2022-23.
- Fewer than 600 new caseworkers were hired in SFY 2022-23; prior to the pandemic, more than 800 caseworkers were hired each year.
- As a result of persistent turnover and reduced hiring, vacancy rates for caseworker positions have nearly tripled between SFY 2017-18 and SFY 2022-23 – with more than a quarter (27.2 percent) of CCYA caseworker positions vacant as of SFY 2022-23.

All of this points to the need for continued focus and efforts to strengthen and stabilize the workforce. Building and sustaining a child welfare workforce with the skills and knowledge necessary is critical to support achievement of safety, permanency and well-being for children and families. Efforts continue to address the recruitment and retention of a qualified workforce. OCYF, in collaboration with PCYA, launched the Child Welfare Recruitment and Retention workgroup in August 2024. The role of the workgroup is to take lead on many of the recommendations identified in the Recruitment and Retention Study that requires cross-collaboration across multiple stakeholders. The workgroup will offer not just an opportunity for counties to share and suggest best practices; it will also provide a statewide view of CCYA successes and challenges. The responsibilities of this group include, but are not limited to:

- Making actionable decisions and developing implementation guidance to improve the state of CCYA recruitment and retention throughout the Commonwealth.
- Having a shared commitment and accountability to advancing identified priorities.
- Reviewing, revising, and drafting policies that affect caseworker and supervisor recruitment and retention.
- Researching case studies, policies, and practices implemented by other states to develop effective programs for Pennsylvania CCYAs.
- Improving the recruitment, retention, and professional development of the child welfare workforce to improve long term outcomes for children and families.
- Measuring and monitoring progress by tracking hiring rates and vacancy rates.

By taking a multi-tiered approach to strengthening the child welfare workforce in PA, the following outcomes are expected to be achieved:

- Improved Child Safety, Permanency and Well-Being
- Improved Service Delivery
- Strengthened Integration of CQI Activities at the County Level
- Federal and State Regulatory Compliance

Counties should be intentional on continuing to build and sustain a competent, trauma-informed and skilled workforce. Counties may request additional funding directed towards advanced recruitment and retention efforts such as enhanced training supports, creating a supportive environment, additional advertising, or staff incentives.

### **Strengthening Service Delivery**

The vision of the OCYF is that all children and youth grow up in a safe, loving nurturing permanent family and community. To this end OCYF views its mission as supporting the provision of quality services and best practices designed to ensure the safety, permanency, and well-being of Pennsylvania's children, youth, and families. Pennsylvania continues to observe a need to improve safety, permanency, and well-being outcomes, as demonstrated through administrative data, federal data indicators, case reviews, licensing inspections and stakeholder feedback. To achieve this improvement, through root cause analysis, it was identified that key components of Pennsylvania's infrastructure need to be strengthened to promote a foundation for strong case practice, that will in turn, lead to better outcomes for children and families in Pennsylvania.

- **Prevention Service Delivery**

Pennsylvania's Practice Model prioritizes ensuring children are safe from abuse and neglect and supporting families within their own homes and communities through comprehensive and accessible services that build on strengths and address individual trauma, needs and concerns. Preventing child maltreatment is the foundation of child welfare. The passage of the Family First Prevention Services Act (FFPSA) provided an opportunity for states to leverage enhanced federal funding to support growth of evidence-based services designed to ultimately prevent the need for children to be placed in out-of-home care. In the 2020-2024 Child and Family Services Plan (CFSP), Pennsylvania focused on its commitment to prevention through implementation of the FFPSA by opting into the Title IV-E Prevention Service Program. One of the objectives toward enacting the states' vision identified in the 2025-2029 CFSP is to enhance the use of community evidence-based programs (EBPs) across Pennsylvania to reduce the number of families requiring child welfare intervention. The expected outcomes of this objective are a reduction in GPS reports received by CCYAs due to improved access to community resources and services; a decrease in the number of children entering out-of-home placement; improved behavioral and emotional functioning for children and their caregivers; and improved workforce retention.

The Special Grants Initiative provides a larger percentage of state financial participation in four categories of prevention services: EBPs, Pennsylvania Promising Practices, Alternatives to Truancy Prevention, and Housing. Prevention services relating to these categories have been identified as areas that can make a significant impact on reducing abuse and neglect and preventing out-of-home placement of children.

Community Pathways support the delivery and planning of EBPs for children, youth and families who do not have an open case with the CCYA but otherwise meet candidacy and eligibility requirements that provide Federal Title IV-E reimbursement of a program approved in Pennsylvania's prevention plan. CCYAs are encouraged to focus on continuing to build and expand the necessary array of prevention services to meet the needs of children and families in their communities and continue to support the workforce in focusing on prevention planning for those children and youth at risk of placement. Efforts to engage families in planning and identify kin through Family Finding efforts should be prioritized prior to placement to prevent the child coming into care and build a support system around the family to bolster success.

- **Trauma-Informed, Healing-Centered Service Delivery**

Trauma exposure can adversely affect a child's emotional responses, cognitive functions, impulse control, self-image, and attachments to caregivers, as well as their relationships with others. Throughout life, these complex traumatic experiences can lead to issues such as addiction, depression, anxiety, and risk-taking behaviors (NCTSN, n.d.-c). These challenges, in turn, increase the risk of chronic illnesses like obesity, diabetes, heart disease, cancer, and stroke (Harvard Women's Health Watch, 2019). Recognizing these long-term impacts is central to Federal and State child abuse prevention policies. Because trauma is not limited in its effects on the child, it's essential to understand how trauma affects the whole family. A healing-centered state transforms its policies and internal systems and supports all external public and private organizations across the state to recognize, understand, and address the effects of trauma on individuals, families, and communities. CCYAs should continue to evaluate whether costs related to enhancing a trauma-informed care culture, policies, and practices at the county or provider level, will impact their anticipated costs.

- **Identification and Expansion of Service Array to address Complex Behavioral and Physical Health Needs**

The children, youth and families being served by the child welfare and juvenile probation systems in Pennsylvania face multiple, often inter-connected, challenges in their daily lives and many are served across multiple program offices within counties. Many children and youth have been exposed to multiple adverse events and experience trauma beyond that resulting from abuse or neglect. Findings from the Adverse Childhood Experiences (ACEs) study provides strong evidence for a connection between the number of ACEs and

increased risk for numerous physical, mental, and behavioral health issues, making appropriate treatment and intervention in childhood critical to successful health and well-being in adulthood. The collaboration between child welfare, juvenile probation, mental health, drug and alcohol, intellectual disability services, early childhood care and education, managed care organizations, specially trained child abuse pediatricians as well as other physical and behavioral health care providers is essential in identifying the level of need that exists, assessing the existing array of services, developing and implementing a plan to address gaps and barriers in obtaining services to meet the complex needs of our children, youth and families. Counties should review, in collaboration with their child serving system partners, the needs of the children and youth entering care in which the identifying placement and permanency option have been challenging. Utilizing this assessment in a planful manner to meet the level of need and address the barriers to permanence for these children and youth with complex needs. Counties should consider resources needed for addressing emergency placements, for example, enhanced provider rates, funding increased provider staffing, and county staff overtime costs. In addition to resources needed for addressing immediate challenges, the county team should look toward program development with providers for prevention, placement and reunification supports.

- **Taking a Multi-Disciplinary Approach Against Substance Use Disorders**

Addressing the substance use disorder challenges in Pennsylvania requires access to robust, well-resourced, and evidence-based prevention programs, that allow all Pennsylvanians struggling with substance use disorders to get the level and duration of treatment and recovery supports they need to live a healthy and productive life. This requires multi-disciplinary initiatives to effectively combat substance use disorders and the loss of life by drug overdose in the commonwealth. The most recent data from the Adoption and Foster Care Reporting System (AFCARS) shows that as of September 30, 2022, 34.6% of all removals of children from the home were linked, at least in part, to parental substance use disorders which highlights the negative impacts drug and alcohol use has on children, youth, families, and communities. Further, 2023 data available through the Child Welfare Information System (CWIS) shows that of the 90,317 valid general protective services (GPS) concerns/allegations associated with the 39,194 overall valid GPS referrals received, 16,338 valid GPS allegations were related to caregiver substance use disorders and 1,539 were related to child substance use disorders. Additionally, also within the 39,194 overall valid GPS referrals received in 2023 there were 424 valid allegations related to children under one year of age who had withdrawal symptoms or were born affected by drug exposure and three valid allegations related to children under one year of age identified as having Fetal Alcohol Spectrum Disorder (FASD). While the totals were observed amongst all GPS referrals received in 2023 with an overall outcome of valid, since October of 2020 OCYF has also tracked Substance Affected Infant (SAI) notifications made to ChildLine. When

ChildLine receives a report of a substance affected infant from a health care provider, they classify those referrals as either a General Protective Services (GPS) referral or an Information Only type referral, depending on the substance notification type, as well as any other concerns which may be disclosed during the call that may or may not be related to the concerns for the substance affected infant. In 2023, there were 738 total referrals reported to ChildLine which contained Substance Affected Infant Notifications. Of those 738 referrals, 456 were classified as GPS referrals and 282 were classified as Information Only type referrals. Of the 456 referrals that were classified as GPS, 396 had outcomes which had an overall outcome determination of valid. Those valid GPS referrals would be included in the 39,194 valid GPS referrals referenced previously in this paragraph, though the valid allegations within these SAI Notifications may not have only been allegations involving children under one year of age who had withdrawal symptoms or who were born affected by drug exposure, or children under one year of age identified as having Fetal Alcohol Spectrum Disorder (FASD).

Counties should consider enhancing their data collection and analysis to aid in these efforts. Furthermore, counties may consider the use of evidence-based screening tools and subsequent referral to quality assessments to ensure that individuals are connected to the clinically appropriate treatment and recovery supports they need to enter and remain in recovery. Counties should also look at opportunities to support substance affected infants and their families using Plans of Safe Care when appropriate.

Given the number of children removed from their homes due to parental substance abuse in Pennsylvania, counties should also explore opportunities to develop evidence-based programs in their communities that have been demonstrated to improve safety and well-being for children whose families are impacted by substance use. As Pennsylvania seeks to potentially expand the programs covered under Pennsylvania's Title IV-E Prevention Services Plan in the future, establishing a more robust array of programs in Pennsylvania targeted towards substance use rated as "well supported" on the Title IV-E Prevention Services Clearinghouse will help better position Pennsylvania to be able to explore use of Federal funding to support and expand this kind of programming in the future.

- **Identifying and Serving Children and Youth Victims of Human Trafficking**  
The provisions of Act 115 of 2016, in conjunction with Act 105 of 2014 and the federal Preventing Sex Trafficking and Strengthening Families Act and Justice for Victims of Trafficking Act of 2013, require CCYAs to develop policies and procedures for identifying, documenting, and determining appropriate services for children and youth who are or are at risk of becoming victims of human trafficking and are under CCYA supervision. Requirements apply to any child/youth under the age of 21 known to the CCYA, including, but not limited to, children and youth

under dependency court jurisdiction or CCYA supervision; receiving IL services; who have run away from placement; or receiving services from the CCYA.

CCYAs must:

- Identify, screen, and assess possible child or youth victims of human trafficking (sex and labor trafficking);
- Ensure the availability of child-centered, trauma-focused services and protections for trafficked children and youth (including those provided under Act 130 of 2018);
- Coordinate investigations with law enforcement agencies and service providers using Multi-Disciplinary Investigative Teams (MDIT)/Child Advocacy Centers (CAC) where available;
- Implement steps for expeditiously locating any child or youth missing from placement (including screening and assessing);
- Determine the child or youth's experience while absent from care; and
- Determine the primary factors that contributed to the child or youth running away.

CCYAs must use the information gathered from the screening tool and guidance from the OCYF Bulletin #3130-19-04 Serving Child Victims of Human Trafficking in Pennsylvania to determine if an assessment and/or services are warranted.

CCYAs are required to ensure appropriate documentation is completed for any child or youth who is or was missing or abducted, and report annually to DHS the total number of trafficking victims.

CCYAs are encouraged to have a comprehensive multidisciplinary team in place so that they can work with public health and community-based organizations to meet the various emergency, medium-term, and long-term needs of an individual experiencing trafficking and their family members. Additionally, CCYAs are encouraged to reach out to their OCYF regional representatives or OCYF Policy staff with questions related to human trafficking or for technical assistance services.

### **Licensing Standards for Relative or Kinship Foster Family Homes**

On September 28, 2023, the Children's Bureau, Administration for Children and Families (ACF) issued a final rule amending regulations to allow states to claim Title IV-E foster care maintenance payments on behalf of an otherwise eligible child who is placed in a relative or kinship licensed or approved foster family home when the agency uses different licensing standards for relative or kinship foster family homes and non-relative/non-kinship foster family homes. Prior to the publication of this new rule, federal regulations required the same licensing standards for both kin and non-kin caregivers, disregarding the unique needs of kinship homes.

This new rule encourages states to develop separate kinship-specific licensing standards that place as few burdens on relative and kinship families as possible, limited to federal requirements only, such as the safety requirements in sections 471(a)(10)(A) and (a)(20) of the Social Security Act.

In consultation with the DHS Office of General Counsel, DHS Office of Legislative Affairs, and the DHS Executive Policy Office it was determined that a legislative amendment would be required to allow for implementation of separate kinship-specific licensing standards in Pennsylvania. OCYF continues to work closely with DHS Executive Offices, on the process to introduce a legislative amendment and intends to share the proposed standards for comment and feedback from community partners when available.

### **Increasing Data Quality**

Child Welfare administration continues to be an integral part of how federal and state authorities measure the protections and services being rendered to the children and youth served by DHS and our county partners.

High quality data provides many benefits, including but not limited to:

- Having the ability to “tell the story” of a child and their family
- Addressing safety, permanency and well-being
- Allowing agencies to assess service needs and effectiveness for individuals, families and communities
- Allowing agencies to accurately forecast financial and resource needs
- Promoting evidence-based decision making
- Allowing individuals, teams and agencies to operate more efficiently, effectively and economically
- Ensuring agency success by allowing the agency to maintain, and if not exceed, necessary federal compliance requirements

Conversely, poor data quality provides several challenges including, but are not limited to;

- Delayed entry resulting in missing or inaccurate information due to lapsed memory
- Barriers or delays in accessing necessary services
- Fiscal implications to existing funding sources
- Inaccurate reporting
- Inability to produce critical data in an efficient or effective manner
- Increase time and effort needed by staff in researching/correcting data

DHS has identified several areas in which data quality efforts by both OCYF and CCYA's will be most critical.



- **AFCARS Improvement**

To comply with the AFCARS Final Rule which went into effect on 10/01/2022 and to also address concerns in Pennsylvania's prior AFCARS Improvement Plan, a new means of collection of AFCARS data was implemented. This new process was intended to ensure AFCARS data compliance with the Final Rule, while also reducing existing manual efforts, increasing the ability to have a real time data of youth in care, collecting data representative of what is in the county case management systems, and allowing errors to be managed on a more real-time basis. Since the implementation of the new system, both counties and OCYF have been experiencing a multitude of challenges related to data quality. These issues are having significant impact on the quality of AFCARS data, resulting not only in limitations in our ability to accurately produce information about youth in care, but also leading to federal non-compliance for all AFCARS final rule submissions made to date.

To correct these issues, CCYAs should:

- Ensure appropriate staff resources are allocated to review and address AFCARS errors.
- Make efforts to ensure that AFCARS information is being entered timely and accurately into the county case management systems.
- Leverage the AFCARS File Report in the AFCARS Phase One Solution to regularly review the county AFCARS population and data to ensure the populations and data reflected in the report are consistent with the county's expectations.
  - If issues are found, they should be communicated to the county system owner as well as the OCYF AFCARS Team.
  - Address county system and/or operational issues identified as contributing to AFCARS data quality issues as quickly as possible.
  - Leverage the error reports sent weekly through SeGov, as well as the AFCARS Front End Solution to track errors and ensure all errors in need of correction are corrected in a timely manner.
  - Ensure that AFCARS information is being captured timely and accurately in the county case management system and sent in the data file generated by the county case management system in a manner which aligns with the most current version of the AFCARS Technical Bulletins, as well as in the format required by OCYF.
    - This includes making sure the county systems are capturing all AFCARS elements, and that the county systems are not incorrectly assigning or defaulting fields and/or values leveraged for AFCARS.
  - Verify that correct and complete demographic information (including the Master Client Index number) is entered into the county case management system and provided to OCYF for youth in the AFCARS population.

- Secure county system training as needed for staff managing AFCARS information and submissions.
- Ensure the county case management systems are incorporating logic to prevent problem data from being entered in the first place to the greatest extent possible.
- Ensure the county case management systems are providing counties with a means of proactively identifying potential issues with AFCARS data prior to it being sent to the OCYF AFCARS System.
  - This may include, but is not limited to, proactively identifying potential problems or errors impacting data so they can be corrected prior to being sent to OCYF and giving county staff the ability to review the data to ensure correctness prior to it being sent to OCYF.
- **Data Quality Efforts for the future Child Welfare Case Management (CW CM) System**

As DHS and CCYAs move towards development of the statewide Child Welfare Case Management system, there will be a need for both DHS and the CCYAs alike to ensure the best possible data quality of the data which currently resides in IT systems which will be replaced by the CW CM effort. While as part of the CW CM effort, DHS has recognized the importance of forming workgroups to focus on data quality, data cleanup, conversion and data governance, it is critical that steps be taken prior to the convening of those workgroups to regularly monitor data for the purpose of identifying, tracking, and correcting issues which currently exist that negatively impacting data quality. Counties should also work with their county case management system owners to ensure corrective measures are taken to the greatest extent possible to prevent incorrect data entry, especially for data collected for federal and state reporting. Counties should be establishing data quality assurance guidelines/standards for county staff. Additionally, counties should ensure that contracts they hold with providers who may be contributing to key data contain language that holds those providers accountable to standards for entry of timely and high-quality data. Counties who have not already done so are encouraged to develop a mechanism of tracking identified data quality issues which provides an explanation of the problem and makes note of any actions needed or projected timelines for correction of these issues so they will have this tool available not only for their own data quality efforts needed to proactively address problem data to the greatest extent possible now, but also to provide updates to DHS as-needed for data quality issues impacting state and federal data, and to leverage as needed for the future CW CM data efforts.
- **Safely Reducing the Number of Children and Youth in Out-of-Home Care**

DHS continues to prioritize efforts to reduce the number of children and youth who experience placement in out-of-home care. Examples of such efforts

include implementation of the Family First Prevention Services Act and the Family Engagement Initiative (FEI) which is being led by our court partners within the Administrative Office of Pennsylvania Courts (AOPC). Recognizing that great strides have been made to reduce utilization of out-of-home care, additional efforts are needed with attention toward safely increasing the use of appropriate kin and foster family care.

Data from AFCARS show that we have seen a decrease in out-of-home placements from September 2021 to September 2022; the number of children and youth in out-of-home placements was 33.66% lower in September 2022 than it was in September 2018. The percentage of youth placed in congregate care remains lower now than it was four years ago; 19.84% in September 2018 to 11.31% in September 2022.

**NOTE.** Final data for FFY 2023 and 2024 is not yet available, as the AFCARS data for that FFY is still in the process of being finalized and resubmitted to Administration for Children and Families. As data packages for counties become available, OCYF will notify the county AFCARS contacts of their availability, in accordance with the existing AFCARS process. While 2023A-2024B are not yet considered finalized, OCYF is attempting to create temporary data packages covering 2023B-2024B report periods to provide to the county AFCARS contacts so counties will have something to use for the Needs Based Plan and Budget process until all four report periods are able to be finalized, and the formal versions of the packages are able to be issued.

A review of recent data shows a decrease in entries into foster care; there were 694 fewer entries in Federal Fiscal Year (FFY) 2022 than in FFY 2021. The top five reasons for first-time entries into placement, as coded in AFCARS, continue to be neglect, drug abuse by the parent, child's behavior problem, parent's inability to cope, and inadequate housing.

When determining strategies to safely reduce the number of children and youth in out-of-home care, counties must also review their exits to permanency and re-entry data in addition to reducing the number of entries into foster care. When conducting analysis of the AFCARS data, counties will need to consider leveraging data from their county case management systems related to youth in out-of-home care for the timeframe of 10/01/2022 – 09/30/2023, as the statewide AFCARS data for these report periods is still in the process of being finalized, and therefore data packages are not yet available beyond the report period ending 09/30/2022.

There were 304 fewer exits from foster care in FFY 2022 compared to FFY 2021. Data for FFY 2023 is not yet available. This indicates that children may be lingering in foster care. Counties should identify if this is an accurate assumption based on their individual data and through case reviews. If accurate, the

development or modification of existing program improvement strategies may need to be considered.

Strategies to safely reduce the number of children in out-of-home care must include post-discharge after-care services to ensure the ongoing safety and stability in the family and reduce the risk of re-entry. Without adequate and timely transition planning to ensure after-care services are available and provided to children, youth and families, the number of children and youth returning to care continues to be higher in Pennsylvania than across the rest of the nation. The top five reasons for re-entry are the same reasons children and youth enter care for the first time: neglect, drug abuse by the parent, child's behavior problem, parent's inability to cope, and inadequate housing. The selection of prevention and after-care services must be based on the specific needs of the children, youth and families being served with such needs being related to, but beyond, the immediate reason the child entered care.

When comparing AFCARS data from the last reporting period of FFY 2019 to the last reporting period of FFY 2020, based on the CFSR round three syntax, the statewide re-entry rate decreased from 10.44% to 9.12%; however, the national performance standard is 8.3%.

Concerted efforts must be made to safely reduce the number of re-entries in Pennsylvania. Like the prior year, CCYAs with a re-entry rate above the national performance standard will be asked to develop a plan/provide an update on their plan with consideration given to:

- Are there any distinctions in age, gender, race, disabilities, etc.
- Are there differences in family structure, family constellation or other family system variables.
- Are there difference in the services and supports provided to the child/youth family, foster family or placement facility.
- Are there differences in the removal reasons for entry into placement; and are there differences in the initial placement type.

For already established programs, CCYAs are asked to demonstrate how the program has improved children, youth, and family outcomes to support continued use of those programs.

CCYAs who addressed safe re-entry as one of their program strategies in Section 2-4 in last year's budget submission will need to address the impact of the strategy.

OCYF will continue to work with CCYAs 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 and youth entrusted to our care.

### **Prevention of Child Fatality/Near Fatality Incidents**

Reviewing the circumstances surrounding child fatalities and near fatalities where suspected child abuse or neglect may have occurred is a key part of Pennsylvania's overall strategy for reducing preventable child deaths. These reviews, required by Act 33 of 2008, occur on two levels: first by a county-convened review team, and then through a departmental review process. County reviews are not required for those cases in which the report of suspected child abuse or neglect is unsubstantiated within 30 days; however, the Department is responsible for conducting the second level of review regardless of status determination, meaning both indicated and unfounded cases will be reviewed.

CCYAs should review the data and information available regarding child abuse fatalities and near fatalities in their county, with an intentional focus on understanding the dynamics involved in any fatalities or near fatalities that involved children or youth active with, or previously served by, the CCYA.

### **Civil Rights Training and Compliance**

In March 2023, the federal Department of Health and Human Services, Office of Civil Rights (OCR) identified systemic deficiencies in DHS's oversight of CCYAs policies, practices, and procedures to prevent discrimination against individuals with disabilities served by Pennsylvania's child welfare system. These deficiencies resulted in DHS entering a Voluntary Resolution Agreement (VRA) with OCR. In 2023 and 2024, OCYF issued three Special Transmittals which provide guidance on the steps necessary for CCYAs to comply with the VRA:

- *Voluntary Resolution Agreement Requirements-Notices of Nondiscrimination and Grievance Procedure,*
- *Voluntary Resolution Agreement Requirements – Nondiscrimination Policy and Procedure, and*
- *Voluntary Resolution Agreement Requirements-Training and Attestation.*

The VRA concludes on July 31, 2025. DHS remains committed to improving policies and practices related to Civil Rights compliance. It is essential that counties are invested in ensuring Civil Rights compliance. OCYF encourages CCYAs to continue to provide the training, developed for VRA compliance, Supporting Children and Families with Disabilities to all staff on an annual basis and the DHS Bureau of Equal Opportunity's Civil Rights Training.

To ensure CCYA's have the resources needed to make reasonable accommodations for individuals with disabilities they may submit adjustments related to additional costs associated with complying with Title II of American with Disabilities Act and Section 504 of the Rehabilitation Act of 1973. Some examples of costs that may be associated with the activities required of CCYAs include printing of brochures, pamphlets, posters, etc. which contain the revised non-discrimination policies or costs associated or potential IT system changes to assist CCYAs in gathering information on the types of accommodations or modifications requested by individuals with disabilities.

### **BASIC PLAN/BUDGET:**

The submission consists of six parts: Budget Narrative, Budget Excel file, Grant Excel file, Expenditure Narrative (if applicable), General Indicator File, and the Information Technology (IT) Excel file.

➡ **NOTE:** Be sure to select “Enable Macros” for all files.

The instructions detail the required data points and narrative pieces that the county must provide to support its budget request. The Budget Narrative Template, General Indicator Excel file, and Data Package (distributed to counties the month following the finalization of the AFCARS data for each AFCARS report period) 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 its CCYA and JPO.

Counties should treat the Budget Narrative and General Indicator Excel file as complementary. Data from the General Indicator Excel file should inform the Budget Narrative and any data issues should be discussed in the narrative.

To develop the budget request, counties must follow a sequence of steps. The automated Budget Excel file is designed to allow the plan reviewer to identify specific service needs and associated costs. The workbook uses the most recent Act 148 invoice as a base expenditure. CCYAs are required to use their fourth quarter invoice in the actual year. DHS 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, they must justify these changes in an Expenditure Adjustment request. Instructions to complete these tabs in the Budget Excel file are included in Appendix One. Revenue adjustments should be made on the *Summary of Adjust* tabs of the Budget Excel file.

There are six classified categories of Expenditure Adjustments:

- M - Maintaining Existing Service;
- A - Annualization;
- U - Utilization Increase/Decrease;
- N - New Program/Service;
- F - Fixed Asset (not associated with any other Adjustment); and
- G - Grant Pick-up

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. All text *must* be in either 11-point Arial or 12-point Times New Roman font and all margins (bottom, top, left, and right) *must* be 1 inch.

Forms and instructions for completing the submission are provided later in this bulletin. All information and budget data are to be submitted in the Budget Narrative, Expenditure Narrative, Budget Excel file, General Indicator File, Grant Budget Excel file, Grant Narrative Excel File and IT Excel file. Attachments may be accepted if they are referenced in the narrative.

<b>Guide to bullets:</b>	
➤	Redirects to an Excel file or the Narrative template.
□	Specific questions for the county to answer
•	Misc. list items
↪	FYI sidebar

### **ELECTRONIC SUBMISSION:**

CCYAs are required to submit the NBPB package electronically. The completed Budget Narrative and General Indicator file must be submitted by uploading to the counties DocuShare Send Secure Submissions NBPB folder by **August 15, 2025**. The Budget Excel, Grant Excel, and IT Excel files must be uploaded to DocuShare by **September 1, 2025**. 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.

CCYAs that have trouble meeting the deadlines identified above due to extenuating circumstances must contact their Regional Office 15-calendar days prior to the deadline to request a 15-calendar day extension. Extensions will not be granted beyond September 16, 2025. Failure to meet established deadlines for the Needs-Based Plan and Budget submission may lead the department to make recommendations to the budget based on the limited information we may or may not have and may result in licensing actions being taken.

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

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

CCYAs will need to rename the eight main budget files that are submitted via DocuShare using the below naming convention:

NBB + County Code [2digits [01-67]] + Underscore [\_] + Needs-Based Year [xx-xx] + Underscore [\_] + the Abbreviated File Name Provided (If applicable)

Example:

Under this naming convention, Adams County would rename their Budget Excel file: NBB01\_26-27.xlsm

Adams County will rename their General Indicator Excel file:

NBB01\_26-27\_GI.xlsm

Any additional documents the county chooses to provide, beyond those required for submission, can be submitted using the same naming convention including an abbreviated file name.

Example:

Adams County chooses to submit a new staff roster. The naming convention would be:

NBB01\_26-27\_staff roster.doc

Any problems or questions about DocuShare should be directed to Heather Doyle at [c-hdoyle@pa.gov](mailto:c-hdoyle@pa.gov)

The Assurance of Compliance/Participation 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 CCYA Administrator, and the County Chief Juvenile Probation Officer and submitted with the Excel files of the FY 2026-27 NBPB submission.

The Assurance of Compliance/Participation Form has two signatory pages. The first page is for the County Human Services Director, the CCYA Administrator, the County Chief Juvenile Probation Officer, and the Juvenile Court Judge(s) or his/her designee. One signed electronic copy of this page must be submitted at the time of the county's needs-based plan submission. One signed electronic 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. Submit **signed electronic copies** via the Send Secure Submissions folders on DocuShare.

The CWIS Data Sharing Agreement is to be entered into at the agency level by OCYF, the county solicitor and CCYA administrator and, where appropriate, one or more county commissioner. The annual renewal of the agreement occurs along with, and should be submitted as, part of the submission of, the county's annual NBPB. The period covered by the agreement will be from October 1st of each year to September 30th of the subsequent year. Submit **signed electronic copies** via the Send Secure Submissions folders on DocuShare.

The Evidence Based Programs Data Acceptance Acknowledgment, and Certification Agreement is to be entered into at the agency level by OCYF and a county official duly authorized to approve the agreement on behalf of the CCYA. The annual renewal of this agreement occurs along with and should be submitted as part of the county's annual NBPB submission. Submit **signed electronic copies** via Send Secure Submission folders on DocuShare.

### **OCYF PLAN REVIEW:**

The plan will be reviewed by OCYF per the plan review criteria described in 55 Pa. Code § 3140.17. OCYF staff may request verbally or in writing that the CCYA and/or 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 business 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, which is to submit mathematically correct budget forms, respond to a request for additional information within the 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 DHS 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.

Timely submission of the budget documents is critical. Delays in submission limit OCYF's review period thereby limiting the county's opportunity to provide additional justification that reviewers feel is needed to support and advocate for the request. Furthermore, untimely submissions may be considered when settling NBPB allocation appeals.

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 CCYAs 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: 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.

### 1-1: 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 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.

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

### 1-2: Determination of Need through Collaborative Efforts

Collaboration between all parties within the county is essential to identifying the service needs of children, youth and families and developing an appropriate array of supports. 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, youth, 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. These entities must also be representative of the County Data Analysis Team as identified in the section titled "Program Improvement Strategies":

- JPO staff;
- Juvenile court and family court Judges;
- Family members and youth, especially those who are or have received services;
- Children and youth, parent, and family advocates;
- Legal counsel for parents and children and youth;
- Mental Health service system;
- Intellectual and Developmental Disabilities service system;
- Drug and alcohol service system;
- Early childcare and education, including early intervention;
- Local education system;
- Public Housing Agency and other community housing organizations;
- Community organizations which provide additional support and services to children, youth, and families;
- Law enforcement;
- Health care providers; and

- Current service providers.

While all the stakeholder entities play a critical role in helping to meet the needs of the children, youth, and families of the county, through the Narrative Template the county will be required to provide specific detail related to engagement of contracted service providers and the courts. Current service providers must be actively engaged in the county's process of determining need and service levels. These discussions will lead to identification of resource needs, including those associated with the increased/decreased "cost of doing business", i.e., rising/decreasing benefit costs, increased/decreased overtime costs, etc. In addition, the active engagement of the courts in the planning process can assist in identifying strengths and gaps in service arrays and corresponding resource needs that will lead to improved permanency outcomes for the children and youth being served.

➤ **See *Collaboration Efforts* in the Narrative Template.**

### **1-3: Program and Resource Implications**

The following initiatives are ones that OCYF has determined may have a newly created or continued impact on county programs. It is not an all-inclusive list and does not negate any prior initiatives that may have been included or that require county compliance. 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 results in a request for additional resources by identifying and addressing the initiative within the applicable ADJUSTMENT TO EXPENDITURE request.**

#### 1-3a. Child and Family Services Review (CFSR)

The CFSR is a collaborative effort between the Administration for Children and Families (ACF) and states to help ensure that quality services are provided to children, youth, and families served through state child welfare systems. The United States Department of Health and Human Services (HHS) is required to administer the reviews under Section 1123A of the Social Security Act (SSA), 42 U.S.C. § 1320a-2a, to determine whether state child and family services programs are in substantial conformity with state plan requirements set forth in Titles IV-B and IV-E of the SSA and implementation of state programs related to child protection, foster care, adoption, family preservation and family support, and independent living services. The CFSR provides an opportunity to examine state program and practices to identify strengths and challenges, focusing on outcomes related to safety, permanency, and well-being.

Through the CFSR, states are assessed on the following safety, permanency, and well-being outcomes:

- 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 situations;
- Permanency Outcome 2: The continuity of 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; and
- Well-Being Outcome 3: Children receive adequate services to meet their physical and mental health needs.

In addition to the seven safety, permanency and well-being outcomes, states are also evaluated on seven systematic factors which have the capacity, if well-functioning, to promote positive outcomes for children, youth, and families. The seven systemic factors are:

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

Pennsylvania's CFSR Round 4 onsite review is scheduled to occur in 2026. Planning and preparation for Round 4 is already underway. As in previous CFSRs, OCYF intends to have a state led case review process, however final approval will come from ACF. After the onsite review, any state determined not to be in substantial conformity with one or more of the seven outcomes or seven systemic factors a Program Improvement Plan (PIP) must be developed and implemented to address identified areas of nonconformity. If the state is unable to demonstrate the agreed-upon improvement, ACF will issue a financial penalty against a portion of the state's Title IV-B and IV-E federal child welfare funds.

All counties should be familiar with the CFSR safety, permanency, and well-being outcomes, systemic factors, and monitor local performance in these areas. Additional information about the CFSR is available online through the CFSR Portal at

[www.cfsrportal.acf.hhs.gov](http://www.cfsrportal.acf.hhs.gov)

### 1-3b. Workforce

Recruitment and retention of staff is a significant challenge facing child welfare systems across the nation. Staff turnover remains an issue in many CCYAs, as well as with service providers, which is affecting services provided or available to children and families. Higher caseworker turnover is associated with higher costs to children and families in the form of poorer outcomes, and higher financial costs to communities in the form of increased expenditures for service delivery.

There are several drivers contributing CCYAs employees' reason for leaving the agency. Results of employee surveys conducted through the 2024 Caseworker

Recruitment and Retention Study with 10 participating CCYAs found that compensation emerged as the most influential factor in determining whether to remain with their current agency, followed closely by factors related to supervision, working conditions, and organization culture.

There is no “one size fits all” approach to solving CCYA employee recruitment and retention challenges, with each CCYA having its own set of unique experiences and needs. CCYAs should conduct a comprehensive analysis of their county’s workforce needs to develop a strategic plan that addresses employee recruitment, retention as well as succession of management and leadership roles. Agencies should focus their analysis both on the employee’s reasons for leaving and reasons for staying. Stay interviews are one-on-one interviews that provide an opportunity to build trust with employees and can identify the positive aspects of employment, as well as the negative aspects. Caseworkers who connect with the mission of protecting children and strengthening families, feel they’re a good fit in their agency, and have a personal and professional investment may choose to stay despite the increased demands and challenges they face. The CCYA plays a significant role in these areas. They can enhance the connection to the mission of the agency, assign staff to positions based on their strengths (e.g., intake positions may better suit someone with strong assessment and quick decision-making skills and a preference for crisis and short-term interventions), and fill supervisory roles by selecting people suitable for the responsibilities of supervision.

The CCYA should also evaluate the culture of their agency and the impact this may have on retention. When CCYAs practice a safety culture that promotes values, attitudes and behaviors that encourage accountability, open communication, enhanced knowledge, and continuous quality improvement, it allows for safe and open communication to identify and address risks. A safety culture can improve morale, result in less turnover, and improve the reliability and effectiveness of operations. Shared decision-making and teamwork, as well as implementing non-punitive approaches, enhance trust and support within the agency.

While salaries are not the primary reason a caseworker accepts a position, they have been identified as a major contributing factor to our child welfare retention issue. The United States Department of Labor’s Bureau of Labor Statistics maintains Occupational Employment Statistics which cite the national mean annual wage in 2024 for Child, Family and School Social Workers as \$62,920 (6.3% greater than 2023) and Pennsylvania’s mean annual wage as \$55,190 (2.46% greater than 2023).

As the most vital resource of our system, understanding the people who serve that system is the first step in addressing concerns surrounding retention. The University of Pittsburgh’s Child Welfare Resource Center (CWRC) utilized data collected through NBPB to provide a statewide and county specific snapshot of the summary statistics of the population flow of county caseworkers and county caseworker positions. CCYA’s are encouraged to utilize their county-specific data provided by CWRC to support their efforts to stabilize the workforce.



➤ **See *Workforce* in the Narrative Template**

**1-3c. Service Array**

Service array has been previously identified as a systemic challenge, specifically, the lack of available and accessible transportation, housing, and substance use disorder prevention and treatment services. In addition, counties identified through their FY 2025-26 NBPB submissions areas in which challenges exist to provide and maintain a service array to fully meet the identified needs of the county: structured assessment of need of children and families; resource family supports; mental health treatment for children and adults, truancy prevention and intervention; program resources to meet complex needs of the children, youth and families being served; and collaborative teaming.

There are statewide resources available to assist in review and expansion of service availability. PA 2-1-1, a statewide collaborative for health and human service information for Pennsylvanians, is a free service available to anyone to connect individuals to customized health, housing, and human services information. Individuals can utilize the three-digit telephone number for personal assistance connecting to available services or visit the website at: <https://www.uwp.org/programs/2-1-1/>. The statewide database continues to expand as human service providers add their information to this valuable tool. Users accessing the website can search for human services by keyword, agency name, or by county.

In addition, KinConnector is another statewide effort coordinated with PA 2-1-1 to link families caring for kin with resources to meet their needs. Any kinship family can utilize this program; it is not specific to those families involved with child welfare. Families can self-refer when in need of assistance by contacting the toll-free helpline at 1-866-546-2111 to speak with a KinConnector and visit the website, [Home | Kinconnector.org](https://www.kinconnector.org) for additional resources and information.

Statewide and county focused prevention strategies and efforts should address service array gaps. CCYAs should be creative when developing their own strategies. Collaborative efforts with other human services partners within the county should occur to address the unique service needs of their children, youth, and families. CCYAs should consider the following questions when assessing systemic factors related to service array:

- What services exist to assess the strengths and needs of children and families?
- What services exist to address the needs of families—in addition to individual children—to create a safe home environment?
- What services exist to provide to enable children to remain safely with their parents when reasonable?
- What services exist to provide to help children in foster and adoptive placements achieve permanency?
- What are the differences in service availability and accessibility for populations, particularly those that experience poorer outcomes?

- To what extent were there waitlists for services? Which services had waitlists, if any? How long were/are the waiting times for services?
- To what extent are services individualized to meet the unique needs of children and families served by the agency?
- To what extent are the services developmentally and/or culturally appropriate (including linguistically competent)?
- What tribal populations are represented in your jurisdiction?
- Describe the racial and ethnic composition within your jurisdiction (including tribal representation when applicable) for children and families served.
- What are the disability and special needs characteristics of the children and families served in your jurisdiction? Are these services responsive to the needs of children and families served?

Inviting and partnering with the entities as outlined in section 1-2 Determining the Need through Collaborative Efforts will assist in identifying service level need as well as funding options available.

➤ **See *Service Array* in the Narrative Template**

1-3d. Continuous Quality Improvement

Provision of quality services is supported through utilization of a CQI process which helps to identify, describe, and analyze strengths and challenges and then test, implement, learn from, and revise solutions. At the state level, OCYF has been working with technical assistance providers to support statewide implementation of CQI. Counties should consider the benefits of CQI and are encouraged to request funds to enhance CQI practices to help improve quality assurance efforts within the agency. This could include but not limited to, staffing capacity and resources to support CQI practices.

➤ **See *Continuous Quality Improvement Questions* in the Narrative Template**

1-3e. Adoption and Foster Care Analysis and Reporting System Final Rule

HHS is statutorily required to have a regulated national data collection system that provides comprehensive demographic and case-specific information on all children and youth who are in foster care and adopted with Title IV-E agency involvement (Section 479 of the SSA). The current regulations no longer fully support HHS's current data needs to understand a child or youth's entire experience in foster care. These regulations were updated to:

- 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 federal funding for Subsidized Permanent Legal Custodianship (SPLC);
- Implement the statutory authority to assess penalties for noncompliant data submissions; and

- 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.

The AFCARS Final Rule was published on May 12, 2020 with an effective date October 1, 2022. States began collecting AFCARS in compliance with the Final Rule on October 1, 2022, with the first six-month file utilizing the new collection method submitted to ACF May 15, 2023. In response to challenges with data reported in the submissions made since implementation of the final rule, another resubmission of report periods 23A-24B is being planned for February of 2025. Additional data quality concerns shared by ACF are also being researched further by OCYF. OCYF will continue to share data quality matters which need to be addressed with county AFCARS contacts as they are identified as it pertains to both individual county or county system challenges, and/or larger concerns which may impact multiple counties and/or county systems. Issues with the AFCARS data have also impacted federal reporting as it pertains to caseworker visitation, as the data used for these submissions are now part of the AFCARS File.

In February of 2024, states were made aware of a proposal to further amend the AFCARS Final Rule to require state title IV-E agencies to collect and report additional data elements related to the procedural protections of the Indian Child Welfare Act of 1978 (ICWA). This final rule update was finalized and published to the Federal Register on December 5, 2024, and is effective on February 3, 2025, save for the amendments made to § 1355.44, which are effective as of October 1, 2028, and provide states with three fiscal years to achieve compliance with the revisions to include the new data elements introduced as part of this revision.

### ***Key Provisions of the May 2020 Final Rule***

The final rule focused on the following four areas to enhance comprehensive data collection:

#### **Reporting Populations:**

- The out-of-home care reporting population includes a child or youth of any age who is in foster care or who has run away or whose whereabouts are unknown at the time the Title IV-E agency becomes responsible for the child or youth. Once the child or youth 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 or youth ends. This is very similar to current AFCARS practice.
- The adoption and SPLC reporting population include any child or youth who is in a finalized adoption under a Title IV-E adoption assistance agreement and any child or youth who is in a legal guardianship under a Title IV-E SPLC agreement. Agencies continue to report a child or youth 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 or youth is reported only in the reporting period during which the adoption or legal guardianship was finalized

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 does not 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 or youth demographics, adoption/guardianship finalization date, placing agency, number of siblings, etc.

Data Elements: The final rule keeps (and in some instances revises) many data elements currently in AFCARS and adds new data elements to enrich our analysis of a child or youth's experience in foster care and a child or youth's exit to adoption/guardianship, etc. It modifies existing data elements on the child or youth's placements, permanency plans, circumstances surrounding the child or youth 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.

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, HHS will apply a penalty amount of 1/6 of 1% of the agency's Title IV-E foster care administrative funds.
  - A penalty of 1/4 of 1% 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 and youth in a legal guardianship under a Title IV-E agreement from the adoption and guardianship assistance data file.

ACF has developed additional technical bulletins detailing the specifications of the XML file for the data file submission process, along with a document for agencies on how to log into, upload, and submit to CB from the NCWDMS. Please ensure you are referencing the most current versions of the technical bulletins, as several have changed more recently. The AFCARS requirements will be incorporated into the future CW CM System. Once the CW CM System is implemented, OCYF anticipates gathering and submitting all the AFCARS data directly from the CW CM System or an interfacing state level system. Because the new AFCARS effective date precedes the anticipated

implementation of the CW CM System; OCYF implemented a new means of collection of AFCARS data from counties starting October 01, 2022. Phase one of this system went live on 10/01/2022 and allows for counties to submit their derived AFCARS data to OCYF weekly, and to leverage a dashboard to view their errors in need of correction. Phase two, which went live in mid-March of 2024, will allow OCYF to collect raw data from the county case management systems which is used to generate the AFCARS file. While not required by the AFCARS Final Rule specifically, the collection of raw data will allow OCYF to also meet a goal of the current state AFCARS Improvement Plan. Phase three incorporates a front-end solution into the system, which allows for better management of footnotes by OCYF. This phase also went live mid-March of 2024.

Counties should already have made changes to their county systems to support the AFCARS Final Rule, as well as changes to support sending raw data to OCYF. However, AFCARS remains part of the ITG for the 2026-27 Fiscal Year in the event counties would need to submit costs associated with modifications to correct issues related to the AFCARS changes which were not identified at the time of initial go live.

Counties will be required to report on AFCARS data fields as part of the child's case record. While most of the new fields may already exist as part of the case record, counties should begin thinking about any that are not and how they would incorporate the collection of new fields into their practice. Funding request for AFCARS related activities should be requested in the AFCARS section of the ITG.

For complete context and understanding, the Final Rule published on May 12, 2020 can be viewed at:

<https://www.federalregister.gov/documents/2020/05/12/2020-09817/adoption-and-foster-care-analysis-and-reporting-system>

The Final Rule Technical Bulletins and links to webinar materials can be viewed at:

<https://www.acf.hhs.gov/cb/laws-policies/technical-bulletins/afcars>

Counties began reporting AFCARS under the new regulations on October 1, 2022.

### ***Key Provisions of the December 2024 Final Rule Amendment***

- County Children and Youth Agencies (CCYA's) will be required to begin to capture the new data required under the amended Final Rule for all youth in out-of-home care who exit care on or after the implementation date of October 1, 2028. Depending on the progress of the implementation of the Child Welfare Case Management (CW CM) as of 2028, it is possible that meeting these requirements could necessitate changes to the county case management systems, if ICWA data leveraged for AFCARS federal reporting has not yet transitioned to being directly entered in the CW CM. However, planning of the implementation strategies for the future CW CM will take into consideration strategies which might help to minimize changes being needed to legacy

systems identified for replacement by CW CM, including but not limited to these additional reporting needs for AFCARS.

- The final rule amendments require state title IV-E agencies to collect and report additional information on:
  - Whether the state inquired with certain individuals as to whether the child is an Indian child as defined in ICWA and when the agency first discovered information indicating that the child is or may be an Indian child as defined in ICWA.
  - Whether the child's parent or Indian custodian was sent notice in accordance with ICWA.
  - Whether and when a court determined that ICWA applies for the child.
  - Requests to transfer cases to Tribal court, whether the request was denied and the reason for denial.
  - Information on voluntary and involuntary terminations of parental rights, and removals under ICWA.
  - Information on meeting the placement preferences under ICWA.
  - Whether the agency made active efforts to prevent the breakup of the Indian family.

This amendment does not provide an extension or change the need of counties to continue to provide required data related to ICWA which was already part of AFCARS per the original 2020 Final Rule. The extension is only applied to the new elements introduced as part of the 2024 amendment.

#### 1-3f. Truancy Prevention and Diversion and Educational Success of Students Served

The education of all children receiving State and Tribal Title IV-E funds is one of the well-being factors considered by the United States Department of Health and Human Services (HHS) during the Child and Family Service Review (CFSR) process through the Adoption and Foster Care Analysis and Reporting System (AFCARS) data submissions. The Children's Bureau (CB) updated the regulations for AFCARS data elements via the [Final Rule](#) published in May 2020 (85 FR 28410). Education-related data elements required to be collected for the out-of-home care data file under AFCARS were updated.

The Fostering Connections to Success and Increasing Adoptions Act (Fostering Connections) [SEC 475\(1\)\(G\) of the Social Security Act](#) requires a plan to ensure the educational stability of the child while in foster care. This includes assurances that each placement of the child in foster care considers the appropriateness of the current educational setting and the proximity to the school in which the child is enrolled at the time of placement. This includes coordinating with appropriate Local Educational Agencies (LEAs) to ensure that the child remains in the school in which the child is enrolled at the time of each placement. If remaining in such school is not in the best interest of the child, both CCYAs and LEAs must ensure that youth have immediate and appropriate enrollment in a new school, with all the educational records of the child provided to the school. This is further supported by Title 55 Pa Code 3130.67(b)(3) (relating to placement planning),

The Elementary and Secondary Education Act (ESEA), a federal act aimed at providing equal access to quality education for all children enrolled in kindergarten through 12th grade (K-12). The Every Student Succeeds Act (ESSA) is a provision within ESEA, that aims to ensure educational stability and protection for all students, including youth in foster care, to improve outcomes. CCYAs may refer to OCYF Bulletin [3130-10-4](#) [“Educational Stability and Continuity of Children Receiving Services from the County Children and Youth Agency \(CCYA\) Including the use of an Education Screen”](#) and [Basic Education Circular \(BEC\) Educational Programs for Students in Non-Educational Placements](#) when informing LEAs of foster care placement and engaging in ESSA Best Interest Determination meetings. When considering all factors of a child's best interest in the Best Interest Determination, CCYAs and LEAs must consider any identified Individual Educational Plans (IEP)/504 service agreements. Data collection of Best Interest Determinations and education records of youth placed in foster care is recommended to help improve educational outcomes, identify trends, improve practices, and bring purposeful application of allotted funding.

Act 1 of 2022, amended the School Code, also known as the “Assisting Students Experiencing Education Instability Act,” strengthens K-12 school supports and increases education equity to foster academic achievement and timely graduation for students experiencing education instability. CCYAs are encouraged to ensure that students eligible under Act 1 have been identified as eligible. CCYAs should participate in developing all Act 1 graduation plans and are advised to provide available education records to schools, including IEPs/504 service agreements and verification of courses taken or credits earned and any previous graduation plans. If complete school records are not available for a student in grades 9-12, CCYAs are advised to assist the student with creating a list of past schools and placements to be provided to the current school for enrollment and appropriate educational placement that best suits the student's needs. If available, CCYAs are encouraged to share education records with the school to promote school support and timely graduation for children in foster care. CCYAs are also encouraged to ensure that Act 1 eligible youth receive access to extracurricular activities and opportunities for retroactive diplomas. This educational documentation must also be considered a part of the youth's record. It shall be filed with other educational documentation that is required under Section 475(1)(C) of the Social Security Act, which states that the case plan must include "the most recent information available" regarding the health and education records of the child.

The Fostering Connections, The Uninterrupted Scholars Act, and ESSA all added federal provisions for supporting children in foster care and protecting their right to education stability. These key protections for children in foster care require State Education Agencies (SEAs) and LEAs to collaborate with the OCYF and CCYAs to ensure the educational stability of children in foster care. CCYAs shall have an education liaison to ensure the educational stability, best interest, and school success of students in foster care. In July 2023, The United States Department of Education (DOE) issued a [Dear Colleague Letter](#) about the importance of collaboration and joint decision-making between educational agencies and child welfare agencies to prioritize the



educational stability of students in foster care. In November 2023, the HHS Administration on Children and Families issued an Information Memorandum, [ACYF-CB-IM-23-09](#), identifying legislative requirements pertaining to child welfare and supporting the DOE Dear Colleague Letter and the importance of collaboration and joint decision-making. In 2024, DOE and HHS issued updated [non-regulatory guidance](#) and rescinded the [2016 joint non-regulatory guidance](#). CCYAs should develop internal policies related to the responsibilities of the CCYA education liaison consistent with the 2024 DOE and HHS non-regulatory guidance.

### 1-3g. Substance Affected Infants (SAI) and Plans of Safe Care (POSC)

Each year, thousands of infants born in Pennsylvania are identified as having been prenatally exposed to substances, including alcohol (OpenDataPA, 2018). The short- and long-term effects for the infant will vary depending on the type of prenatal substance exposure, including co-exposure (e.g., opioids and benzodiazepines), interventions utilized in the postnatal period promote attachment between the mother and infant, and postnatal environmental factors. Prenatal substance exposure has the potential to cause a wide spectrum of physical and developmental challenges lasting into adulthood (National Center for Substance Abuse and Child Welfare, n.d.). Early identification and intervention are key to improving health and safety outcomes for the infants and their caregiver.

Federal and state statute requires that a POSC is offered to all families/caregivers of infants identified as substance affected regardless of the legality of the substance to which they were exposed. Plans of Safe Care are unique to each infant and their family and provide referrals to the supports and services best suited to meet the need of SAIs and their families. POSC address the health and safety of the infant (up to one year of age) and the substance use / mental health treatment needs of the infants' family or caregiver.

The federal Child Abuse Prevention and Treatment Act (CAPTA) amended by the Comprehensive Addiction and Recover Act (CARA) of 2016, authorizes funding for state grants when a state has established policies and procedures ensuring that health care providers make appropriate notifications when they are involved in the delivery or provide treatment to infants that have been identified as affected by prenatal substance exposure, experience withdrawal symptoms or have Fetal Alcohol Spectrum Disorders (FASD). Notification is made for the purpose of convening a multidisciplinary team of professionals to develop a Plan of Safe Care.

In 2018, Act 54 amended Pennsylvania's CPSL and directed the Pennsylvania Departments of Drug and Alcohol Programs (DDAP), Health (DOH) and DHS to prepare interagency protocols to support development of multi-disciplinary, county level Local Planning Teams. Local Planning Teams were tasked with creating county specific comprehensive policies and procedures to meet the complex needs of SAIs and their families. Local Planning Teams should include representatives from: physical health, mental health, substance use treatment, and child welfare. Other community-based agencies may also be involved based on the needs of the county. Local Planning



Teams are also responsible for providing guidance to Multi-disciplinary Teams (MDTs) related to the development of individualized Plans of Safe Care for SAIs and their families.

Plan of Safe Care Multi-Disciplinary Teams are responsible for meeting with family/ caregivers of Substance Affected Infants to offer and jointly develop the individualize POSC. Members of the multi-disciplinary teams may vary based on the needs of the SAI and their families/ caregivers. CCYAs are best able to determine local needs related to the on-going implementation of POSC.

➤ **See *Substance Affected Infants (SAI) and Plans of Safe Care (POSC)* in the Narrative Template**

1-3h. Helping Older Youth Transition to Adulthood and Find Permanency

Ensuring youth in foster care have the life and relationship skills necessary to continue their educational pursuits, enter the workforce and navigate professional and personal relationship is only one component of their successful transition to adulthood. CCYAs must also ensure youth have holistic supports and are connected to adults who offer guidance and provide the mentoring and support that many take for granted. This support becomes essential as youth transition away from the structure that CCYA supervision and placement provides and continue to deal with trauma that may not be fully identified and addressed. Children and youth must be afforded the same opportunities as their peers, to engage in extracurricular activities, obtain their driver's license, spend time with friends, obtain employment and actively engage in age and developmentally appropriate decision-making opportunities. OCYF is committed to working with counties to ensure that youth have the life skills, relationships, and opportunities to support their interests and goals for the future.

Children and youth 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. Act 118 of 2022 entitled “Helping Older Foster Youth Find Permanency” was signed into law on November 3, 2022. The intent of the Act is to reduce the number of older youth aging out of the child welfare system without the support and guidance of a permanent family. Act 118 eliminated the use of APPLA as a permanency goal for all children and youth under the age of 18.

**CCYAs are reminded that APPLA may not be used as a permanency goal for children under the age of 18 as of January 2, 2023.** CCYAs should continue their work to eliminate the use of APPLA as a permanency goal for all children and youth in care and to continue efforts to assist older youth in out of home care to find permanency with a family or permanent supportive adults.

Act 118 ensures all youth leaving foster care at 18 years of age or older are prepared for the transition to successful adulthood. Act 118 requires that when a youth is adjudicated dependent as prescribed under 42 Pa.C.S. § 6351(a)(2) (relating to disposition of dependent child), CCYAs shall provide age and developmentally

appropriate services to help the child/youth plan and prepare for eventual adulthood beginning at age 14. Transition planning is to begin at least 6 months prior to the youth turning 18. The agency must provide a youth, 18 years of age or older, with all relevant documents prior to termination of court jurisdiction. Additionally, prior to termination of court jurisdiction, the agency shall provide the youth with a copy of the transition plan.

Act 118 further states that CCYAs shall identify at least two significant connections with supportive adults in the permanency plan when APPLA is listed as the permanency option for youth 18 years of age and older. Act 118 requires CCYAs to submit specific data to the Department at the time the court terminates jurisdiction of a youth, 18 years of age or older. OCYF issued guidance through a Special Transmittal on June 28, 2023. The Special Transmittal, entitled *Act 118 of 2022 Amendments to the Juvenile Act* outlines requirements of Act 118, including the specific data elements that CCYAs must submit to the Department.

Act 118 requires CCYAs to submit the following data to the Department at the time the court terminates jurisdiction of a youth, 18 years of age or older including those youth who re-enter care and discharge again:

- Age
- Gender
- Race
- Permanency goal
- Whether the permanency goal was achieved
- Whether the child requested resumption of jurisdiction
- Whether the court granted resumption of jurisdiction
- The number of placements in the prior year
- Whether the child had an identified place of intended residence
- Whether the child had income through employment
- Whether the child had income through a public benefit
- Whether the child had at least two identified supportive adult connections
- Whether the child had contact with siblings
- Whether the child had contact with biological parents
- Whether the child graduated from high school
- Whether the child received a general educational development certification
- Whether the child was a parent or expectant parent
- Whether the child was enrolled in a program of postsecondary education or training
- Whether the child had completed at least two years in a program of postsecondary education or training
- Whether the child was enrolled in Medicaid
- Whether the child was given a physical copy of a transition plan
- Whether the child had possession of a birth certificate, Social Security card, State identification card or driver's license, health insurance card and, if not born in the United States, proof of valid immigration status

All CCYAs must upload the Act 118 Data Collection Form to the Department's DocuShare website located here: <https://hhsdoc.dhs.pa.gov/docushare/dsweb/View/Collection-329053>. . The steps to submit the required data are as follows:

1. Complete Act 118 Data Collection Form at the time court terminated jurisdiction. The form can be found at:
2. Save file with the appropriate naming convention: Act118\_ (youth's initial) \_ (date of jurisdiction DDMMYY). Example: Example: Act118 RW 020323
3. Upload to county appropriate folder on DocuShare

### 1-3i. Family Finding

Specific to family finding, Act 118 of 2022 amends Title 67 of the Pennsylvania Consolidated Statutes by repealing Chapter 31 and creating Chapter 75, the new chapter on Family Finding and Kinship Care. Act 118 also amended some of the provisions previously required under Chapter 31 and added new family finding requirements. Act 118 reflects added definitions regarding family finding and guidance related to necessary documentation.

Act 118 defines family finding as, "The ongoing process of identifying and engaging extended family members and adults who have or could have significant, positive connections with a child or family that has been accepted for services in order to:

- (1) Build a network of support for the child and the child's family.
- (2) Promote positive, long-term connections for the child.
- (3) Include relatives and kin in social service planning and delivery.
- (4) When necessary, identify a safe and familiar placement for the child.

Family finding should be understood as an enhanced collaborative family approach, to include identification and engagement strategies that must be conducted when the child or family is accepted for services. Critical attention should be provided on engaging and supporting family once they have been identified. Family Finding is ongoing throughout the life of the case and not just for placement purposes. Found supports should not be discounted should they be unable to take the child into their home but rather have continued connection to identify any way they would be able to help the child and or family.

The statute clarifies the requirements for when family finding must be conducted; specific times that family finding can be discontinued; rules about family finding resumption; and guidance on the documentation that needs to be in the child's case plan.

The statutory intent of family finding is to ensure that family finding occurs on an ongoing basis for all children entering the child welfare system, to promote the use of kinship care when it is necessary to remove a child or youth from their home and to

ensure that each child leaving foster care at 18 years of age or older is prepared for the transition to successful adulthood.

More recently, Act 48 of 2023, entitled “Giving Kinship Care Providers a Voice in Child Custody Proceedings” was signed by Governor Shapiro on December 14, 2023. Act 48 amends Title 42 (Judiciary and Judicial Procedure) to outline new requirements for the provision of timely notification of hearings to “potential kinship care resources”. The Act defines “potential kinship care resource” as an individual who meets the requirements to be an emergency caregiver and has expressed a willingness to be a kinship caregiver for a dependent child. Further, Act 48 requires the court to direct the county agency to provide the child’s potential kinship care resource with timely notice of the hearing; to provide a potential kinship care resource with the right to be heard during a scheduled hearing or at a separate dispositional hearing, but only as to the individual’s qualifications to provide kinship care; and to render a decision, once a potential kinship care resource has had an opportunity to address the court, whether the potential kinship care resource may receive notice or participate in future hearings. Act 48 ensures that family and kinship care provider voices are heard, and additional kin supports and connections are identified and documented. All provisions of Act 48 took effect on February 12, 2024. OCYF will be releasing guidance related to Act 48 in a Special Transmittal.

#### 1-3j. Family First Prevention Services Act

Many of the provisions of Family First have been implemented. The below summary provides an update on DHS’s analysis and intentions regarding these provisions.

#### ***Changes to the Child Protective Services Law***

Under Family First, states are required to have procedures to conduct criminal history and child abuse and neglect registry checks to be carried out on any adult working in a childcare institution. The CPSL requires registry checks for all adults working in childcare institutions. The CPSL was amended by Act 12 of 2022, to allow employers, administrators, supervisors, or other persons responsible for employment decisions, **except for a child-care institution\* (see definition below), a prospective adoptive parent or a prospective foster parent** to employ applicants on a provisional basis for a single period not to exceed 45 days if all the following conditions are met:

- The applicant has applied for the Pennsylvania Child Abuse History Clearance, the Pennsylvania State Police Criminal History Clearance, and the Federal Bureau of Investigations (FBI) Criminal History Clearance.
- After applying for and receiving the results, the applicant must submit the Pennsylvania Child Abuse History Clearance **AND** either the Pennsylvania State Police Criminal History Clearance, **OR** the FBI Criminal History Clearance, to the employer, administrator, supervisor, or other person responsible for employment decisions.
- The applicant swears or affirms in writing ([Disclosure statement.pdf \(pa.gov\)](#)) that they have not been convicted of an offense listed in § 6344(c) of the CPSL under the laws or former laws of the United States or one of its territories or

possessions, another state, the District of Columbia, the Commonwealth of Puerto Rico or a foreign nation, or under a former law of this Commonwealth.

- The employer, administrator, supervisor, or other person responsible for employment decisions has no knowledge of information under § 6344(c) of the CPSL pertaining to the applicant which would disqualify the applicant from employment.
  - If the information obtained by the employer, administrator, supervisor, or other person responsible for employment decisions reveals that the applicant is disqualified from employment pursuant to § 6344(c) of the CPSL, the applicant **MUST** be immediately dismissed by the employer, administrator, supervisor, or other person responsible for employment decisions.
- The employer, administrator, supervisor, or other person responsible for employment decisions requires that the applicant not be permitted to work alone with children and that the applicant work in the immediate vicinity of a permanent employee.

*\* “child-care institution” as defined in 42 U.S.C. § 672(c)(2)(A) (relating to foster care maintenance payments program) on the effective date of this paragraph:*

#### **Title IV-E Prevention Services Program**

The Title IV-E Prevention Services Program, of which DHS opted into as part of its implementation of the Family First Prevention Services Act of 2018, broadens federal funding for evidence-based programs (EBPs) focused on mental health prevention and treatment, substance use prevention and treatment, and in-home parent skill-building programs with the goal of preventing out-of-home placement. As described in the Pennsylvania Title IV-E Prevention Services Plan, DHS’s strategy for participating in this Prevention Services Program is to offer counties the greatest possible flexibility in addressing the unique needs of children and families within their communities, while also ensuring compliance with federal Title IV-E requirements. Through the long-term expansion of federal funding, it is projected that states and counties will be better positioned to reinvest, repurpose, and/or reimagine available resources in a way that supports large scale system effectiveness and sustainability.

The following EBPs are eligible for Title IV-E reimbursement as part of DHS’s Title IV-E Prevention Services Plan (ver. June 2023). These programs were selected following an exhaustive review of research, outcomes data, and analysis of fiscal impact.

- Functional Family Therapy (FFT)
- Healthy Families America (HFA)
- Homebuilders
- Incredible Years (School-Age Basic)
- Incredible Years (Toddler Basic)
- Multisystemic Therapy (MST)
- Nurse Family Partnership (NFP)

- Parents as Teachers (PAT)
- Positive Parenting Program (AKA “Triple P”) Level 4 Standard

While Title IV-E reimbursement is limited to only the nine programs listed in the most recent version of the Pennsylvania Title IV-E Prevention Services Plan (“five year plan”), counties should continue to make every effort to engage all children and families who meet FFPSA criteria in prevention planning and refer and document the service that best fits the child/family’s need irrespective of the program’s Title IV-E reimbursability. OCYF continues to collect programmatic and fiscal data and engage in discussions with the Family First Implementation Team (FFIT) and Family First Steering Team to assess whether future adjustments are needed with regard to the Prevention Services Plan service array.

Counties should continue to refer to OCYF Bulletin #3130-21-03, *Policies and Procedures for Implementation of the Title IV-E Prevention Program*, for specific policy and procedure guidance related to the eligibility, monitoring, data collection, and documentation requirements of eligible prevention services. Counties should continue to work closely with their human service partners at the county-level to determine how children and families will be best served under the Title IV-E Prevention Program and consider resource needs related to:

- The use of assessments to determine a child or family’s eligibility and/or level of need for mental health, substance abuse, or in-home skill-based parenting programs;
- The development and preparation of prevention plans;
- The selection and/or implementation of EBPs by the county and/or service providers that best meet the needs of the families in their communities; and/or
- The monitoring and evaluation of EBPs

Counties must consider all applicable funding hierarchy requirements for federal, state, and local funds, ensuring that funds be pursued and expended in the following order:

1. Program income (ex. private health insurance, private grants)
2. Medicaid
3. Title IV-E Prevention Services
4. State/local funds

OCYF Bulletin #3140-21-05, *Federal Title IV-E Invoicing Procedures Manual*, outlines procedures for counties on how to correctly prepare and submit Title IV-E prevention invoices.

As part of Pennsylvania’s federally approved Title IV-E Prevention Services Plan, counties may also explore opportunities to access Title IV-E prevention services funding to support delivery of any of the nine EBPs to youth and their caregivers who meet eligibility criteria under the Title IV-E Prevention Services program even if these families

are not actively open with the CCYA. Counties interested in further exploring this approach, known as a “Community Pathway” may submit a proposal to OCYF in accordance with the Community Pathways Submission Guidelines distributed to counties in November 2024. Prior to submitting a proposal, interested counties should first advise their assigned OCYF Regional Office representative of their intent so further discussions can be held to support the county in advance of submitting a proposal. If a county does not current have access to the Community Pathways Submission Guidelines document, they may obtain a copy by emailing [PAPutsFamiliesFirst@pa.gov](mailto:PAPutsFamiliesFirst@pa.gov).

➤ **See *Family First Prevention Services Act* in the Narrative Template**

1-3k. Recruitment and Retention of Quality Foster Family Parents

Family First reinforces the need to reduce the reliance on congregate care for children and youth whose needs could be met at home, or in a foster family home, with community-based supports.

Foster families are asked to ensure the safety and nurture the well-being of the children and youth entrusted to their care and support families in a time of need or crises. Foster families also support the agency’s efforts to assist these children in achieving permanency.

One of the first steps in recruitment is development of realistic expectations for foster families. Does the agency clearly articulate to interested families their role in working with birth families towards reunification versus defining the role as a substitute parent? Do interested families understand the engagement philosophy of the agency? Messaging the role foster families play in supporting the reunification of families lays the groundwork for aligning the values of potential foster families with the agency’s values.

Media campaigns are often a core component in an agency’s recruitment strategy. Agencies may also participate in matching events, partner with local community outreach/events, and hold public events during National Adoption Month (November) and National Foster Care Month (May). Agencies should consider targeted recruitment strategies in addition to this approach, using CCYA data regarding the characteristics of children and youth entering placement. Some states have seen success when actively recruiting families from specific professions, ethnic groups, or geographic areas. Child-specific recruitment may also be an option the agency should explore to improve timeliness to permanency for children in care.

At the state level, foster family recruitment is provided through SWAN, DHS/OCYF media contracts and through the Pennsylvania State Resource Family Association (PSRFA). SWAN and PSRFA can help support the agency’s recruitment and retention efforts.

Agencies should also consider the role current foster families can play in both the recruitment and retention process. New families appreciate the experience existing families can share and the support they offer.

Setting a recruitment goal, like 20 new families in six months, can help the agency develop an appropriate recruitment strategy and provides a measure to determine the effectiveness of that strategy.

Gaining a potential foster family's interest is only the first of many steps towards building a healthy foster family network. "Onboarding" new families should be a clearly established process through which families feel supported. Agencies may want to review or begin collecting data regarding the number of interested families and the actual number of families approved in a given period. This data can support whether there are any weaknesses in the existing licensing process; i.e., identify areas where interested families "drop out" of the process. This data can help inform operational or procedural changes to eliminate barriers and streamline the process.

One of the greatest steps an agency can take to retain foster families is to ensure that the family feels prepared to handle the child's needs and continues to feel supported. Training is required as part of the licensing process, but the training offered may not prepare families to manage the specific behaviors of the children and youth in their care. Learning parenting strategies specific to the children and youth in their care may improve placement stability. Parent coaching or mentoring programs can enhance a foster parent's skills. There are also community-based supports, like enhanced visitation or school-based programs, that may further support retention of foster families. For example, if a child's behavior in school requires a foster parent to miss work repeatedly, that foster parent may not feel able to continue in their caregiver role at risk of losing employment.

Additional supports to foster families include the Child Care Works (CCW) program which provides financial assistance to low-income families to help them find and afford reliable childcare near their home or work. Foster families are eligible if the foster parent(s) meet the program work requirements; their income is not considered in determining eligibility for the foster child in the CCW program.

- A foster parent is assigned a \$5.00 weekly co-pay; non-foster families must pay a co-payment based on family income and size. If the foster family includes additional children needing care, the foster child will be included as part of the family composition and the co-pay based on the family income and total family composition.
- Foster parents must meet the following CCW eligibility criteria:
  - Be a resident of Pennsylvania;
  - Have a child under the age of 13 or over age 13 (but less than 19 and unable to care for them self) who needs care while the parent works or attends an education/training program;
  - Work 20 hours or more a week **OR** Work 10 hours and in training 10 hours a week;



- Have proof of identification for each parent or caretaker in the home;
- Have a letter from the CCYA approving the foster child placement with the foster child(ren)'s name, date of birth and the foster parent's identifying information, including address.

Foster children, families experiencing homelessness, teen parents, newborn sibling of children already enrolled, and children participating in PA Pre-K and Head Start, who need extended services, are excluded from the CCW waitlist.

In addition, casework or direct care staff should see foster families as partners in the child welfare field and be available and responsive to families as they would to any other child welfare professional. Agencies should ensure that information regarding organized peer support groups and respite care options are shared with families, if available. Peer support groups give foster families an opportunity to learn from one another. Respite care can be used to prevent foster family "burn out".

Foster parent appreciation is a tool utilized by many agencies but should not be the extent of the agency's retention efforts.

Counties should consider any resource requests related to recruitment and retention efforts, recognizing that the two are not mutually exclusive. Increased efforts in these areas may require additional infrastructure supports to respond to increases inquiries from prospective families, approve resource homes, provide enhanced supports to existing families, etc.

### 1-3I. Service Delivery for Lesbian, Gay, Bisexual, Transgender, and Queer/Questioning, Intersex, Asexual (LGBTQIA+) Youth

Child welfare best practices clearly demonstrate that safe and appropriate placements ensure all children and youth's individualized needs are considered and addressed. Safe and appropriate placements for LGBTQI+ youth are placements where providers are trained to meet their specific needs related to their sexual orientation and gender identity and who facilitate age-appropriate services to support their health and wellbeing.

CCYAs should consider whether resources are needed to develop or enhance:

- The array of services available to support all children and youth, and families including LGBTQI+;
- Internal policies to include updating current language to use gender-neutral language, when practical;
- Training and resources for staff and foster care providers on LGBTQI+ cultural competency and sensitivity related to family preservation, pre-placement, placement, and adoption and permanency services to a child or youth who identifies as LGBTQI+ and their families;
- Training for staff and foster care providers on non-discrimination policies and how to create affirming relationships and safe and welcoming environments;
- A non-discrimination policy that specifically addresses discrimination based on actual and/or perceived sexual orientation, gender identity, and gender

expression. This written non-discrimination policy should convey information about the organization or agency practice to its employees, to individuals seeking or receiving services, and to the general public; and

- Targeted recruitment efforts for foster family homes that are skilled and willing to support all children and youth.

### 1-3m. Updated Child Residential Regulations

55 Pa. Code Chapter 3800, “Regulations for Child Residential and Day Treatment Services” were adopted over 20 years ago. During the past two decades there have been numerous changes to practice, policy, and the needs of the population of children and youth served in these settings. Revisions are being developed to this regulatory chapter to:

- Reflect modifications needed to comply with recent legislation;
- Reflect responsiveness to the evolving needs of the population served;
- Support incorporation of best practices; and
- Address the concerns raised by providers delivering these services.

Through stakeholder meetings that were held during the summer of 2019 and fall of 2020, DHS has identified areas that will be addressed in this regulatory change process, which include an expansion of program description content, family and youth engagement, staffing ratios, and the inclusion of qualifications and required training components that will lead to the development of a trauma-informed culture in which services are delivered. In review and consideration of stakeholder feedback and the opportunity through Family First to develop enhanced program standards for specialized settings serving youth who are, or may become, victims of sex trafficking; pregnant, expecting, and parenting youth; or youth transitioning to adulthood, the Department is drafting a regulatory package consisting for four regulatory chapters to encompass residential care. Additionally, Day Treatment services will be separated into its own regulatory chapter.

The new regulatory chapters under draft are:

- Chapter 3900: Child and Youth Facility Requirements
- Chapter 3910: Child Residential Facilities
- Chapter 3920: Secure Residential and Secure Detention Facilities for Youth
- Chapter 3930: Day Treatment
- Chapter 3940: Transitional Living Sites for Youth

The proposed ratios for Chapter 3910 would require a staff to child ratio of 1:6 (which is a higher ratio than the current 1:8), and a supervisory ratio of 1:12 (which is higher than the current ratio of 1:16). The proposed regulations will require two residential program workers on duty at all times and additionally require supervisors on-site at the facility at any time there are 12 or more children during awake hours.

It is imperative that CCYAs consult with their contracted residential and day treatment providers regarding impact in per diems for FY 2026-27 as providers prepare for

regulatory changes. Specific cost impact in addition to staffing ratios include training requirements, potential physical site modifications, enhanced programmatic requirements and development and implementation of a trauma-informed approach.

### 1.3n. Updates to Administration of County Children & Youth Social Service Programs 55 Pa. Code Chapter 3130,

“Administration of County Children and Youth Social Service Programs” relates to the responsibilities for children and youth services. To codify updates to the Chapter 3130 regulations, work has been underway to replace Chapter 3130 with Chapter 3131. These updates are paired with provisions such as practice requirements for conducting reviews to ensure quality child welfare program delivery and to promote the safety, permanency, and well-being of the Commonwealth’s children, youth, and families. The proposed Chapter 3131 regulations bring the following changes that will directly impact county practice:

- Require a supervisor to caseworker ratio of 1:4 (which is lower than the current ratio of 1:5) by the end of the third State fiscal year following the effective date;
- Require a staff to family ratio of 1:15 (which is lower than the current ratio of 1:30) by the end of the third State fiscal year following the effective date;
- Reduce paperwork/duplicative documentation by creating a single child and family case plan;
- Align the requirements with the Interstate Compact provisions;
- Mandate efforts to protect children at risk of human trafficking;
- Sets requirements for prevention services under Family First, which, when implemented may lead to more children and families receiving evidence based services and supports tailored to specific needs; and
- Guide caseworkers with family engagement efforts and direct caseworker visitation efforts to increase individualized attention with families which may impact child and family wellbeing as well as reduce rates of child entry or reentry in to out-of-home care.

CCYAs are encouraged to use information in this section as guidance when responding to and requesting funds associated with the 2026-27 NBPB and should consider additional administrative costs that will be necessary to assist in the implementation of the new requirements that have been identified.

### 1-3o. Becoming a Trauma-Informed State

Within the *Caseworker Recruitment and Retention Study* issued June 4, 2024, by OCYF, it was acknowledged that “as a result of persistent turnover and reduced hiring, vacancy rates for caseworker positions have nearly tripled between FY 2018 and FY 2023 – with more than a quarter (27.2 percent) of CCYA caseworker positions vacant as of FY 2023.” (pg.5). Given the alarming turnover rates and staffing shortages, it became essential to investigate the root causes behind staff departures in the child welfare sector.

Research has identified factors such as job-related stress, burnout, insufficient support, inadequate compensation, and leadership, including direct supervision. Understanding these reasons is crucial for implementing effective strategies to retain skilled professionals and ensure the provision of stable and quality care for children.

Trauma-informed care (TIC) implementation has yielded significant workforce improvements, including better family engagement, service availability, and overall outcomes. Managing stress, burnout, and vicarious trauma is a long-standing issue for the child welfare workforce. TIC leadership and supervision models, which prioritize staff well-being and address workforce trauma, have also shown promising results and should be more widely adopted. Research shows that the use of strong support from supervisors improved workplace retention.

According to the Substance Abuse and Mental Health Services Administration, being trauma-informed means adopting a framework that may be outlined as:

- Realize the widespread impact of trauma and understand potential paths for recovery.
- Recognize the signs and symptoms of trauma in clients, families, staff, and others involved with the system.
- Respond by integrating knowledge about trauma into policies, procedures, and practices.
- Resist re-traumatization by avoiding activating trauma responses and promoting a safe environment. ([A-Trauma-Informed-Approach-to-Workforce.pdf](#))

Workplaces that implement genuine trauma-informed reforms foster environments of trust and transparency, allowing leaders to connect more authentically with team members' experiences. A trauma-informed child welfare agency understands the importance of investing in the health, well-being, and resilience of its workforce. Recognizing that child welfare professionals often face secondary traumatic stress (STS), agencies should provide STS training and coaching. (cwig-prod-prod-drupal-s3fs-us-east-1.s3.amazonaws.com)

To increase the availability of free trauma-informed training, OCYF funded training opportunities provided by Lakeside Global, to offer enhanced trauma courses for all PA child welfare professionals from September 30, 2024, through September 30, 2025. This also includes Train the Trainer sessions to support trauma-informed sustainability within a child welfare organization. Additionally, OCYF collaborated with the CWRC to develop web-based training that is available to all OCYF-licensed child welfare agencies for training existing and future employees. Trauma trainings available on the Child Welfare Resource Center (CWRC) Elearn platform include:

- Raising Trauma Awareness in Child Welfare Casework Practice in PA
- Developing Trauma Sensitivity in Therapeutic Foster Care
- Developing Trauma Sensitivity for Congregate Care Staff

Additional titles will be added in 2025 to include trauma-sensitive training for child welfare staff, CCYAs, and foster and adoption agencies. As part of the trauma-sensitive designation of licensed child welfare providers, it is essential to recognize compassion fatigue, vicarious stress, and secondary trauma when planning for a more trauma-sensitive workplace. Improving the health and welfare of the child welfare workforce, as well as addressing ongoing retention issues, requires creating a supportive work environment and identifying factors that increase compassion satisfaction and resilience. Each licensed child welfare provider will need to assess their own individualized needs for implementation and maintenance of the trauma-informed approaches used in their agency and consider associated costs.

Trauma-informed principles will need to be maintained as new employees are hired. CCYAs should consider this when planning for new employee orientation and training. The Foundations Training through the CWRC was reviewed and updated to include trauma-informed approaches to ensure consistency for new CCYA employee training. The curriculum for Trauma-Informed Supervision through the CWRC is currently being reviewed and is scheduled for pilot in early 2025.

Actions that promote the transition to a trauma-informed, healing-centered state include the enhanced program standards for specialized settings certified by DHS and limiting the use of Title IV-E Prevention dollars unless the program is rated on the Clearinghouse and documented to be trauma-informed as part of PA's five-year prevention plan. CCYA staff have been notified of these requirements and should continue to evaluate whether the costs related to improving or creating TIC culture, policy, and practices at the county or provider level will impact their anticipated expenses.

### 1-3p. Assessing Complex Cases and Youth Waiting for Appropriate Placement

CCYAs and JPOs have identified an increase in the number of children who are served by multiple program offices due to the complex needs of children. These complex needs may include various combinations of trauma history, significant mental health concerns, dual-diagnoses, intellectual disabilities and/or Autism Spectrum Disorder, substance use, a history of trauma, and/or considerable medical conditions. Planning to assure these children's safety and well-being requires considerable time, resources, and effort. DHS issued 14-Bul-109: Complex Case Planning for Children and Youth Under Age 21 on October 2, 2020 which provides guidance to child and family serving systems and details the process by which the cross-system program offices within DHS can support the counties in service planning and collaborating with various stakeholders such as county mental health, drug and alcohol, managed care organizations and various physicians to name a few.

In July 2023, Pennsylvania DHS convened a Blueprint Workgroup that helped to identify recommendations addressing identified challenges in areas of communication, services and programs, resource navigation, staffing/workforce, and trauma-informed supports. The Blueprint Workgroup report was released in January 2024 and presented 18 recommendations that address a wide variety of challenges and barriers encountered by youth with complex needs, their families, and the child serving systems supporting them. In response to the report findings and recommendations, the Blueprint

Workgroup has convened subcommittees focused on the areas surrounding workforce, service array, and continuum of services including program development.

As CCYAs are identifying their resource needs to serve this population, they are encouraged to meet with the other child serving systems in the county to discuss collaborative approaches to prevention and intervention resources available and/or in need. Additionally, due to the extensive case management needs surrounding planning for these youths, reduced caseloads may need to be considered for caseworkers and/or probation officers supporting these children. Some of these children who are in agency custody may struggle with securing stability in their placement for various reasons. While attempting to locate another placement option for the child that meets all their needs holistically, the child may need to be placed temporarily in a setting that does not necessarily meet all of their needs. Regardless of setting, it is imperative to find or contract with the most appropriate services to support the child holistically for physical, behavioral, emotional, and psychological needs. As a result, the county agency may need to consider a higher per diem for the temporary placement agency to assist with one-on-one supervision or to subcontract with a specialized therapist to provide specialized services to the child as they wait to be placed in a more permanent placement setting.

Additional information and resources related to complex case planning for children and youth, including the Blueprint Workgroup report, can be found at Complex Case Planning (pa.gov).

➤ ***See Assessing Complex Cases for Children and Youth Awaiting Appropriate Placement in the Narrative Template***

1-3g. Statewide Child Welfare Case Management System

In May 2019, DHS announced the decision to move forward with a single statewide Child Welfare Case Management (CW CM) System. This decision was made after evaluating the costs and benefits of continuing with the current federated model versus moving to a statewide system and was further supported by an Executive Order issued by then Governor Tom Wolf on July 31, 2019. The CW CM System will replace the statewide CWIS and the county-level case management systems. Functionality from OCYF legacy applications, such as the Title IV-E Invoicing System and AFCARS will also be included in the CW CM System.

Efforts to hold Business Process Alignment (BPA) and User Story began in late 2019. While these efforts were temporarily interrupted due to the COVID-19 pandemic, work resumed in spring of 2021. OCYF and county representatives have continued to work together on planning and implementation activities associated with the CW CM. A project governance structure is in place and a project charter has been approved by the CW CM Advisory Board and Steering Team, which have been meeting on a regular basis. As of March 2024, all Business Process Alignment (BPA) and User Stories sessions were concluded. Drafts of the final business process flows and user stories were shared with all stakeholders involved in the sessions. Once commentary was

received and necessary updates were made to finalize the flows and user stories, they were provided to the system integrator vendor, Accenture, to utilize to begin the next phases of the project. 2025 is anticipated to include further work on standing up the necessary workgroups for communications, data cleanup, data quality, etc., as well as finalizing an implementation plan and schedule. It is anticipated that OCYF and counties will begin to work directly with the System Integrator (SI) vendor in early 2025. Over the course of 2025, OCYF and counties will work with the SI vendor on discovery, requirements gathering and design. The implementation of the full system is anticipated to take a total of five years for full deployment of all functions with implementation of the first module (projected to be the replacement for the current AFCARS state data collection system currently scheduled to begin within 15 months of starting requirements gathering for that module. An official start date for the requirements gathering for module one is still in the process of being finalized and will be shared with critical stakeholders once it is finalized and provided to OCYF.

The CW CM is a component of a larger DHS initiative to implement an Enterprise Case Management (ECM) system that will include case management functionality for other PA DHS program offices, such as the replacement for the Home and Community Services Information System (HCSIS) functions currently leveraged by program offices such as the Office of Child Development and Early Learning (OCDEL), the Office of Developmental Programs (ODP) and the Office of Mental Health & Substance Abuse Services (OMHSAS). This will allow DHS to leverage data from multiple subsystems which would increase efficiencies as it pertains to critical reporting of individuals served across multiple subsystems and program offices

CCYAs will utilize their IT Grants to fund participation in various committees and workgroups, as well as to fund costs associated with transitioning from the existing county case management systems to the CW CM. In general, such costs will include data clean-up and conversion, staff participation in discovery and design sessions, participation in user acceptance testing, and participation in training. More detailed information on anticipated costs is provided in Appendix 4.

### 1-3r. Family Reunification Services

Family reunification services are part of the MaryLee Allen Promoting Safe and Stable Families (PSSF) Program: Title IV-B Subpart 2, of the Social Security Act. The purpose of PSSF is to enable states to develop and establish, or expand, and to operate coordinated programs of community-based family support services, family preservation services, family reunification services, and adoption promotion and support services to accomplish the following objectives:

- To prevent child maltreatment among families at risk through the provision of supportive family services.
- To assure children's safety within the home and preserve intact families in which children have been maltreated when the family's problems can be addressed effectively.

- To address the problems of families whose children have been placed in foster care so that reunification may occur in a safe and stable manner in accordance with the Adoption and Safe Families Act of 1997.
- To support adoptive families by providing support services as necessary so that they can make a lifetime commitment to their children.

As all counties provide Family Reunification services; starting SFY 2025-26, these funds were proportionately distributed across all counties through Title IV-B allocations.

Counties no longer need to specifically request these funds through NBPB.

PSSF requires OCYF to report on the outcomes associated with these funds annually, therefore, all CCYAs will need to provide outcome data related to the population served, the number of reunifications that occurred, and the types of services and activities that were provided. While the data outcomes are minimal, they are required to be completed and reported on a quarterly basis through the Act 148 invoice.

Per PSSF, family reunification services are “services and activities that are provided to a child that is removed from the child’s home and placed in a foster family home or a childcare institution or a child who has been returned home and to the parents or primary caregiver of such a child, in order to facilitate the reunification of the child safely and appropriately within a timely fashion and to ensure the strength and stability of the reunification. In the case of a child who has been returned home, the services and activities shall only be provided during the 15-month period that begins on the date that the child returns home.” The services and activities that can be provided under PSSF include:

- Individual, group, and family counseling.
- Inpatient, residential, or outpatient substance abuse treatment services.
- Mental health services.
- Assistance to address domestic violence.
- Services designed to provide temporary childcare and therapeutic services for families, including crisis nurseries.
- Peer-to-peer mentoring and support groups for parents and primary caregivers.
- Services and activities designed to facilitate access to and visitation of children by parents and siblings.
- Transportation to or from any of the services and activities described in this subparagraph.

➤ **See *Family Reunification Services* in the Narrative Template**

1-3s. Universal Assessment

In the Child and Family Services Review Program Improvement Plan and the 2019-2024 Child and Family Services Plan (CFSP), PA introduced work to implement a Pennsylvania Universal Assessment (PA UA) that will fundamentally shift how the strengths and needs of families in PA are assessed. The PA UA will provide a new approach to understanding risk and safety, with the current risk and safety tools being retired upon full PA UA implementation. This strategy will continue to be an area of focus for the 2025-2029 CFSP.



Through strengthened assessment practices, the following outcomes are expected to be improved and will be monitored:

- Prevention of child abuse and maltreatment, to include reduced repeat child maltreatment.
- Improved service planning for families as evidenced by selection of strategies outlined in Family Service Plans (FSPs).
- Decrease in entries of children into the foster care system due to improved service delivery to address the needs of families.
- Increase in achievement of timely permanency due to improved service delivery to address the needs of families.
- Improved workforce recruitment and retention due to streamlining of assessment tools to reduce paperwork burden on caseworkers and by providing more effective tools to support caseworkers in their role.

Supporting this work is a governance structure comprised of the PAUA Sponsor Team and Implementation Team. The Sponsor Team, which includes leaders from the CCYAs, Pennsylvania Children and Youth Administrators, a private provider association, OCYF, and the CWRC, receives recommendations from the Implementation Team that is comprised of OCYF, CWRC and county staff who are most closely involved in assessment work. As Pennsylvania continues to move closer to implementation of the PAUA, and as this work remains a priority, members of the Sponsor Team and Implementation Team have been brought together for in-person meetings to make decisions around business processes and procedures. Additionally, new workgroups including but not limited to communication planning and pilot planning have been established.

Pennsylvania is preparing to initiate a pilot of the proposed PAUA process by the end of calendar year 2025. Analysis of findings from the pilot, as well as integration of the UA into the CW CM, will determine the final timeline for statewide implementation. Participation in the PAUA pilot offers CCYAs the chance to develop early expertise and become champions within their agencies regarding the PAUA. This involvement will also engage staff in the change process, as their feedback on the tool's usage will be crucial for finalizing the tool and for guiding the eventual implementation. OCYF recognizes that the development and eventual implementation of the PAUA brings about a large paradigm shift, with communication, training, coaching and mentoring all being key components. Throughout the initial work of the Safety Subcommittee work and subsequent development of the PAUA, there has been a concentration on why this shift is necessary and what this means for families served, as well as caseworkers' capacity and skill development.

As work regarding the PAUA continues to move toward piloting and eventual implementation, it is being supported through technical assistance provided by the CWRC and the Praed Foundation through an intergovernmental agreement between OCYF and the CWRC. The CWRC is in development of, and will deliver, the in-person training that will be used to train individuals on the PAUA. All caseworkers and

supervisors will be required to become certified in the PAUA through the Praed Foundation. The Praed Foundation has also developed a series of online training modules specific to the PAUA that can be utilized as an additional training support for staff. Establishing effective coaching and mentoring supports for staff using the PAUA and their supervisors will be critical to successful implementation and helping county agencies, along with their partners, navigate the change process.

OCYF has been supporting efforts regarding the PAUA using CAPTA funding. Depending on availability of funding, OCYF will seek to support initial training of all current staff who need to become certified in the PAUA through use of CAPTA dollars.

As the foundation for successful assessment begins with engagement of families, counties are encouraged to continue to look for opportunities to strengthen engagement practices to prepare for successful PA UA implementation. OCYF also recognizes and emphasizes that a strong network of comprehensive and coordinated services (service array) must be in place to effectively promote the PAUA, child maltreatment prevention and child safety.

## Section 2: 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 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.

In the Narrative Template, there are placeholders for counties to insert general indicator charts. Follow these steps to 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 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 NBPB submission, counties are required to utilize the data packages that OCYF will distribute no later than one month following the finalization of the AFCARS data for the report period in question.

### 2-1: County Fiscal Background

As counties provide prior years' trend data and analysis of service levels, the fiscal climate of the county should 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.

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

### 2-2: General Indicators

Counties must examine trends that may affect the county's service needs. Small counties may find it difficult to establish or rely on past, short-term trends to project future need. Additionally, when attempting to establish a reliable trend, small numbers of children receiving a service may be statistically insignificant. When discussing various

trends in the Narrative Template, counties must describe any statistical aberrations that should be considered due to their size.

- **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.

Provide the following demographics, data, and program items in the General Indicator Excel file. Counties should only enter data in **blue** cells. **Data should be provided for FYs 2020-2021 through 2024-25 unless instructed otherwise.** Counties may refer to previous years' budget submissions for data.

The rate of change (Columns G and H) will automatically calculate. Column G, Percent Change, populates the growth rate over a five-year period. Column H, Compounded Annual Growth Rate (CAGR), populates the growth rate on average over the last five-year period. This provides counties two different ways to view the data trends. Indicators with a growth rate over (10) percent for the previous five-year period or a growth rate over three (3) percent on average over the last five-year period will automatically highlight.

- **NOTE:** Counties are no longer required to share projections for the Implementation Year or Needs-Based Year.

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

- ❑ Provide the number of families/children and youth that have been or are being investigated or assessed (beyond initial intake/screening activity) by CCYA staff by FY.
- ❑ Provide the number of families/children and youth with an open case (i.e., Family Service Plan developed or being developed) in the CCYA by FY.
- ❑ Provide the number of children and youth (non-duplicated) under the sole supervision (meaning Shared Case Responsibility (SCR) has not been established) of the county's JPO receiving services funded through the NBPB process, separated by the in-home services category, community-based placement, and institutional placement categories by FY.

#### 2-2b. Adoption Assistance

- ❑ Provide the number of children and youth (non-duplicated) who were receiving adoption assistance on the first day of each FY, added during the FY, and ending adoption assistance during the FY, by FY. Do NOT count children receiving a \$0 subsidy.
- ❑ Provide the total days of care for each FY.

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

- ❑ Provide the number of children and youth (non-duplicated) who were receiving SPLC assistance on the first day of each FY, added during the FY, and ending

SPLC assistance during the FY, by FY. Do NOT count children receiving a \$0 subsidy.

- ❑ Provide the total days of care for each FY.

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

- ❑ Provide the number of children and youth (non-duplicated) in placement on the first day of each FY, the number of children and youth (non-duplicated) entering, and the number of children and youth (non-duplicated) leaving **dependent** Foster Family Care by FY.
  - ❑ Enter the total days of care for each FY. 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 (CCYA has legal custody of the child)
  - ❑ Provide the number of children and youth (non-duplicated) who were in placement on the first day of each FY, the number of children and youth (non-duplicated) entering, and the number of children and youth (non-duplicated) leaving the following placement settings by FY.
  - ❑ Enter the total days of care for each FY. This data should correlate to the Act 148 data. These placement settings are defined in the Act 148 Bulletin.
    - Alternative Treatment Dependent
    - Alternative Treatment Delinquent
    - Community Residential Dependent
    - Community Residential Delinquent
    - Supervised Independent Living Dependent
    - Supervised Independent Living Delinquent
    - Juvenile Detention
    - Institutional Residential Services Dependent
    - Institutional Residential Services Delinquent
    - Secure Institutional Residential Services Dependent \*
    - Secure Institutional Residential Services Delinquent \*
    - Youth Detention Center/Youth Forestry Camp (YDC/YFC) \*
- **NOTE:** In the county's analysis of out-of-home placements, the agency should identify children and youth that are placed in Residential Treatment Facilities that are in the custody of the CCYA under Institutional Residential Services. Consideration for the population flow for out-of-home care is inclusive of all children and youth in "placement" whether the county is funding the placement. A child or youth in the custody of the agency and in a placement setting outside the home has agency casework services that need to be captured.

### 2-2e. Aging Out

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).

- **Complete Section 2-2a through 2-2e in the *General Indicators* tab in the General Indicator Excel file.**
- **See 2-2a through 2-2e Charts in the Narrative Template to include the charts that represent trends the county wants to highlight; trend data can be summarized in the *Chart Analysis* section of the template.**

### 2-2f. 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**

### 2-2 (g) (h) (i)

Counties have the opportunity to insert up to three additional charts that capture the drivers of county services and supports the county’s resource request. They do not have to be charts from the data package. For example, these charts may be related to prevention or diversion activities or may be specific to areas or demographics that are driving influences on county resources and practices.

- **See *Chart Analysis for 2-2a through 2-2j* in the Narrative Template.**

## **2-3: Outcome Indicators for Reunification & Permanency**

Counties that do not meet or exceed the five CFSR round three measures below (2-3b through 2-3f) must complete an analysis related to their practices and the associated impact on meeting the national performance standard and develop improvement strategies toward achieving the desired outcome. As part of those efforts, counties should take a holistic view of the data available to them, including information in the data packages provided, county-specific data, general indicators, etc.

As part of the data packages, counties are also provided data regarding:

- Re-entry and reunification for dependent children and youth only (no SCR);
- Children whose placement stay was 30 days or less;
- The number of children entering foster care for the first time who were in previous adoptions; and

- Removal reasons for children and youth in placement.

Five additional workbooks are distributed with the data packages. Each workbook corresponds to one of the five CFSR round three measures described below in sections 2-3b. through 2-3f.

#### 2-3a. Population Flow

This indicator tracks the number of children and youth 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 AFCARS file containing only one record per child or youth understates the count of children and youth for each event occurring during the reporting period. Using the AFCARS longitudinal file will result in more accurate counts of children and youth 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 and youth while entry and discharge counts appearing in this measure relate to movements into or out of care and thus can tally each child or youth more than once;
  - Each period represents six months of activity.
- **See “*Permanency 1*” worksheet of the *Permanency Workbook* within the data packages.**

#### 2-3b. Permanency in 12 Months (Entry)

This indicator reports on the percentage of children and youth who enter care in a 12-month period and discharged to permanency within 12 months of entering care. The national performance standard is 40.5%. A higher percentage is desirable in this indicator.

- **See *CFSR Round 3 (Entries) Workbook* within the data packages.**

#### 2-3c. Permanency in 12 Months (in care 12-23 months)

This indicator measures the percent of children and youth in care continuously between 12 and 23 months that discharged by the end of the target year and before the youth's 18<sup>th</sup> birthday. The national performance standard is 43.6%. A higher percentage is desirable in this indicator.

- **See *CFSR Round 3 (FD12) Workbook* within the data packages.**

#### 2-3d. Permanency in 12 Months (in care 24 Months)

This indicator measures the percent of children who had been in care continuously for 24 months or more discharged to permanency by the end of the target year and before the youth's 18<sup>th</sup> birthday. The national performance standard is 30.3%. A higher percentage is desirable in this indicator.

- **See *CFSR Round 3 (FD24) Workbook* within the data packages.**

#### 2-3e. Placement Stability (Moves/1000 days in care)

This indicator measures the rate of placement moves per 1,000 days of foster care for children and youth who enter care. The national performance standard is 4.12 moves. A lower number of moves is desirable in this indicator.

- **See *CFSR Round 3 (Stability) Workbook* within the data packages.**

#### 2-3f. Re-entry (in 12 Months)

This indicator measures the percent of children and youth who re-enter care within 12 months of discharge to permanency that itself occurred within 12 months of the entry to care. The national performance standard is 8.3%. A lower percentage is desirable in this indicator.

- **See *CFSR Round 3 (Re-entry) Workbook* within the data packages.**

The data profile for Pennsylvania, based on the round three CFSR data, identifies three measures in which the state's performance does not meet the national performance standard: permanency in 12 months for new entries, permanency in 12 months for children in youth in care 12-23 months, and re-entry into foster care.

### **2-4: Program Improvement Strategies**

Counties must conduct an analysis of the data presented in the preceding General and Outcome Indicators sections. Counties are encouraged to establish a team of community partners to assist in data analysis, root cause determinations, identification of existing service needs and agency practice enhancements, the selection of intervention strategies and monitoring of program improvement efforts. The county's team will also support the identification of technical assistance needed. Counties may consider utilizing an existing community partner team in this process such as their local Children's Roundtable or a Human Services Collaborative. The importance of a broad cross representation of key community partners reviewing data alongside internal agency staff provides a broader depth of analysis as well as expanded opportunities for strategy development and identification of available resources. Whether the county utilizes a formal team process or consults with community partners in other venues, there should, at a minimum, be engagement with the entities identified in Section 1-2a Determination of Need. It is critically important that County Commissioners and Courts are also involved in the process.

The results of the data analysis and root cause determinations should lead the county in identifying outcome areas in which program improvement strategies are warranted and in assisting counties in prioritization of those efforts.

Counties that do not meet or exceed the national performance standard for timely permanency, stability and/or re-entry must develop targeted program improvement



strategies; however, outcomes are not limited to performance measure improvements. The plan must reflect an analysis of:

- Identified characteristics of children and youth for which the desired outcome is not met;
- Comparison of these characteristics to those of children and youth for whom the desired outcome was met; and
- Available services and supports for the identified populations.

In reviewing performance, analyzing practice, and identifying program improvement strategies, counties should consider and include in the narrative template the following:

- If the strategy relates to an already established program within the county, provide outcomes that exist that support continued use of the program;
- If the practice improvement areas or strategies are a continuation from prior years, what is the stage of implementation of the strategies, what updates will be made to their plan, including the impact of any already implemented strategies; and
- If the identified program improvement activities will impact the other priority areas identified in this document.

Counties must also provide an update of the areas for improvement and associated strategies that were identified in last year's NBPB. Counties must address any changes in identified strategies and basis for the change. Counties should describe the data analysis of 2-2a through 2-2i and 2-3a through 2-3f, as well as any other county data available, and explain how these strategies connect to or impact the practice areas and strategies outlined for FY 2026-27.

All program improvement strategies must be identified and justified in the Narrative Template.

➤ ***See Program Improvement Strategies in the Narrative Template***

## Section 3: 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.

### 3-1. Workforce

#### 3-1a. Employee Benefit Detail

Submit a description of the county's employee benefit package for FY 2024-25 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**

#### 3-1b. 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**

#### 3-1c. Complement

Submit a description of the agency's recruitment and retention efforts, including any training efforts.

➤ **See *Complement* in the Narrative Template**

#### 3-1d. Audit compliance

CCYAs participate in several audits and reviews designed to assure compliance with federal and state statute, regulations, and policy. CCYAs are required to comply with the audit requirements contained in the federal Office of Management and Budget's (OMB's) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, "Uniform Guidance". The Auditor General (AG) completes audits of each CCYA to ascertain the management and use of state funds on allowable, allocable, and actual costs incurred on behalf of children and youth resident within the county. The AG also focuses attention on county monitoring of provider adherence to the CPSL requirements to assure the safety of children receiving prevention, reunification, and aftercare services (services coded as in-home). OCYF staff and contracted partners conduct risk-based Title IV-E Quality Assurance Reviews designed to assure the integrity of the federal Title IV-E claims by evaluating eligibility determination processes and decisions and verifying accurate Title IV-E placement maintenance and administrative claiming. Counties also participate in county audits, federal audits, and special audits/reviews as determined necessary.

While each audit/review may vary in scope, all focus on establishment and maintenance of effective internal controls over the program(s) being audited/reviewed. Internal

controls are defined as a process effected by an entity's oversight body, management, and other personnel that provides reasonable assurance that the objectives of an entity will be achieved.

Counties with adjustments and findings in their most recent single audit report and in their most recent AG report must present a corrective action plan that includes what internal controls will be strengthened and/or implemented to prevent repeat adjustments and findings in the current year.

Furthermore, under the Uniform Guidance, counties who have identified their contracted service providers as sub-recipients must meet the requirements of a "pass-through entity" under 2 CFR §200.331. Therefore, those counties must:

1. Ensure that every sub-award is clearly identified to the sub-recipient at the time of the sub-award. Information should include:
  - a. Federal award identification;
  - b. Requirements imposed by the county to ensure that the federal award is used in accordance with federal statutes and regulations;
  - c. Any additional requirements imposed by the county for the county to meet its own responsibility to the federal awarding agency, including identification of any required financial and performance reports;
  - d. If applicable, an approved federally recognized indirect cost rate, the negotiated indirect cost rate between the county and the sub-recipient, or a de minimis indirect cost rate in accordance with the Uniform Guidance;
  - e. A requirement that the sub-recipient permit the county and auditors access to their records and financial statements as necessary; and
  - f. Appropriate terms and conditions concerning closeout of the sub-award.
2. Evaluate each sub-recipient's risk of noncompliance with federal statutes and regulations for purposes of determining the appropriate monitoring, which may include consideration of such factors as:
  - a. The sub-recipient's prior experience with the same or similar sub-awards;
  - b. The results of previous audits;
  - c. Whether the sub-recipient has new personnel or new/substantially changed systems; and
  - d. If applicable, the extent and results of federal awarding agency monitoring.
3. If appropriate, consider imposing specific sub-award conditions upon a sub-recipient.
4. Monitor the activities of the sub-recipient as necessary to ensure that the sub-award is used for authorized purposes and that performance goals are achieved. County monitoring of the sub-recipient must include:
  - a. Reviewing financial and programmatic reports required by the pass-through entity;
  - b. Following-up and ensuring that the sub-recipient takes timely and appropriate action on all deficiencies pertaining to the federal award

- provided to the sub-recipient from the county detected through audits, on-site reviews, and other means; and
  - c. Issuing a management decision for audit findings pertaining to the federal award provided to the sub-recipient from the county.
5. Depending upon the county's risk assessment of the sub-recipient, the following monitoring tools may be useful for the county to ensure proper accountability and compliance with program requirements and achievement of performance goals:
    - a. Providing sub-recipients with training and technical assistance on program-related matters;
    - b. Performing on-site monitoring; and
    - c. Arranging for agreed-upon-procedures engagements.
  6. Verify that every sub-recipient is audited when it is expected that the sub-recipient's federal awards expended during the respective fiscal year equaled or exceeded the threshold set forth in 2 CFR §200.501.
  7. Consider whether the results of the sub-recipient's audits, on-site reviews, or other monitoring indicate conditions that necessitate adjustments to the county's own records.
  8. Consider taking enforcement action against noncompliant sub-recipients.

## Section 4: Required & Additional Language

### 4-1a. Assurances

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

### 4-1b. CWIS Sharing Agreement

- **See CWIS Data Sharing Agreement.**

### 4-1c. Evidence Based Program Data Acceptance Acknowledgement and Certification

- **See EBP Data Sharing Agreement.**

## Appendix 1: Budget File Instructions

**All data is to be entered into the Budget Excel file.** Counties are responsible for populating blue cells. Macros must be enabled.

Do not cut and paste to relocate an entry in the workbook. Use the delete key if data is incorrectly or inaccurately entered.

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

Instructions and explanations are included for each of the tabs in the Budget Excel file. If a county wishes to view the formulas included in the workbook, they can select "Show Formulas" on the "Formula" ribbon at the top of the Budget Excel file.

### Crosswalks and Checks

This form is a tool for counties to self-check several fiscal checkpoints and crosswalks. All responses must be "Yes" or "N/A"; otherwise, correction is required prior to submission of the Budget Excel file.

### Fiscal Management

1. Enter the "County Code" in the space provided.
2. 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.
3. Enter the "ACTUAL Fiscal Year" in the space provided (entry format: 2024-25).
4. Enter the date of the most recent certified allocation letters for both the Actual and Implementation years.
5. Enter the certified expenditures and revenue allocations from these letters in the appropriate columns.
6. Enter the contact information for the CCYA's Education Liaison in the space provided.

### Actual Act 148 Invoice

1. Enter the "Quarterly Report Number" represented in the space provided. If this number is not provided, there will be errors in subsequent years.
2. Select the "Click to Import Act 148" macro and choose the latest Act 148 invoice submitted to the Bureau of Financial Operations. The macro will copy and paste the expenditure and revenue data from the selected invoice, including the Title IV-E administrative revenue associated with non-recurring adoption and SPLC costs

and purchased foster family care. The numbers of children served, and days of care data will also be imported.

3. Complete the “Housing Expenses” table to the right of the expenditure report. The table includes the total costs and number of children, youth, and families who received actual housing and housing supports reported on the Act 148 invoice during the period represented in the expenditure report. This table is a subset of total expenditures reported in the expenditure report and should not include expenses reimbursed with IL or Housing grant funds.
4. Complete the “ESSA” table to the right of the expenditure report. The table includes the total costs and number of children and youth who received transportation services related to ESSA. This table is a subset of total expenditures reported in the expenditure report and should not include expenses reimbursed with IL or Housing grant funds.

- **NOTE:** Transportation costs reported on the ESSA table do not include CCYA staff wages, salaries, and benefits.

The Annualized Expenditures are projected assuming level spending throughout the year or 25 percent per quarter except for 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 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.

#### Fee for Service Schedule

This form automatically populates once the CCYA imports the latest Act 148 invoice submitted to the Bureau of Financial Operations (step 2 under Actual Act 148 Invoice). The worksheet is a detailed listing of purchased services that aligns with the expenses reported in the actual year.

The header information populates based on data entered in the ***Fiscal Management*** tab.

#### Consultant Detail

CCYAs must provide detail regarding the expenditures reported in the “Operating” object of expenditure for consultant expenses included in the imported Act 148 invoice. The worksheet in the county’s NBPB file must be completed; a separately submitted computer-generated form is not acceptable.

The form provides necessary data to analyze the county’s existing consultant services. **Copying and pasting data from a previous FY NBPB file will create formula errors if the data isn’t pasted as a value.**

Insert rows, if additional rows are needed, by right clicking on the row number to the left and then click “insert”. Copy the format by selecting the row number of a pre-existing row, copying, and pasting to the inserted rows.

The header information populates based on data entered in the ***Fiscal Management*** tab. The remainder of the fields require data entry by the CCYA. The CCYA should provide for each consultant, within each cost center, the following:

1. Cost Center - list the appropriate dependent and delinquent cost center by using the drop-down menu.
2. Provider – list the name of the consultant.
3. Solicitor (Y/N) – select whether the provider is a solicitor by using the drop-down menu.
4. If Yes, Years of Experience – if “yes” is selected in the preceding column, the cell will prompt reporting the number of years (rounded to the nearest whole number) that reflects the experience representing the child welfare agency.
5. 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, etc.).
7. Number of Units Provided – enter the number of units provided during the period.
8. Total Cost – provide the total cost of the consultant service. Must equal the county contract rate times the number of units.
9. Target Population – identify the primary population to be served, if applicable
10. Description of Service – briefly describe the service that best identifies what service was provided.

#### Children and Youth Staff Assessment

Starting NBPB 2026-27, the Personnel Summary and the C&Y Staff Summary tabs have been combined into one tab, now C&Y Staff Assessment tab. The information being collected will allow CCYAs to provide detail regarding DHS approved positions, including those that are vacant. The form provides necessary data to analyze the county's existing personnel as it relates to expenditure adjustments being requested.

**The blue cells on the form are unprotected, but contain data-validation (e.g., users can only enter specific types of values (dates, text, etc.) into certain cells).**

**Be careful with data entry to avoid errors. When copying and pasting data from other sources, paste as values to avoid errors.** The worksheet in the NBPB file must be completed; a separately submitted, computer-generated form is not acceptable. CCYAs will not need to insert rows.

- **NOTE:** CCYAs must provide information regarding the County Child Welfare grant-funded personnel (i.e., positions paid for with IL, SGI, or IT funds, if applicable), including vacancies.

The “County Name” populates based on data entered on the ***Fiscal Management*** tab. The remainder of the fields require data entry by the CCYA. The CCYA should provide the following:

#### 1. Children and Youth Staff Summary Table

This form contains information on positions and costs for the Actual FY YTD through the NBPB FY. Positions are shown on this form as FTE; i.e., part-time staff numbers are shown using a decimal.



- **NOTE:** The total number of positions includes grant-funded and non-grant-funded positions, however, the **salary and benefit information is only reported and collected for the non-grant-funded positions**. The salary and benefit information associated with grant-funded positions is reported in the Grant Excel File.

- Column 1: Actual FY Positions– all cells automatically populate as reported on the **Personnel Summary Table**. The “NO.” columns contain the number of current FTE filled and vacant positions as of the last day of the reporting period.
- Column 2: Actual FY Adjustments to Most Recent Act 148 Invoice – Enter the positions that have increased or decreased because of adjustments to the Act 148 invoice if the most recent Act 148 Invoice is not being reported on Q4 submission. For example: The most recent Act 148 invoice is reported on Q2, ending December 31st. In the 3rd Qtr., your agency reclassified 2 Fiscal positions to 2 Clerical positions. Adjustments showing the change in Staff Categories should be entered. Enter the associated expenditure adjustment number(s) in the space provided directly below the header of the column.
- Column 3: Actual FY Estimated Actuals – automatically populates the estimated actuals by totaling both the positions from Columns 1 and 2.

**CROSSWALK:** The total personnel cost in Column “3” will automatically populate the non-grant-funded salaries and benefit total on the **County’s Adjusted EST. Actuals** worksheet.

- Column 4: Implementation Year Certified Positions – Automatically populates the total number of positions approved per staff category as contained in the certified allocation letter for the Implementation Year.
- Column 5: Implementation Year Maintenance Adjustments – Enter the increased or decreased number of positions per staff category in the Implementation Year because of changes to the current staffing compliment, if any. Examples would be reclassification of positions. Enter the associated expenditure adjustment number(s) in the space provided directly below the header of the column if there are costs associated with the staffing change.
- Column 6: New Staff Adjustments – Enter the number of new positions requested in the Implementation Year, if any. Enter the associated expenditure adjustment number(s) in the space provided directly below the header of the column.
- Column 7: Implementation Year Non-Reimbursable – Enter the number of non-reimbursable non-grant -funded full and part-time staff for the

Implementation Year, if any. These positions would include any staff that were not certified for the Implementation Year. Any position in which the costs exceed the allowable costs established in Chapter 3170 should not be listed in this column, but the costs should be identified as non-reimbursable in the Expenditure Adjustment – Imp tab as well as costs for staff that were not certified for the Implementation Year.

- Column 8: Total Implementation Year Pos – Automatically populates by totaling positions from Columns “4” through “6”. Non-reimbursable staff are not included in this column.

**CROSSWALK:** The total non-grant-funded personnel cost in Column “8” will auto populate from the salaries and benefits total on the **County’s IMP PLAN** tab.

- Column 9: NBPB Year Maintenance Adjustments - Enter the increased or decreased positions per staff category because of adjustments to the NBPB Year, if any. Enter the associated expenditure adjustment number(s) in the space provided directly below the header of the column.
- Column 10: NBPB Year Increased Staff Adjustments – Enter the number of increased positions by staffing category because of a request for new positions in the NBPB year, 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 10 months funding may be included. Enter the associated expenditure adjustment number(s) in the space provided directly below the header of the column.
- Column 11: NBPB Year Non-Reimbursable – Enter the number of non-reimbursable non-grant -funded full and part-time staff for the NBPB Year, if any. These positions would include any staff that should not be certified for the NBPB Year. Any position in which the costs exceed the allowable costs established in Chapter 3170 should not be listed in this column, but the costs should be identified as non-reimbursable in the Expenditure Adjustment – NBPB tab as well as costs for staff that should not be certified for the NBPB Year.
- Column 12: Total NBPB Year Positions – Automatically populates the non-grant-funded positions from Columns “9” through “10”. Non-reimbursable staff are not included in this column.

**CROSSWALK:** The total non-grant-funded personnel cost in Columns “12” will auto populate from the salaries and benefits total on the **County’s NBPB** tab.

- **NOTE:** The total number of FTE grant-funded positions requested in the NBPB Year. This number should correspond to the number of grant-funded positions requested through the Grant Excel file. These positions are invoiced through the IT, SGI, or IL invoices.

## 2. Personnel Summary Table

For each filled and vacant staff position funded by the County Child Welfare appropriation, enter the following information:

- Column A: Percentage of time if NOT full time – If a position is less than full-time or funded through multiple funding streams, enter the appropriate percentage the position is filled as a decimal. If the position is full time, leave this cell blank.
- Column B: Position number - List the unique county assigned position number for all positions, whether filled or vacant, during the report period. Do not use social security numbers, names (full or partial), or numbers assigned by civil service in place of county assigned position numbers.
  - When an employee vacates a specific position and a different employee fills it, the position number should not change. Unique position numbers should not be reused under different staff categories (e.g., position #10 for a caseworker 3 should not exist if position #10 for a caseworker 1 already exists).
  - Each position number should only be listed once.
- Column C: Employee number – Enter the employee-specific number, not a generic employee number. Do not use social security numbers or names (full or partial) in place of employee numbers.
  - If an employee held different positions during the report period, **ONLY** list the employee in the position number they occupied on the last day of the reporting period.
  - Each employee number should only be listed once.
  - For vacant positions, leave this column blank.
- Column D: If Vacant, Has County Approved to Fill – if a position is vacant, indicate whether the position is approved by the county to fill (e.g., if a position was approved to fill by DHS but not approved by the county to fill, select no). This field only needs completed for vacant positions, i.e., entries are only needed if a Position Number has been entered without an Employee Number.
- Column E: Date Vacant – If the position is vacant on the last day of the reporting period, enter the date the position became vacant. This field will be blocked if an employee number is entered in column C.

- Column F: Staff Category – Enter the staff category assignment (“1” through “9”) based on the below definitions:
  - **01 Caseworkers 1** – Include all entry-level casework staff regardless of case carrying status.
  - **02 Caseworkers 2 and 3** – Include all staff designated as a Caseworker 2 or 3 regardless of case carrying designation.
  - **03 Supervisors/Casework Managers** – Include staff that directly supervise supervisory staff, direct service staff and caseworkers.
  - **04 Administrators** – Include staff that perform administrative or supervisory duties that do not supervise direct care staff. Include the Agency Director when the director supervises direct service staff.
  - **05 Clerical** – Include staff that perform secretarial or general office work functions.
  - **06 Facility Staff** – Include staff that care directly for children and youth in a county-operated facility for whom costs are reported as wages, salaries, and benefits vs. purchased services on the imported Act 148 Invoice.
  - **07 Fiscal** – Include staff that are involved in fiscal transactions, such as: initiating purchases, accounts payable and receivable, entering or reviewing transactions, completion of fiscal reporting, eligibility determinations for funding decisions, etc.
  - **08 Other** – Include non-grant funded staff that do not fit one of the other categories. When selecting “other”, users will be prompted to list the position title in a subsequent column.
  - **09 Grant-funded** – Include staff whose wages and salaries are paid for with a grant supported by the County Child Welfare appropriation (e.g., IL, SGI, or IT).
- Column G: Unit Type – Enter the primary work unit for each caseworker, supervisor, manager, or other position entered in Column C.

- Intake (e.g., Screening, Investigation/Assessment)
  - In-Home (e.g., Ongoing, Accepted for Services)
  - Placement (e.g., Substitute Care, Adoption, Kinship Care)
  - Specialized (e.g., QA, Family Engagement, IL)
  - Generalist/Generic (i.e., manages multiple service areas and/or case types)
- Column H: If Employee is “Other”, List the Position Title – Enter the position title for any staff category selection of “Other” in a preceding column.
  - Column I: If Employee is “Grant”, identify the Grant in which the employee is funded through. (ATP, EBP, Housing, ILG, PaPP, or Multiple)

### 3. County Details

- Caseworker 1 Starting Salary – Enter the starting salary for a Caseworker 1 during the report period in cell L27
- Caseworker 2 Starting Salary – Enter the starting salary for a Caseworker 2 during the report period in cell L28
- Caseworker 3 Starting Salary – Enter the starting salary for a Caseworker 3 during the report period in cell L29

#### Fixed Assets Inventory

CCYAs must complete the **Fixed Assets Inventory** tab by listing all fixed assets purchased with any funding, excluding the IT grant, provided through DHS during the previous fiscal year, regardless of whether the item is still in the possession of the CCYA. The “Total Acquisition Cost” must tie to the “Fixed Asset” total on the imported Act 148 Invoice. The worksheet in the county’s NBPB file must be completed; a separately submitted, computer-generated form is not acceptable.

CCYAs should not need to insert rows; however, there are macros at the top left of the form to permit the user to hide and unhide blank rows.

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 DHS.

#### Expenditure Adjustments – Actual; Implementation Plan and NBPB

These forms provide counties an opportunity to create expenditure adjustments for the applicable FY. The county must provide justification separately for each adjustment for all dollar differences.

- Expenditure adjustments to the Actual year may be necessary when a CCYA imports an Act 148 invoice other than the fourth quarter. The CCYA can adjust

the annualized expenditures, which are projected assuming level spending throughout the year or 25 percent per quarter except for fixed assets. Examples of common expenditure adjustments in the Actual year:

- Increases for indirect expenditures which are charged to the CCYA in the fourth quarter;
- Increases for vacancies that will be filled in the fourth quarter; or
- Decreases to account for a declining number of placements during the year that will continue in the fourth quarter.
- The Actual year expenditures become the baseline for the Implementation year; expenditure adjustments to the Implementation year may be necessary when the county's plan for the current year varies from the Actual year. If the county plans to implement their approved budget for the current year as planned, expenditure adjustments will still be needed unless there are no changes from the Actual year.
- The Implementation year becomes the baseline for the NBPB year; expenditure adjustments to the NBPB year may be necessary when the county's plan for that FY varies from the Implementation year.

Examples of expenditure adjustments in the Implementation or NBPB years include:

- Salary increases for existing staff;
- Increased costs to fill vacancies;
- Annualization of partial staff expenses in the prior year;
- Increased cost for existing services;
- Utilization of services;
- Hiring new staff; new services; or
- Purchase of an automobile.

- **NOTE:** The Implementation and NBPB years will reflect the Actual year data, absent fixed assets, if the county makes no expenditure or revenue adjustments.

The "County Name" and FY at the top left of the tab automatically populate based on entries to the ***Fiscal Management*** tab.

1. Column A: Adjustment Number – Enter the adjustment number; expenditure adjustments should be provided in sequential numerical order (e.g., 1, 2, 3, etc.). The adjustment number must be repeated for each line of the expenditure adjustment (e.g., if adjustment number one includes changes to five different cost centers (rows), enter the adjustment number in each row).
- **NOTE:** If adjustment numbers are not entered in sequential numerical order or an additional row is added to an existing adjustment number (out of order), after entering the adjustment in the bottom-most, unused row, use the "Sort by #" macro to place the adjustment entries in sequential numerical order.

2. Column B: Adjustment Title – Provide a high-level summary of the expenditure adjustment, no longer than three sentences, that indicates what the request is for and the total cost. The title does not need repeated for each line of the expenditure adjustment, and it should not provide the classification, projection of cost, cost center or expenditure category detail.
  - Example of a high-level summary: “Contracted rate increases for six private providers to account for increased costs to their programs. Increases negotiated and approved by County. Total request: \$2,345.”
3. Column C: Classification – Select, from a drop-down menu, the category that reflects the type of expenditure adjustment. The classification does not need repeated on each line of the expenditure adjustment. Definitions and examples are below:
  - **A: Annualization** – Increasing or decreasing expenditures to adjust expenditures budgeted for a portion of the prior fiscal year. Examples include:
    - If a new initiative was implemented for six months in a prior year and is expected to continue, the county will need to request additional funding to account for an entire year’s expense; or
    - If a new staff position was created and filled for eight months in the prior year, the county will need to request additional funding to account for an entire year’s expense if they expect the position to remain filled.
  - **F: Fixed Assets** – Increasing expenditures for fixed asset costs as defined in 55 Pa. Code §3170.71. Fixed assets do not need to be separated from other adjustment classifications if they are associated with the adjustment (e.g., fixed assets for new staff delivering a new service or program would be included in the “New Program/Service” classification). Examples include:
    - If a county needs a new vehicle; or
    - If a county needs to purchase new fire-proof file cabinets.
  - **NOTE:** IT items, including printers, should be requested through the IT Grant. In rare circumstances, if the county has unplanned IT expenses in the Implementation year that are unable to be funded through the IT Grant, the county may request NBPB funding through an expenditure adjustment for the Implementation year in the Budget Excel file. The justification must describe the need for the items and the basis for the costs occurring outside the IT Grant. The costs would then need to be removed in an expenditure adjustment in the NBPB year.
  - **NOTE:** Vehicle leases should be considered operating expenses and changes in the lease expense should be reported in the “Maintaining Existing Service/Program” classification.

- **G: Grant Pick-Up** – Increasing expenditures to support continuation of a program or service that has been paid through an entity outside of the NBPB (e.g., Pennsylvania Commission on Crime and Delinquency (PCCD), ACF, private philanthropies etc.) that were established as term-limited and continued funding from the third-party source is no longer available. This classification should also be used to request continued funding for a program/service that had been funded as a Pennsylvania Promising Practice (PaPP) for two years. Counties should be prepared to present outcomes of those programs/services that are subject to the request along with data to support historical usage and costs.
- **M: Maintaining Existing Service/Program** – Increasing or decreasing expenditures to maintain the current or an expanded level of service in the following year that does not result in serving additional children, youth, or families. Counties should be cognizant of one-time operating costs or fee increases in the Actual or Implementation year that need to be removed in the subsequent FY. Examples include:
  - If the county needs additional funds to support staff raises or changes in the cost of benefits for existing staff;
  - If there are changes in unit cost or per diems of existing providers for the same services with no change in units of service provided;
  - If there is a change in cost allocation (e.g., salary/benefits/operating) due to a change in time study results;
  - If the county needs additional funds to support filling a vacancy; or
  - If the county opts to discontinue a vehicle lease, or the cost of the lease changes.
  - If a visitation service, funded in the prior year, is being expanded to include transportation (and additional units of service will not be provided), the county will need to request funding for the additional service costs.
- **N: New Program/Service** – Increasing expenditures 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 include:
  - If funding is needed for a different type of visitation program beyond what is currently provided, whether it is a new or different provider; or
  - If the county wants additional personnel to start up a new adoption unit within the agency, they will need to request wages and salaries, benefits, operating and fixed assets for the new positions.
- **NOTE:** 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 fiscal year.



- **U: Utilization Increase/Decrease** – Increasing or decreasing expenditures associated with an increase or decrease in units (days of care or children and youth served) for a service currently purchased or provided by county staff. Examples include:
    - If the county anticipates increases or decreases in placement days of care;
    - If the county is moving children in foster care to adoption and accounts for cost shifting (i.e., decreases foster care placement days and increases adoption days of care to shift costs from foster care to adoption); or
    - If the county establishes an additional program location to serve a greater number of children and youth; or
    - If the county is eliminating a program or service.
  - **NOTE:** Each adjustment may represent only one classification. For example, do not combine an increase/decrease for “Maintenance” with an increase/decrease in “Utilization.” However, one adjustment may include multiple major objects of expenditures and/or cost centers.
4. Column D: County Justification – Provide the detailed information and data, including the source, to support the decision to request an expenditure adjustment. The justification does not need repeated on each line of the expenditure adjustment. The justification should address:
- The predicted goal of the strategy, which must relate to an outcome that assures the safety, permanency, or well-being of the children and youth 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;
  - What evidence the county has indicating that the strategy will succeed in achieving its intended outcome and how outcomes will be measured;
  - What steps the county utilized to determine the fit of the program into current structure, capacity for expansion, identification of infrastructure necessary to support implementation, and ongoing sustainability;
  - Changes in personnel costs (wages and salaries and employee benefits), operating, 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;
  - Any collaborative efforts to identify or address the need;
  - What data was used in the analysis (e.g., if requesting increased placement costs, part of the justification should include trend data from the General Indicator Excel file);
  - Whether the adjustment results in a decrease to another cost center or major object of expenditure; and

- The status of implementation of the identified service or activity. Examples include:
  - Dates by which new staff will be hired or vacancies filled;
  - Status of contract negotiations;
  - Current activities; or
  - Startup of a new program or service.
- **NOTE:** Counties may wish to provide additional justification (including charts) and projections of cost (see below) as part of separate word document (i.e., Expenditure Narrative). This is permitted, but the Budget Excel file must include a summary of how the agency determined the need existed, how the program or service was selected, when the program or service will be implemented, who the provider will be, and the population being served.
- **NOTE:** If the County Justification is extensive, consider using the Word document titled NBB00\_XX-XX\_Exp Adj Narrative Template.
- 5. Column E: Additional Children/Units of Service – If applicable, provide the number of children and youth or units affected by the adjustment.
  - **NOTE:** These increases, or decreases should be accounted for in the Expenditure report of the FY as the children served and days of care do not auto-populate.
- 6. Column F: Projection of Cost – Provide the calculation(s) that produce the total estimate of cost and the allocation plan distribution into the appropriate cost centers. If the adjustment results in a decrease to another cost center or major object of expenditure, the calculations to support the offset must be included. If the cost projection is based on proposed program funding of the service, this should also be identified, and details of the program's costs provided
  - **NOTE:** If the Projection of Cost is extensive, consider using the Word document titled NBB00\_XX-XX\_Exp Adj Narrative Template.
- 7. Column G: Cost Center – Select the cost center(s) affected by the adjustment.
- 8. Column H: Cost Center Number – Automatically populates the cost center number used in the Expenditure Report.
- 9. Column I: Wages and Salaries – If applicable, report the total dollar amount (no cents) changes associated with wages and salaries for each cost center selected.
- 10. Column J: Employee Benefits – If applicable, report the total dollar amount (no cents) changes associated with employee benefits for each cost center selected.

11. Column K: Subsidies – If applicable, report the total dollar amount (no cents) changes associated with subsidies for each cost center selected.
12. Column L: Operating - If applicable, report the total dollar amount (no cents) changes associated with operating for each cost center selected.
13. Column M: Purchased Services - If applicable, report the total dollar amount (no cents) changes associated with purchased services for each cost center selected.
14. Column N: Fixed Assets - If applicable, report the total dollar amount (no cents) changes associated with fixed assets for each cost center selected.
15. Column O: Non-reimbursable non-purchased services and subsidies - If applicable, report the total county-funded (i.e., the state does not participate in the cost) dollar amount (no cents) for wages and salaries, employee benefits, operating, and fixed assets for each cost center selected.
16. Column P: Non-reimbursable purchased services and subsidies - If applicable, report the total county-funded (i.e., the state does not participate in the cost) dollar amount (no cents) for purchased services and subsidies for each cost center selected.
17. Column AP: Cost Initiative – If applicable, select the associated cost initiative from the drop-down menu. If there are multiple lines in the expenditure adjustment request, select the cost initiative in first line of the adjustment. The remaining lines in the adjustment will populate by the selection made in the first line. The initiatives included in the drop-down menu are pre-determined by OCYF.

The county can create or update summary reports of the expenditure adjustments by selecting “Create/Update Summary Reports” macro in Column M. This macro formats the ***Adjustment Summary – Actual*** and the ***Exec Summary – Actual*** tabs for viewing.

Adjustment Summary – Actual; Implementation Plan; and NBPB

These forms provide a fiscal summary of the expenditure adjustments. No entry is needed to this tab; data automatically populates based on entries to the ***Exp. Adjustments – Actual; Imp; or NBPB*** tab. If information is only partially viewable or needs refreshed, return to the ***Exp. Adjustments – Actual; Imp; or NBPB*** tab and select the “Create/Update Summary Reports” macro.

Executive Summary – Actual; Implementation Plan; and NBPB

This form provides an executive summary of the expenditure adjustments, including the county justification. No entry is needed to this tab; data automatically populates based on entries to the ***Exp. Adjustments – Actual; Imp; or NBPB*** tab. If information is only

partially viewable or needs refreshed, return to the **Exp. Adjustments – Actual; Imp; or NBPB** tab and select the “Create/Update Summary Reports” macro.

#### Summary of Adjustments to Actuals; Implementation Plan; and NBPB

These forms summarize the expenditure adjustments by major object and cost center using the Expenditure Report format. No entries are necessary unless the county is requesting a revenue adjustment. See instructions for the **Explanation of Rev Adj** tab for further clarification. Entry on this form is limited to the total dollar amount change in revenue projections by cost center and revenue type. 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.

#### County Adjusted Estimated Actuals; Implementation Plan; and NBPB

These forms automatically populate most data elements based upon data imported from the Act 148 invoice and any expenditure and revenue adjustments completed for that FY.

- The **County Adjusted EST. Actuals** is the sum of the imported Act 148 invoice and the **Summary of Adjust to Actuals** tab, except for revenue amounts that exceed “capped” allocations.
- The **County IMP. PLAN** is the sum of the **County Adjusted EST. Actuals** and **Summary of Adj. to IMP Base**, except for fixed asset costs from the estimated Actual year and any revenue amounts that exceed “capped” allocations.
- The **County NBPB** is the sum of the **County IMP. PLAN** and the **Summary of Adj. to NBPB Base**, except for fixed asset costs from the Implementation year.

The only data the county must enter is the unduplicated number of children and youth anticipated to be served in each cost center and the days of care for placement services. These entries must reflect any increases or decreases in utilization of service that were reported with the expenditure adjustments.

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

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

- 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.
- In the “Children Served (Purchased)” column, for each cost center, provide the unduplicated count of children and youth served with the “Days of Care” reported in above.

#### Explanation of Revenue Adjustments

Revenue projections in the Implementation and NBPB years are based on the ratio of revenue to the appropriate type of expenditures as exists in the imported Act 148 invoice, but not to exceed existing “capped” allocations. This form should be completed if the CCYA entered revenue adjustments on the ***Summary of Adjust. to Actuals; Imp; or NBPB*** tabs. All revenue adjustments must be justified so that DHS can determine how the circumstances should be reflected in the calculation.

Counties must consider the below when requesting revenue adjustments:

- The workbook already accounts for changes to the FMAP for Title IV-E placement maintenance, adoption, and SPLC subsidies; and
- Title XX, Temporary Assistance to Needs Families (TANF) and Title IV-B revenue cannot exceed or be less than the Implementation year final allocation; and
- The state Act 148 and county level funds are determined once all other revenue sources are subtracted from the total allowable costs and the appropriate reimbursement percentage is applied to the approved services; and
- Changes in expenditure levels will affect revenue projections.

A revenue adjustment should be completed if circumstances exist that would affect either the program income, Title IV-E placement maintenance claim, or the cost pool calculation for the Title IV-E administrative claim.

Examples include:

- Anticipated loss of Title IV-E placement maintenance revenue because of the reimbursement limit for congregate care. For example, CCYAs could calculate the loss of revenue by estimating the number of new non-specialized congregate care placements expected in the event a provider loses certification and the 14-day limitation is imposed. Administrative costs can continue to be claimed so should not be part of the planned reduction.
- Purchase of a motor vehicle exceeding \$25,000 that cannot be included in the cost pool for the Title IV-E administrative claim; or
- A lump sum payment recorded as program income in the Actual year that is not expected to repeat in the Implementation or NBPB years.

Follow the instructions below to complete this form:

- Complete the text box by indicating the FYs 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 fiscal year ***Summary of Adjustment...*** worksheet; i.e., **manual entry of the adjustment(s) is required** on the ***Summary of Adjustment...*** worksheet.

➤ **NOTE:** Revenue adjustments do not carry forward from FY to FY. CCYAs will need to repeat the adjustment if it's applicable to more than one FY.

#### Cost Center Analysis

This form automatically populates and provides a comparison of expenditures by cost center covering the Estimated Actual, Implementation Plan, and the NBPB years. The "Total Expenditures" columns of the respective years' Expenditure Reports are brought forward to the appropriate column of this form.

#### CY-348s

This form automatically populates the fiscal summaries for the Estimated Actual, Implementation Plan, and the NBPB years with data from the appropriate expenditure and revenue reports.

#### Budget Summary

This form automatically populates with data from the appropriate expenditure and revenue reports.

## Appendix 2: Permanency and Older Youth Initiative

The collaborative efforts of SWAN and IL are to increase permanency for older youth in foster care and to better prepare youth as they transition to adulthood. All youth in out-of-home care need permanency services to help them reunify with their family of origin or find an alternate permanent family and independent living services to help them transition to adulthood. Adoption, permanency, and IL caseworkers need to recognize the importance of ensuring that all eligible youth receive both SWAN and IL services to prepare them for a successful transition.

### SWAN

SWAN is designed to support and enhance timely permanency services for children and youth in Pennsylvania who are in the custody of CCYAs. All foster children and youth, regardless of their court-ordered permanency goal are eligible to receive SWAN services. 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. SWAN services may be provided by the county, provided by a licensed adoption service provider, or requested from the SWAN prime contractor. 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 OCYF regional office.

The SWAN Legal Services Initiative (LSI) is also funded by DHS through the SWAN prime contract. Since its inception, the LSI has grown tremendously and now has 265.5 paralegals in 67 counties. Given the size of this program, requests for additional LSI paralegal positions must include an explanation of the need. Priority for additional positions in this program will be given to counties that can demonstrate a need for additional staff.

To ensure proper reimbursement to SWAN affiliates, OCYF determines whether cost adjustments for SWAN units of service are needed on an annual basis. Cost adjustments will be determined after analysis of the actual cost and time data submitted by SWAN affiliate agencies to the SWAN prime contractor. If cost adjustments are needed, they will be communicated to SWAN affiliates through an annual SWAN Unit of Service Payment Rates and Programmatic Changes Bulletin and to CCYAs through the annual NBPB guidelines. These guidelines include actual SWAN rates effective July 1, 2024 through June 30, 2025 and tentative rates for July 1, 2025, through June 30, 2026.

In February 2025, OCYF began reviewing affiliate cost and time data collected from calendar year 2024 to determine whether any cost adjustments were needed beginning July 1, 2025 through June 30, 2026. A final decision has not been made as of the writing of this bulletin. If any price adjustments are made, a new SWAN Unit of Service

Payment Rates and Programmatic Changes Bulletin will be issued, and budget requests modified accordingly.

Below are instructions for completion of the CY-919 which provides a detailed picture of the county's total projection for permanency services, projected units and projected costs:

### ***SWAN Unit of Service 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 and youth in care. A "Unit" of Case Management is an unduplicated child/youth receiving services. Do not include case management costs for SPLC or kinship care. *The case management costs for these services must be shown in the cost center where staff services 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.

#### **CHILD PROFILE**

The child population served includes children and youth in the legal custody of CCYAs regardless of their court-ordered permanency goal, including children and youth 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/youth's life and includes a placement history that can be beneficial to the child/youth and their family, whether it is their family of origin, adoptive, permanency legal custodian, or formal kinship care family. Topics to be addressed in the child profile are contained in the OCYF Bulletin #3350-03-01 on page 16 and in Attachment B.

The child profile can be used for a maximum of three years, which may include two addendums. CCYAs must request an addendum by making a referral to the SWAN prime contractor for a child profile addendum at a unit cost of established for the year in which the referral was made. The affiliate may invoice the prime contractor for the child profile addendum when it has been completed and certified by the CCYA. CCYAs may only request one addendum per child profile per year. After two child profile addendums have been completed, the CCYA will make a referral for a new profile if the child/youth has not achieved permanency and is still in need of a current child profile.

#### **CHILD PROFILE ADDENDUM**

Child Profile Addendums may be referred by a [county agency](#) after the first and/or second year following the completion of the original Child Profile in cases where the child is not placed with a [family](#). The addendum seamlessly integrates new



information while reorganizing or removing information that is changed or no longer current.

### CHILD PREPARATION

The child population served includes children and youth in the legal custody of CCYAs regardless of their court-ordered permanency goal, including children and youth 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/youth for reunification or another permanent placement option.

### CHILD-SPECIFIC RECRUITMENT (CSR)

The child population served includes children and youth in the legal custody of CCYAs regardless of their court-ordered permanency goal, including children and youth 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/youth, whether through adoption, permanent legal custodianship, or formal kinship care. Additionally, this service is beneficial for older youth transitioning to adulthood to assist in identification of individuals who, although they may not be willing or able to provide legal permanency, are willing to ensure that the youth receive assistance and guidance as needed/requested when they leave the child welfare system. Young adults may need assistance and guidance obtaining medical care, housing, other social services, etc. This person or persons whose qualifications match the service needs of the child/youth are identified through specialized activities.

However, when the CCYA 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.

***CSR is a six-month unit of service.*** If, at the end of the six-month period the child/youth has not achieved permanency, the SWAN affiliate may invoice the SWAN prime contractor and the county may refer for another unit of CSR.

CSR may not be used for the sole purpose of family finding. Family finding is one component of CSR.

### 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/youth 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 CCYA. It is not necessary to have the intent to adopt petition filed with the court to receive payments.

### FAMILY PROFILE

The family profile includes families interested in providing permanency for children and youth 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 and youth 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/youth based on the child/youth’s individual needs.

The family profile can be used for a maximum of three years, which may include two addendums. *However, the price paid for a family profile does not include any addendums.* An affiliate or CCYA must request an addendum by making a referral to the SWAN prime contractor for a family profile addendum at the unit cost established for the year in which the referral was made. The affiliate may invoice the prime contractor for the family profile addendum when it has been completed and shared with the family and, if necessary, certified by the CCYA. Affiliates and CCYAs may only request one addendum per family profile per year. After two addendums have been completed, the CCYA or affiliate agency will need to make a referral for a new profile if the family is still in need of a current family profile.

### FAMILY PROFILE ADDENDUM

A Family Profile Addendum is completed upon referral by a county or [affiliate agency](#) after the first and second year of the life of the Family Profile to keep it current. The addendum seamlessly integrates new information while removing what is no longer pertinent.

### FAMILY MATCHING:

The Family Matching unit of service was added to the services offered through the SWAN program in July 2022. This is an affiliate referred unit of service. Families waiting to be matched with a child need extensive engagement and development. The Family Matching unit includes ongoing efforts in these areas as well as activities to identify a child for placement with an eligible SWAN family through implementation of a Family Matching Plan. This is an affiliate referred, 8-month unit of service. The referral can only be made by the agency that completed the SWAN Family Profile. Affiliates may invoice the prime contractor when the county agency

approves the match and is ready to proceed with transitioning the child to the selected pre-adoptive home.

Eligible families will have a current approved SWAN Family Profile and meet the following criteria:

1. Not have an identified child for adoption
2. Have current, approved SWAN Family Profile
3. Be registered with the Resource Family Registry as an adoptive family
4. Interested in Pennsylvania children awaiting adoption and who are in the custody of a county
5. Meet one or more of the following criteria:
  - Searching for children over the age of ten years
  - Searching for children with significant medical, physical, cognitive, or emotional challenges
  - Searching for sibling group

#### Family Matching Extension

An affiliate has the ability to refer for a 4-month extension at half the price of the unit. At the end of the 4-month extension and the family remains unmatched, the affiliate must evaluate the matching plan and complete the Family Matching Extension Assessment for unmatched families to refer additional extensions.

#### ADOPTION FINALIZATION

This unit applies only to adoption and foster/adopt cases. This service includes all services provided to the child/youth, the adopting family, and the CCYA with custody of the child/youth 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.

*It is not necessary for the SWAN affiliate to have a copy of the adoption decree to receive payments.*

Finalization is an 8-month unit of service. Affiliates may invoice the prime contractor, with CCYA approval, at the rate established for the year in which the referral was made, for payment.

#### ADOPTION FINALIZATION EXTENSION

The Adoption Finalization Extension is a four-month extension and continues all services provided to the child, the [pre-adoptive family](#) and the [county agency](#) with custody of the child prior to the issuance of a decree of adoption by the [court](#).

#### POST-PERMANENCY SERVICES (three types)

There are post-permanency services available to any Pennsylvania families who have adopted a child/youth regardless of whether they adopted them from foster care, and to those families who provided permanency to children and youth from the

Pennsylvania child welfare system via adoption, permanent legal guardianship, 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 is not allocated to CCYAs 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.

1. 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 \$480 per month for a maximum of six months.

2. 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 \$1,000 per quarter per family.

3. RESPIRE

This service provides permanent families with planned periods of respite so that parents can 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 \$260 per month per family.

The unit costs listed below are the amounts that the SWAN prime contractor will pay affiliate agencies for services referred on or after July 1, 2025, through June 30, 2026.

<b>Adoption Services</b>	<b>Unit Cost</b>
Child Preparation	\$3,290
Child Specific Recruitment	\$3,330
Child Profile	\$2,300
Child Profile Addendum	\$1,980/SFY
Family Profile	\$3,500
Family Profile Addendum	\$2,360/SFY
Family Matching	\$2,800
Family Matching Extension	\$1,910

Placement	\$1,910
Finalization	\$2,590
Finalization Extension	\$1,570

**Post-Permanency Services:**

Advocate for Post-Permanency	\$480/month for a maximum of 6 months
Support Group	\$1,000 per quarter per family
Respite	up to \$310 per month per family

- **NOTE:** An affiliate may invoice the prime contractor for any service at the rate established for the year in which the referral was made.
- To request SWAN services for the NBPB year, including legal services, **complete the *Permanency Services Worksheet (CY919)* in the Grant Excel File.**

CY919

Instructions and explanations are included below:

**All data is to be entered into the Grant Excel file; complete the *Start* tab prior to making any other entries.** Counties are responsible for populating **blue** cells. Macros must be enabled.

Do not cut and paste to relocate an entry in the workbook. Use the delete key if data is incorrectly or inaccurately entered.

- Column (1): County provided services – Enter the projected number of units to be provided and the total cost. Services provided directly by the CCYA may include personnel and appropriate operating expenditures. CCYAs are expected to provide their permanency services directly or via the SWAN prime contract.
- Column (2): County purchased services – If approval was granted by the appropriate Regional Office to engage in a private contract for specialized adoption services that cannot be provided by the CCYA and/or are outside the scope of the SWAN prime contract, enter the number of units to be provided and the cost per unit. The total cost will automatically calculate based on those entries.
  - **NOTE:** The total costs for columns (1) and (2) **MUST** agree with the “Total Expenditures” on line 1-A, Adoptive Services, of the “County’s NBPB Expenditures”. The totals of columns (1) and (2) are totally separate from the SWAN units in column (3) of this worksheet.
- Column (3): SWAN Prime Contractor Services - For each appropriate service, enter the number of units of service that the CCYA projects to request from the SWAN Prime Contractor. These units may not be duplicated in the projected

units and costs in columns (1) and (2). The “Total Cost” will automatically populate.

- **NOTE:** SWAN Post-Permanency services are not included on the CY-919, but CCYAs must fill out columns (1) and (2) on the CY-919 for any Post-Permanency Services that are CCYA provided, or county purchased. Funds for SWAN Post-Permanency Services are not allocated directly to CCYAs, nor are such funds deducted from a CCYAs allocation as families self-refer for services.
- **NOTE:** SWAN Family Matching unit of service is not included on the CY-919, but CCYAs must fill out columns (1) and (2) on the CY-919 for family matching services that are CCYA provided or county purchased. Funds for SWAN Family Matching unit of service are not allocated directly to CCYAs, nor are such funds deducted from a CCYAs allocation as this is an affiliate referred unit of service.
- The number of positions, including partial, currently funded through the SWAN LSI (or Adoption Legal Services Project) will automatically populate.
- Any CCYA requesting additional paralegals must enter the number of additional paralegals they are requesting for the NBPB year in the space provided. If CCYA is requesting a part-time or half-time paralegal, they should enter the number of positions as .25, .50, etc. There is no cost for the CCYA to report or request. Priority for additional positions in this program will be given to CCYAs who can defend a need for additional staff.
- Any CCYA requesting a reduction in their current paralegals must enter the number of positions in parentheses ( ) for the NBPB year in the space. If the CCYA is requesting a reduction of a part-time or half-time paralegal, they should enter the number of positions as (.25), (.50), etc. CCYA are expected to defend their request by responding to the questions at the bottom of the page.
- The total amount of current and requested paralegals, including any requested reductions will automatically populate.
- Lastly, the CCYA must respond to three questions at the bottom of the form to explain any over or under utilization of SWAN services in the prior year and justify any increases or decreases projected for SWAN services or paralegal support. Any additional need must be clearly documented and justified.

### Independent Living

The same youth receiving SWAN services should also be provided IL services. IL services are provided to youth and young adults from ages 14 to 21 and are intended to support successful transitions to adulthood and to reduce or eliminate the instances of homelessness, poverty, and delinquent or criminal behavior through increased employability, high school graduation rates, and enrollment in post-secondary, or

vocational institutions. The design and delivery of services to this population must be responsive to the individualized needs and goals of youth in transition.

Aftercare services are available to former foster youth and young people who meet the eligibility requirements until their 23<sup>rd</sup> birthday. Aftercare services include the same IL services provided to foster youth in out-of-home care and include the following, needs assessment/case planning, life skills training, prevention services, education, support services, employment, location of housing, room and board, retreats and camps, indirect services, and program administration. No more than 30% of Chafee funds may be used for room and board for youth ages 18-23. If the youth achieved permanency through adoption or placement with a PLC prior to their 16<sup>th</sup> birthday, they would not be eligible for Chafee aftercare services or the Chafee Education and Training Grant.

All youth may be eligible for the full array of services in this grant using a combination of federal John H. Chafee Foster Care Program for Successful Transition to Adulthood Program (Chafee program) funds, state Act 148 funds 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.

All CCYAs should review the OCYF Bulletin titled "Youth Independent Living Services Guidelines" and request enough funds to meet the IL needs of youth for FY 2026-27 through the IL Grant.

<b>YOUTH STATUS and ELIGIBILITY</b>	<b>Chafee Program Funds</b>	<b>State/Local Funds</b>
Be in, or have been in, out-of-home placement on or after age 14, including youth adopted or entering permanent legal custodianship arrangements after age 16 and have been adjudicated:		
• Dependent; or	ü	ü
• Dually adjudicated dependent and delinquent; or	ü	ü
• Delinquent with shared case responsibility between the CCYA and the Juvenile Probation Office (JPO); or	ü	ü
• Adjudicated delinquent only.		ü
<i>and, after meeting any of the above criteria the following eligibility and funding source applies if the youth:</i>		

YOUTH STATUS and ELIGIBILITY	Chafee Program Funds	State/Local Funds
• Is a pre-adoptive or adoptive child/youth; or	ü	ü
• Is a qualified alien child/youth; or	ü	ü
• Is an undocumented alien child/youth or alien child/youth legally admitted on a temporary basis for work, study, or pleasure; or		ü
• Is a child/youth with special needs.	ü	ü
Children and youth who do not meet any of the above criteria, but for whom the county identifies as in need of IL services.		ü

Independent Living is comprised of 11 program services and supports designed to assist youth who have experienced foster care at the age of 14 or older to transition into adulthood. The IL programming includes the following: needs assessment/case planning, life skills training including practical application, prevention services, educational services, support services to include career planning and vocational exploration, employment services to include job placement and retention, location of housing, room and board, retreats and camps, indirect services, and program administration.

- **NOTE:** CCYAs should consider any staff needs related to assisting older youth with postsecondary applications.

The CWRC's Independent Living Project has the responsibility to monitor the implementation of the IL program and provide technical assistance to IL programs as needed. This responsibility includes site visits, which are conducted by Practice Improvement Specialists (PIs), to review IL programs and reporting. Site visits include a review of information reported in the Pre-Site Visit Questionnaire and interviews with the CCYA director, fiscal staff, IL coordinator, private providers, and program participants.

A report containing the findings and recommendations from the visit is prepared and submitted to the CCYA, SWAN technical assistance staff, OCYF, and others who attended the site visit.

CCYAs that participate in the IL grant program are required, as a condition of the grant, to

cooperate with the CWRC Practice Improvement Specialists. CCYAs 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.



CCYAs that participate in the IL grant program are strongly encouraged to have staff, private providers, and program participants attend the SWAN/IL quarterly and statewide meetings. The trainings are free to all participants; credit hours are offered, and the focus of all meetings includes topics on best practices for permanency and IL caseworkers. CCYAs can require providers to participate in these meetings as a deliverable within their contracts.

### ***NYTD Reporting***

In accordance with the Social Security Act, ACF published the NYTD Final Rule in the Federal

Register in 2008. Pursuant to the regulation, states engage in two separate but related data collection and reporting activities:

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

This is to include collecting tracking information on survey administration to ensure survey practices are consistent (e.g., incentives provided, where the young person took the survey, who administered it, etc.).

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

1. **Served population** is comprised of all youth/young adults who receive at least one independent living service paid for or provided by the state during a reporting period (45 CFR 1356.81(a)). The state must collect and report information on served population youth on an ongoing basis, for as long as youth receive services. (45 CFR 1356.82(a)(1); 1356.83(b) and (c)). This includes services provided by state agency staff (caseworkers or other professionals), foster parents, group home staff, or others on behalf of the state/county during a six-month report period;
2. **Baseline population** is comprised of all youth who are in foster care on their 17th birthday or within 45 days after their 17<sup>th</sup> birthday, regardless of whether the youth receive any services. The state is to report all youth eligible for the baseline, regardless of whether the state was able to administer the survey within the 45 days; and
3. **Follow-up populations** are subgroups of the baseline population and include a random sample of 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.

Beginning October 1, 2025, through September 30, 2026 CCYAs are required to collect 17-year-old Baseline surveys for Cohort 6. CCYAs are required to register all 17-year-old youth in care and survey them within 45 days of their 17<sup>th</sup> birthday. This includes all youth who enter care within 45 days of their 17<sup>th</sup> birthday.

Beginning October 1, 2026, through September 30, 2027, CCYAs are required to collect 21-year-old Follow-up surveys for Cohort 5. CCYAs are encouraged to maintain engagement with young people to assist with survey participation. CCYAs are encouraged to utilize Public Consulting Group to aid in completion of surveys.

To learn more about the Children's Bureau, Administration for Children and Families NYTD regulations, policies and procedures and Pennsylvania specific data, please visit: [National Youth in Transition Database \(NYTD\) | The Administration for Children and Families \(hhs.gov\)](#)

A summary of the data collection is as follows:

Population	Baseline Survey (Age 17)	Follow-up Survey (Age 19)	Follow-up Survey (Age 21)	Served Data (IL Services)
<b>FFY 2024-25</b>		<b>Yes (Cohort 5)</b>		<b>Yes</b>
<b>FFY 2025-26</b>	<b>Yes (Cohort 6)</b>			<b>Yes</b>
<b>FFY 2026-27</b>			<b>Yes (Cohort 5)</b>	<b>Yes</b>

All IT development costs associated with NYTD reporting should be reported as an administrative cost of federal Chafee funds. OCYF anticipates minimal financial impact as this can be implemented with existing staff resources and through usage of Pennsylvania's NYTD system, [www.getNYTDpa.org](http://www.getNYTDpa.org)

The law requires that ACF impose a penalty on any state that fails to comply with the reporting requirements. Pennsylvania 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. OCYF encourages CCYAs to provide gift cards or stipends for youth and young people who complete their survey. Some CCYAs have effectively increased participation by offering thank you gift cards of \$50 or more for the youth to incentivize completion of the follow-up survey.

### ***Fiscal Reporting and Payments***

CCYAs are required to submit quarterly fiscal reports within 45 days of the end of each fiscal quarter. 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).

Expenditure reports should be emailed to [ra-pwspgrilexp@pa.gov](mailto:ra-pwspgrilexp@pa.gov). PDF versions of the expenditure reports will not be accepted.

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 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 are made in accordance with the Human Services Code.

### ***Record Retention/Audit***

Fiscal reports and records should be maintained in accordance with OCYF's record retention policy. CCYAs must include these grant program expenditures as part of the county's single audit. The program grant expenditures must be addressed in the audit as a related but distinct part of the child welfare program.

### ***County Program Changes***

CCYAs may alter or revise the provision of services, activities, or programming with approval from DHS, assuming the changes meet the guidelines and requirements of these instructions. CCYAs must provide a written request to the OCYF regional director and the state IL Coordinator for approval of any needed revisions.

- To request IL Grant funding for the NBPB year, **complete the *IL Grant Request – NBPB* tab in the Grant Budget Excel File.**

### **IL Grant Request - NBPB**

Instructions and explanations are included below:

**All data is to be entered into the Grant Budget Excel file; complete the *Start* tab prior to making any other entries.** Counties are responsible for populating blue cells. Macros must be enabled.

Do not cut and paste to relocate an entry in the workbook. Use the delete key if data is incorrectly or inaccurately entered.

- **NOTE:** Placement maintenance costs for children and youth placed in IL residential programs, foster family care, and supervised independent living placement (SILP) settings for youth ages 18 to 21 will continue to be requested through the NBPB and not as part of this grant.
- **NOTE:** Costs associated with SWAN units of service are not to be requested within the IL Grant.

- The county name and FYs will automatically populate based on entries to the **Start** tab.
- “Spending Analysis” table – Enter the total IL grant allocation and actual spending for the actual year, FY 2024-25. Select from the drop-down menu whether any IL services were reported on the Act 148 invoice (i.e., invoiced and paid for via the Act 148 invoice) and if so, enter the amount. Provide the FTE count of grant funded CCYA personnel and the wages and benefit costs associated with them.
  - **NOTE:** Any IL services supported through the Act 148 invoice in the prior year will need to be removed from the base via an expenditure adjustment in the Implementation year.
- Provide the quarter end date of the most recent IL invoice in the space provided.
- “Implementation – FY 2025-26” table — Enter the total Tentative/Final Allocation awarded for FY 2025-26. Provide the FTE count of grant funded CCYA personnel approved and the wages and benefits costs associated with them.
- “Budget Request - Non-Purchased Services” table - For each IL service area column A through K (Life Skills Training, Prevention, etc.) that the CCYA expects to directly provide services or supports to youth, enter all projected costs for that IL service area. The total for all services is automatically calculated based on entries for the IL service areas A through K.

CCYAs must 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 23. The unduplicated count of youth includes in care and youth discharged from care which represents the projected total of youth receiving any IL service directly from the CCYA. Do not add Columns A through I to obtain this count.

The CCYA must clarify how many of the youth included in the “Total Eligible Youth” line are between age 21 and 23 and the budgeted costs associated with providing services to this population.

The Non-Purchased table should not include the costs for purchased service contracts or the unduplicated number of children the purchased service provider, if applicable, will serve.

➤ **NOTE:** OCYF approval is needed to grant-fund any personnel costs.

- “Budget Request - Purchased Services” table – Enter all projected costs for the services and supports in each IL service area column A through K (Life Skills

Training, Prevention, etc.) that a purchased service provider under contract with the CCYA expects to provide. The total for all services is automatically calculated based on entries for the IL service areas A through K.

Purchased service providers under contract with the CCYA must 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 23. The unduplicated count of youth includes youth in care and youth who have been discharged from care which represents the projected total of youth receiving any IL service from a purchased service provider. Do not add Columns A through I to obtain this count.

The CCYA must clarify how many of the youth included in the “Total Eligible Youth” line are between age 21 and 23 and the budgeted costs associated with them.

- **NOTE:** The table only allows for one purchased service provider to be added. If the CCYA uses purchased services from multiple providers, the aggregate amounts should be reported on this table. The CCYA is expected to maintain the individual program details and provide it upon request.

If the CCYA’s budget request amount for purchased services differs from the totals in the table, the CCYA must enter the amount requested in the line provided and explain any differences in the additional information section of the request.

The Purchased Service table should not include the costs for CCYA staff and their costs to provide services or the unduplicated number of children the CCYA staff will serve.

- The “Total Purchased and Non-Purchased Services” and “Total Budgeted for Youth 21-23” automatically populate.
- Additional Information – Respond to the questions included at the bottom of the form to assist in DHS’s review of the ILS request.

### ***Purchase of Assets***

An asset is any specific item with a purchase cost of \$300 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 IL project in the IL Grant Excel file. 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. Purchase requests should be submitted to the state IL Coordinator or [ra-pwspgrilexp@pa.gov](mailto:ra-pwspgrilexp@pa.gov) resource account.

- **NOTE:** All purchased asset requests for the Implementation year must be completed outside the IL Grant Excel file and must be approved by the OCYF Regional Director and state IL Coordinator prior to the purchase.

### Appendix 3: Special Grants Initiative

The Special Grants Initiative (SGI), established by OCYF in 2009, was designed to support innovative, community-based programs aimed at preventing child abuse and neglect, enhancing service delivery, and improving outcomes for children and families. The initiative's goal is to offer funding incentives for counties to implement specialized, high-quality, data-driven programs that address high-impact service areas.

Counties must consider the broad scale needs of its communities by using all available data, such as referral trends, service/placement drivers, and the availability of other resources, to make informed decisions on the types of programming to build into its SGI service array. When considering individual programs/services, counties must also identify the intended impact the selected program will have on children, youth, and families and how services will assist the county in achieving specific safety, permanency, and wellbeing outcomes.

CCYAs should also conduct analysis of the following factors and document them thoroughly as part of their justification for specific allocation requests within the NBPB submission:

- Identified county needs—*How does the program connect to the county's specific needs, service drivers, and priorities?*
- Program structure and management—*How will the program be structured, managed, operated, and staffed to ensure stability and effectiveness?*
- County's capacity to implement—*Are there any identified challenges or barriers that may impact program implementation or service delivery?*
- Historical spending—*Do program expenses from recent fiscal years inform the county's anticipated level of spending in the Needs-Based Year? Why or why not?*
- Data collection—*What data and outcomes will need to be collected, and what analysis must occur to determine if the program is successful in meeting the need?*
- Data analysis, evaluation, and reporting—*How will data and outcomes be analyzed, evaluated, and reported to ensure transparency and a commitment to Continuous Quality Improvement?*
- Technical assistance needs—*Who will provide technical assistance or guidance as needed to support program implementation?*
- Internal controls—*How will internal control requirements be fulfilled as to ensure program integrity, reduce the risk of fraud, and promote accountability?*

The SGI instructions provides specific detail for the preparation and submission of CCYA and JPO requests of SGI funding in the Needs-Based Year. These instructions also provide additional guidelines for the submission of required information for the Implementation Year for CCYAs with approved funding for these programs.

## **Evidence-Based Programs**

Evidence-Based Programs (EBPs) use a defined curriculum, program description, or specific set of services that, when implemented with fidelity, have been validated by scientific evidence. The term “EBP” typically designates a program that has been reviewed and evaluated by a clearinghouse or registry and assigned a favorable rating based on associated research. As stated, OCYF funds EBPs at the highest reimbursement rate to encourage the use of established programs that meet the highest standards of research and proven effectiveness.

Below is a non-exhaustive list of websites that counties may consult for planning purposes:

- [Title IV-E Prevention Services Clearinghouse](#): Created in 2018, the Title IV-E Clearinghouse provides a repository of services that have been determined eligible for Title IV-E prevention funding under the Family First Prevention Services Act of 2018, as well as a list of programs that are in the process of being reviewed.
- [California Evidence-Based Clearinghouse for Child Welfare \(CEBCW\)](#): Created in 2006, CEBCW provides access to research and evaluations of 500+ child welfare programs.
- [Results First Clearinghouse Database](#): Currently operated and managed by Penn State University, Results First is not itself a clearinghouse but rather a database that synthesizes the research of over 3,000 programs. Results First assigns a rating based on the available research of nine different clearinghouses in the areas of child welfare, social work, public health, criminal justice, criminal justice, and education.
- [Penn State Evidence-Based Prevention and Intervention Support \(EPIS\)](#): The EPIS team, a division of the Edna Bennet Pierce Prevention Research Center, offers training and technical assistance for planning, implementing, monitoring, and evaluating evidence-based programs in the area of education and social services.

### **EBP Eligibility Requirements**

Counties may select as many EBPs as they wish so long as each EBP meets a designated need of the population being served. Effective in the FY 26/27 NBPB year, a program is eligible to be claimed in the EBP category when it meets at least one of the following criteria:

- A “promising”, “supported”, or “well-supported” rating by either
  - The Title IV-E Prevention Services Clearinghouse, OR
  - The California Evidence-Based Clearinghouse for Child Welfare
- A “highest rated (green)”, “second highest rated (yellow)”, or “mixed effects (blue)” rating by the Results First Clearinghouse Database



In circumstances where the Title IV-E, CEBCW, and/or Results First ratings differ, the program's eligibility will be determined by the most favorable of the three ratings.

Counties should note that EBPs often have multiple versions that still maintain the core principles and components of the original model, but have adaptations for different populations, settings, or ages/developmental stages. While some EBPs may share a common framework, it is not safe to assume that all variations carry the same level/quality of research and/or clearinghouse rating. As such, counties wishing to utilize multiple versions of the same core model should consider and request each program individually to ensure (1) its intended outcomes align with the county's needs and (2) it meets the necessary criteria to be requested as an EBP.

The only exception to the above criteria are requests for the Strength-Based Family Worker (SBFW) program (formerly, Family Development Credentialing). Counties *are* eligible to receive reimbursement in the EBP grant for costs related to:

- Trainer fees
- Curriculum and materials
- Workbooks, handouts, office supplies
- Staff's time while attending the training
- Participant certification fees
- Train-the-trainer fees
- Venue and technology costs
- Staff travel and lodging

The following costs *are not* billable to the grant:

- Salaries or wages for staff time spent *applying* the training in their daily work
- Case management or client services performed using the acquired skills
- Any indirect costs associated with ongoing service provision such as:
  - Time spent on admin functions (grant management, reporting, coordination)
  - Time spent on evaluation and reporting

### Model Fidelity Requirements

The inability to maintain model fidelity, even when deviations may be considered minor, can result in compromised effectiveness, inaccurate evaluation, inconsistent participant experiences, loss of trust and credibility, wasted resources, missed opportunities, and ethical concerns. As such, when a county is allocated funds for a program in the EBP grant, the county assumes the responsibility of ensuring that the EBP is regularly monitored, either directly or through a third party, for model fidelity. Counties who require technical assistance related to fidelity monitoring are encouraged to conduct outreach with the specific program's model developer and the Penn State Evidence-Based Prevention and Intervention Support ([EPIS](#)) as applicable for assistance in developing a monitoring plan.

In circumstances where model fidelity standards cannot be met (ex. a provider blends elements of two different curriculums into one comprehensive program) the program cannot be requested as an EBP but may be funded through another source.

## Family Engagement (FE) Programs

Family Engagement (FE), broadly, refers to the practice of actively involving families in decision-making and service planning within the child welfare system. These types of programs recognize families and kin as essential partners in promoting child safety, permanency, and well-being. Widely regarded by as a best practice, FE has been shown to reduce unnecessary foster care placements, increase reunifications, and improve child well-being.

Recognizing its effectiveness, OCYF has historically supported FE programs within the Evidence-Based Program (EBP) category of the SGI at the highest level of state reimbursement. While not all FE programs carry a clearinghouse rating of promising, supported, or well-supported to be designated as an Evidence-Based Program, OCYF continues to allow the inclusion of all FE programs in the EBP category. This decision reflects OCYF's partnership with the Office of Children and Families in the Courts (OCFC) and the growing body of research identifying the critical role of FE as an Evidence-Based Practice.

FE programs are categorized by the following types:

- **Family meetings**—All models of FE meetings aim to engage families in decision-making about the child's safety and future but vary in terms of the timing of the intervention, level of family control, and utility with crisis situations. Models include:
  - Family Group Decision Making (FGDM)
  - Hi-Fidelity Wraparound
  - Crisis Rapid Response Meetings
  - Other outcome-based family engagement meeting (Family Team Conferences, Family Team Meetings, Permanency Team Meetings, Team Decision-Making Meetings Blended Perspective, Conferencing and Teaming, others)
- **Family Finding**
  - Kevin Campbell Model - A structured, six-step approach used to identify and engage biological relatives and other meaningful connections for children who are in placement or at risk of placement.

When submitting a request for one of the above, counties should be as specific as possible about the Family Engagement program models they are currently using or plan to implement.

There is no limit to the number of FE programs a county can request, however, if a county is utilizing or plans to utilize multiple programs of the same type, they should

clearly explain the intended target population, need for each program, and how the county expects the programs to interact with each other within the FE service array.

### Family Group Decision Making (FGDM)

Counties should be aware that FGDM has additional stipulations regarding the maximum allowable rates per meeting. OCYF will reimburse counties on a per conference basis, the lower amount of either the county's actual costs, or one of the above rates. A county may not earn more than one rate per family conference. Costs above and beyond the allowable rates for FGDM will need to be reimbursed through non-SGI funds; CCYA staff costs can be reimbursed through NBPB if they exceed the established limits. **Case management services should not be included in FGDM costs.** The maximum allowable rates are as follows:

- Successful FGDM conference - \$3,000. A successful conference is defined as a conference that adheres to the program integrity of the FGDM model and includes, at a minimum, a facilitator, members of the identified family and extended family/kin. Allowable costs would include services provided regarding conference coordination, facilitation, meal cost and facility costs.
  - Successful FGDM referral - \$1,000. A successful referral is defined as new family engagement activities/actions occurring after a referral for a FGDM conference was made that directly correlates to the FGDM referral but does 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 a FGDM conference that does not result in a FGDM conference or any new engagement/activities due to lack of engagement of members of the identified family and/or extended family/kin.
- **NOTE:** FGDM should not be identified as the family engagement model being used unless program integrity to the FGDM model is being met. **If integrity to the FGDM model is not met, then the meeting would be categorized as an outcome-based family engagement meeting.**

### Family Engagement Initiative

The Family Engagement Initiative (FEI), created through partnership by OCYF and the Office of Children and Families in the Courts (OCFC) was established to help child welfare agencies, and the judiciary expand FE programming within county child welfare agencies. At present, there are 20 counties in Pennsylvania who are part of the FEI initiative. Each year, counties interested in participating in the FEI are selected through an application process. Upon formal acceptance, counties are provided initial financial support as well as technical assistance/support for the initial implementation of programming in the following focus areas:

- Crisis/Rapid Response Meetings
- Family Finding (Kevin Campbell's model only)
- Enhanced legal representation

While many implementation costs associated with the FEI are provided through the OCFC, ongoing costs are not. Of the three focus areas, Crisis Rapid Response Meetings and Kevin Campbell's Family Finding programming can be requested through the EBP grant.

It should be noted that Kevin Campbell's Family Finding is eligible for funding as an EBP for ALL counties (regardless their status in the FEI) so long as the programming is being delivered with fidelity to [the model](#) and all other SGI monitoring requirements are met.

The same principle applies to Crisis Rapid Response Meetings. FEI does not set requirements prescribing the use of a specific program model; therefore, counties are not required to monitor model fidelity. Rather, they must be able to demonstrate that the requirements for Crisis Rapid Response Meetings developed by the Permanency Practice Initiative Workgroup are met.

### **Pennsylvania Promising Practices (PaPP)**

OCYF recognizes EBPs as the "gold standard" in child welfare program delivery but acknowledges that achieving a favorable clearinghouse research evaluation is both costly and time-consuming. Barriers such as limited research capacity/expertise, lack of sustainable funding, and difficulties meeting stringent methodological and sample size requirements may impact a county's ability to access true EBPs. To support programs either in development or already demonstrating positive outcomes (without formal research evaluation), initiatives may be requested under PA Promising Practices.

Each county may request funding for one outcome-based dependency program and one outcome-based delinquency program per fiscal year, for a maximum of two programs. Programs serving both populations may be classified under either category, but counties cannot request funding for two solely dependent or delinquent programs. PaPP funding is limited to a maximum of two fiscal years.

After two years, those programs that have met desired outcomes are eligible to become part of the county's operating practices and can be requested through Act 148 funds. If a program has not achieved desired outcomes, the county may:

- Modify the program to meet outcomes and seek Act 148 funding;
- Discontinue the program; or
- Fund the program through other county or local resources.

### **Alternatives to Truancy & Prevention (ATP)**

Chronic school absenteeism is a known correlate for increased involvement with the juvenile justice and child welfare systems, often indicating the presence of underlying family instability, mental health concerns, or neglect. Early intervention and prevention efforts to address truancy are essential in mitigating its long-term effects on child well-being and preventing the escalation of issues that may lead to intensive or prolonged systems involvement.

Counties may request as many ATP programs as needed to meet the needs of its communities provided there is a need regarding the populations identified. The county may identify practices or programs designed to address truancy issues among school-age children and youth 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 grade level;
- Decrease child/youth and caretaker conflict; or
- Reduce the percentage of children and youth entering out-of-home care because of truancy.

- **NOTE:** Truancy prevention programs that adhere to an evidence-based model and meet criteria to be considered an EBP are eligible to be requested under the EBPs.

### **Housing Initiative**

Housing support programs play a crucial role in strengthening child welfare efforts by addressing one of the primary risk factors for child abuse and neglect—housing insecurity. By integrating housing support into child welfare services, counties can more effectively promote child safety, support family preservation, and prevent out-of-home placement.

Desired outcomes of this grant would include:

- Preventing the placement of children and youth in out-of-home care
- Supporting the reunification of children and youth with their families
- Assisting youth aging out of care in successfully transitioning to independent living
- Covering one-time or startup expenses for youth ages 18–21 who choose to remain in or re-enter substitute care, with court-ordered dependency reinstated
- Providing support for youth ages 18–23, regardless of Chafee Room & Board eligibility

Counties may request as many housing support programs as needed but should describe with specificity how each program is intended to serve families and transition-age youth.

Counties are encouraged to develop agency-specific policies and procedures that establish clear parameters for housing programs, such as eligibility criteria, time limits, to ensure that funding is prioritized for children and families with the highest risk.

### **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 15 percent. Requests for 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:

Practice/Program	State funds	Local funds
EBP	95%	5%
PaPP (Dep and Del)	90%	10%
ATP	90%	10%
Housing	85%	15%

SGI payments are made in accordance with the Human Services Code.

### ASSETS

An asset, as defined in 55 Pa. Code §3170.71, is any individual item with a purchase cost of \$300 or more and has a useful life of more than one year. Assets purchased with grant funds are the property of DHS. DHS 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 DHS PRIOR to making the purchase, including computer and IT purchases. Any request to purchase an asset should be made in writing and submitted to the SGI resource account identified above. 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.

### AUDIT

The county should maintain a record of expenditures in accordance with Policy Clarification 3140-13-02 until all audits have been finalized.

### TECHNICAL AND PROGRAM SUPPORT

Technical assistance 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 Programs, OCYF Bureau of Budget and Fiscal Support, OCYF Regional offices PCCD, CWRC, EPIS at Pennsylvania State University, and OMHSAS.

- To request SGI funding for the NBPB year, **complete the *EBPB Request – NBPB* tab and/or the *PaPP, Hsng, ATP Request – NBPB* tab in the Grant Budget Excel File.**

### INSTRUCTIONS FOR GRANT BUDGET/NARRATIVE FILE COMPLETION

**Starting NBPB 2026-27, EBP, PaPP, Housing, and ATP requests will require data to be entered in two files; the Grant Budget Excel File and the Grant Narrative Excel File. Both files must be completed to be considered.**

**Complete the *Start* tab prior to making any other entries.** Counties are responsible for populating **blue** cells. Macros must be enabled.

**Do not cut and paste to relocate an entry in the workbook.** Use the delete key if data is incorrectly or inaccurately entered.

## GRANT BUDGET FILE

### Start

1. Enter the “County Code” in the space provided.
2. Enter the “ACTUAL Fiscal Year” in the space provided (entry format: 2024-25).
3. 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.

### Crosswalks and Checks

This form is a tool for counties to self-check several fiscal checkpoints and crosswalks. All responses must be “Yes” or “N/A”; otherwise, correction is required prior to submission of the Grant Excel file.

### EBP Request - NBPB

EBP requests for the NBPB year should be submitted using the ***EBP Request – NBPB*** tab of the Grant Budget File.

- The county name and FYs will automatically populate based on entries to the ***Start*** tab.
- “Spending Analysis” table – Enter the total EBP grant allocation and actual spending, by EBP program, for the prior year. Select from the drop-down menu whether any costs associated with those EBP programs were reported on the Act 148 invoice (i.e., invoiced and paid for via the Act 148 invoice) and if so, enter the amount. Provide the FTE count of grant funded CCYA personnel and the wages and benefits associated with them.
  - **NOTE:** Any EBP program costs that were supported through the Act 148 invoice in the prior year will need to be removed from the base via an expenditure adjustment in the Implementation year.
- Provide the quarter end date of the most recent SGI invoice in the space provided.

- “Implementation” table – Enter the EBP Program Name in full along with the Certified Allocation per Budget Summary for the upcoming year
- “NBPB – FY 2026-27” – Choose from the drop down, the name of each EBP in which funds are being requested. If “Other” is chosen, enter the name of the EBP in the following row.
  - Row 24: Counties are asked to list the name of the Provider implementing the program if applicable.
  - Row 25: Select from the drop-down identifying if the program was previously reported on the Act 148 Invoice.
  - Row 26: Counties will need to identify if the program is an approved Family First Prevention Service program listed on the PA 5-Year Prevention Plan
  - Row 27: This row should auto populate based on response of Row 26 and entry in Row 81. If a “NO” is populated, review the entries.
- “Budget Request Non-Purchased Services” table - For each county-operated EBP Program requested, enter all projected costs. The total for all county operated EBP programs is automatically calculated. This table should not include costs associated with a purchased service provider.
  - **NOTE:** OCYF approval is needed to grant-fund any personnel costs. Approved grant-funded positions should be identified on the NBPB Budget file – C&Y Staff Assessment table
- “Budget Request Purchased Services” table – Enter all projected costs for EBP programs that a purchased service provider under contract with the CCYA expects to provide. The total for all services is automatically calculated. This table should not include the costs for CCYA staff and their costs to provide an EBP program(s).
  - CCYAs are expected to enter the projected costs by budget line item as provided by the Purchased Services Provider.

If the CCYA’s budget request amount for purchased services differs from the totals in the table, the CCYA must enter the amount requested in the line provided.

- “Total: Purchased and Non-Purchased Services” – This cell auto-populates the total budgeted expense.
- “Federal Share” – For those programs the county has identified as an approved Family First Prevention Services Program, the county should project the total federal revenue anticipated for those children & youth that meet eligibility



### PaPP, Housing and ATP - NBPB

PaPP, Housing and ATP requests for the NBPB year should be submitted using the **PaPP, Hsng, ATP Request – NBPB** tab of the Grant Budget File.

- The county name and FYs will automatically populate based on entries to the **Start** tab.
- “Spending Analysis” table – Enter the total grant allocation and actual spending, by program, for the prior year. Select from the drop-down menu whether any costs associated with those programs were reported on the Act 148 invoice (i.e., invoiced and paid for via the Act 148 invoice) and if so, enter the amount. Provide the FTE count of grant funded CCYA personnel and the wages and benefits associated with them.
  - **NOTE:** Any program costs that were supported through the Act 148 invoice in the prior year will need to be removed from the base via an expenditure adjustment in the Implementation year.
- Provide the quarter end date of the most recent SGI invoice in the space provided.
- “Implementation” table – Enter the Program Name in full along with the total Certified Grant Allocation per Budget Summary for the upcoming year.
- “NBPB – FY 2026-27 table – Enter the Program Name in full. Identify the Grant Type using the drop down (PaPP, Housing, or ATP). Use the drop down in row 24 to indicate if the program was previously reported in the Act 148 Invoice.
  - “Budget Request Non-Purchased Services” table - For each county-operated PaPP, Housing or ATP program(s) requested, enter all projected costs. The total for all county-operated programs is automatically calculated. This table should not include costs associated with a purchased service provider.
    - **NOTE:** OCYF approval is needed to grant-fund any personnel costs. Approved grant-funded positions should be identified on the NBPB Budget file – C&Y Staff Assessment table
  - “Budget Request Purchased Services” table – Enter all projected costs for each PaPP, Housing or ATP program(s) that a purchased service provider under contract with the CCYA expects to provide. The total for all services is automatically calculated. This table should not include the costs for CCYA staff and their costs to provide a program(s).
    - CCYAs are expected to enter the projected costs by budget line item as provided by the Purchased Services Provider.

If the CCYA's budget request amount for purchased services differs from the totals in the table, the CCYA must enter the amount requested in the line provided.

- "Total: Purchased and Non-Purchased Services" – This cell auto-populates the total budgeted expense.

### SGI Adjustments – IMP

The **SGI Adjustments – IMP** tab should only be completed if the CCYA intends to shift the SGI Implementation Year allocation from one SGI program to another. These changes will only be taken into consideration as part of the OCYFs review of the County's NBPB request. The County will still need to submit a formal Budget Revision Request for review and approval. CCYAs must have enough local matching funds when requesting a transfer to those programs with a higher match requirement (i.e., ATP to EBP). The total state share of the SGIs may not be exceeded. Adjustments on this tab will not result in additional SGI funds for the Implementation year. Instructions and explanations are included below:

- The county name and FY will automatically populate based on entries to the **Start** tab.

### Table One: Approved SGI Programs and Initial Allocation Amounts

- SGI Program Name – enter the approved SGI program names for the Implementation Year. Enter any new SGI program names that will be utilized in the Implementation Year.
- SGI Category – select the SGI category from the drop-down menu.
- Initial SGI Allocation Amount – enter the approved allocation amounts included in the most recent certified allocation letter. If the program was not previously approved, leave this field blank.
- SGI Budget Request Amounts (+ or -) – Enter the dollar changes requested (column E) for each SGI program. If there is no change, leave the field blank.
- Total SGI – no entry is needed; this column will auto-populate based on entries in the previous columns.
- Explanation of Adjustment - provide justification for the request. Example: Agency is expanding their ATP program and will be serving more youth in the Implementation Year. Historically, there has been underspending in Housing, so funds will be reallocated from Housing to ATP.

Table Two: SGI Summary and Final Allocations – Automatically populates based on table entries and prompts CCYAs to stay within their state allocation amount.

### Grant Summary Tab

This form automatically populates the child welfare grant requests. The IT Grant Excel file data will be linked to the Grant Excel file upon receipt by OCYF.

### SGI Summary Tab

This form automatically populates the SGI portion of the Child Welfare Grant requests.

## GRANT NARRATIVE FILE

For each EBP, PaPP, Housing or ATP program requested, the CCYA will need to provide additional data to support the request. This should be provided in the Grant Narrative File. All questions should be answered in a complete and concise manner. Failure to complete this file will result in any request for funding of a grant to be denied.

### Start

1. Enter the “County Code” in the space provided.
2. Enter the “ACTUAL Fiscal Year” in the space provided (entry format: 2024-25).
3. 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.

### Crosswalks and Checks

This form is a tool for counties to self-check several fiscal checkpoints and crosswalks. All responses must be “Yes” or “N/A”; otherwise, correction is required prior to submission of the Grant Narrative file.

### Program Info Tab

CCYAs must enter each program in which funding is being requested for the NBPB year. The type, program name, and provider name should be listed. Once all programs have been entered, CCYAs should select the “Create Tabs” button. This will generate individual Narrative tabs for each program based on Grant Type.

- EBP Programs – Select from the drop down of current EBPs. If the program does not appear, select “OTHER”
- PaPP, Hsng, ATP – Select PaPP, Housing, or ATP as the program name. You will be able to enter the actual program name in the individual program narrative tab once it is created.

### Narrative Tabs

- EBP Narrative Programs
  - EBP Program Name: This field will populate based on information entered on the Program Tab.
  - If “Other”: If “other” was selected on the Program Tab as the program name, enter the Program name as is shown in the Grant Budget File.
  - Provider Name: This field will populate based on information entered on the Program Tab.
  - Category: Choose from the drop down, the category that best describes the EBP program.
  - Data Chart: The chart must be completed for each year the program was funded as an EBP. If the program was not funded as an EBP during a specific year, then no data needs to be included for that year. The following is a description of each row in the chart:
    - **# of Referrals** – report the actual number of referrals made to the program during the specified FY. For the Implementation and NBPB years, the anticipated number of referrals should be identified.

- **Total # of Families Served** – report the actual number of families who actively participated in services during the identified FY. For the Implementation and NBPB years, the anticipated number of families who will participate in services should be identified.
- **Total # of Children Served** – report the actual number of children who actively participated in services during the identified FY. For the Implementation and NBPB years, the anticipated number of children who will participate in services should be identified.
- **Cost Per Year** – report the total amount of EBP funds used for that program. These should be actual expenditures, except for the Implementation and NBPB years which should identify anticipated expenditures.
- **Funding Type** – Use the drop down option to identify if the program was or will be Program Funded or Unit Rate of Service.
- **Other Funding Sources** - report whether there are other funding sources associated with the program.
- **Name of Provider** - report the full name (no acronyms) of the provider who delivered the program for the previous fiscal years. The provider name for the NBPB FY2026-27 will automatically populate from the information listed on the Program Tab.
- Narrative Questions: All questions should be answered in a complete and concise manner.
- PaPP, Hsng, ATP Narrative Tabs: To be completed for each individual program being requested in the NBPB year.
  - Grant Type: This field will populate based on information entered on the Program Tab.
  - Program Type: This field will populate based on information entered on the Program Tab.
  - Specific Program Name: Enter the specific Program Name if applicable.
  - Provider Name: This field will populate based on information entered on the Program Tab.
  - Target Population: Report the specific population of children and/or families who will be served by this program (i.e., dependent youth ages 12-18; families with children in placement; families with children ages birth to five years old; any family served by children and youth services, etc.).
  - Data Chart: The chart must be completed for each year the program was funded as a Grant. If the program was not funded through the SGI during a specific year, then no data needs to be included for that year. The following is a description of each row in the chart:
    - **# of Referrals** – report the actual number of referrals made to the program during the specified FY. For the Implementation and NBPB years, the anticipated number of referrals should be identified.
    - **Total # of Families Served** – report the actual number of families who actively participated in services during the identified FY. For the

- Implementation and NBPB years, the anticipated number of families who will participate in services should be identified.
- **Total # of Children Served** - – report the actual number of children who actively participated in services during the identified FY. For the Implementation and NBPB years, the anticipated number of children who will participate in services should be identified.
  - **Cost Per Year** – report the total amount of EBP funds used for that program. These should be actual expenditures, except for the Implementation and NBPB years which should identify anticipated expenditures.
  - **Funding Type** – Use the drop down option to identify if the program was or will be Program Funded or Unit Rate of Service.
  - **Other Funding Sources** - report whether there are other funding sources associated with the program.
  - **Name of Provider** - report the full name (no acronyms) of the provider who delivered the program for the previous fiscal years. The provider name for the NBPB FY2026-27 will automatically populate from the information listed on the Program Tab.
- Narrative Questions: All questions should be answered in a complete and concise manner.

## Appendix 4: Information Technology

Funding for IT costs must be requested and approved through the ITG. Counties must provide information in their supporting documentation, inventory tab and narrative tab that aligns with their ITG request. This information will be reviewed to ensure alignment with the statewide child welfare case management system plan and for compliance with federal and state regulations. CCYAs should consider the below as part of their planning:

### ***Statewide Child Welfare Case Management System***

When completing the IT Grant request counties should consider what funding may be needed based on the county's level of involvement in project activities. Counties that have representation on various committees, workgroups or discovery and design sessions should consider staffs time and any associated travel costs. While some activities are occurring virtually, the project will continue to progress by adjusting how sessions are conducted as needed to ensure necessary stakeholder participation. Counties should also consider budgeting for activities associated with data quality analysis, data-clean up and conversion, which will require staff time and technical services from the county or contracted IT services. It is anticipated that OCYF and CCYAs will begin to work with the System Integrator (SI) vendor on discovery and design in early 2025, with implementation anticipated to begin in December of 2025.

Counties should request funds related to the following CW CM system activities for FY 2026-27:

- Advisory and Steering meetings (monthly in person meetings);
- Pre-Data Conversion and Clean-up activities;
- Discovery and Design Sessions;
- Financial and Provider management workgroups (dependent on decision regarding inclusion of these areas in the CW CM);
- Other project workgroups such as Communications Team, etc.
- User Acceptance Testing; and
- End User Training.

### ***FY 2025-26 Implementation Year ITG Budgets***

Counties must complete the FY 2025-26 ITG request tab along with their FY 2026-27 NBPB. While completing the FY 2025-26 tab, counties should review their previous submission and identify any budget line-item revisions at that time to assist in review of the FY 2026-27 NBPB request. Even though a county could indicate a FY2025-26 budget revision in the same Excel file as their FY 2026-27 NBPB request, this does not mean the revision is approved. For counties to receive approval of their FY 2025-26 budget revision request, they must submit a formal request on the FY 2025-26 ITG Budget Revision and Invoice form to their County's Send Secure Folder on DocuShare and notify the NBPB IT Resource Account when uploaded at: RA-nbpb@pa.gov.

### ***Submission of FY 2026-27 ITG Budgets***

Guidance on determining how to budget for FY 2026-27 is provided below:

#### Operations and Maintenance

Counties should continue to request needed hardware, software and other IT infrastructure needs within this section. When determining the need for application maintenance services counties should focus on fixing major defects that result in extensive workarounds, affect a county's compliance with statute or regulations, or result in inaccurate data entering the system. Software hosting costs for counties using the Child Accounting and Profile System (CAPS) may continue into FY 2026-27 and contracts should include a clause that:

- Allows the county to terminate the hosting services at the county's discretion; and
- Requires AVANCO to assist the county with tasks needed to successfully transition to a new system, such as supporting data clean-up and conversion.

#### County System(s) Development and Implementation

Counties requesting development costs for county system(s) must provide a strong business case for why new functionality is needed prior to transitioning to the CW CM system. Projects that are in the planning phase should be reviewed to determine the cost/benefit of adding functionality in a county system that will be obsolete once the CW CM system is implemented. Counties should explain to what extent the functionality is needed to improve worker efficiencies, services to children and families, or comply with state mandates.

#### AFCARS 2.0 Development and Implementation

The AFCARS Final Rule was published on May 12, 2020 with an effective date of October 1, 2022. States began collecting AFCARS in compliance with the Final Rule on October 1, 2022, with the first six-month file submitted to ACF on May 15, 2024. All phases of AFCARS were concluded in March 2023. However, since then, ACF amended the Final Rule effective on February 3, 2025, to include additional Indian Child Welfare Act of 1978 (ICWA) elements, with exception to the amendments made to § 1355.44, which are effective as of October 1, 2028. States have three fiscal years to achieve compliance with the revisions to include the new data elements introduced as part of the amendment. Additionally, data quality issues impacting the submissions under the Final Rule have resulted in Pennsylvania's non-compliance in all AFCARS submissions. In light of these issues, counties should consider anticipating AFCARS related costs for the FY 2026-27 ITG for the purposes of ensuring AFCARS data is able to be submitted to OCYF in a manner compliant with the most current version of the federal technical bulletins, and to fix any potential bugs or design issues which may be negatively impacting the quality of county AFCARS data submissions to OCYF.

#### Child Welfare Case Management Activities

Counties should request costs related to CW CM system activities. The following activities are anticipated:

- Advisory and Steering meetings;

- Participation in other project workgroups requiring county stakeholder involvement, such as Communications Team;
- Pre-Data Conversion, Data Quality review and Clean-up activities;
- Enterprise Case Management Workgroups to coordinate common functionality;
- County IT system inventory and decommissioning plan finalization;
- Discovery and Design Session participation;
- User Acceptance Testing; and
- End User Training participation.

### CWIS Data Sharing Agreement

CWIS established an electronic data exchange with the approved county case management systems. DHS uses 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 to carry 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 and youth in need of general protective services.

To facilitate the appropriate exchange of data between state and county systems, DHS has developed the 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 executed at the agency level by OCYF, the county solicitor, and CCYA administrator and, where appropriate, one or more county commissioner. 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 Office of Administration (OA) Policies;
- Commonwealth and DHS policies and procedures on IT security; and
- Records Access/Data Sharing policies.

The annual renewal of the agreement occurs along with the submission of the county's 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 submitted with the NBPB if possible. If the agreement is signed after your NBPB submission, it can be submitted electronically when available to:

[RA-nbpbit@pa.gov](mailto:RA-nbpbit@pa.gov)

➤ **NOTE:** The IT budget request is included in a stand-alone workbook.



## **I. Information Technology Costs**

CCYAs must provide documentation of all anticipated IT costs for FY 2026-27. 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.

### **Personal Computers- Desktops, Laptops, and Tablets**

CCYAs may own or lease one PC per user. Due to the available technology, OCYF will no longer approve multiple devices per user. As devices need replaced, CCYA's are encouraged to transition any desktops to laptops and/or tablet PC's. Multiple PC requests per user will be denied by OCYF.

### **Printers, Scanners and Copiers**

CCYAs may only have one printer, scanner or copier per group of users which typically consist of 5-10 staff per group. Any requests for a stand-alone or mobile printer, scanner or copier must include justification to the need. If justification is NOT included with the ITG submission, the request will be denied.

### **Revisions to FY 2025-26 (Implementation Year) IT Budgets**

Counties should review their previously submitted FY 2025-26 IT Grant request and tentative allocation prior to submitting their FY 2026-27 IT Grant request. If a county plans to revise their FY 2025-26 request, they should submit a revision at the same time as the FY 2026-27 IT request. This will assist in the review of the NBPB year. Even though a county indicates a FY 2025-26 budget revision in the same Excel file as their FY 2026-27 request, this does not mean the revision is approved. For counties to receive approval of their revision request, they must submit the request on the FY 2025-26 ITG Budget Revision and Invoice form to their County's Send Secure Folder on DocuShare and notify the NBPB IT Resource Account when uploaded at: [RA-nbpbit@pa.gov](mailto:RA-nbpbit@pa.gov)

## **II. Federal Financial Participation**

When planning for IT costs, counties must consider whether those costs are eligible for FFP. FFP eligible costs are those that have received prior approval through the county IT grant and meet the federal requirements at 45 CFR 95, Subparts F and G. <https://www.govinfo.gov/content/pkg/CFR-2011-title45-vol1/pdf/CFR-2011-title45-vol1-part95.pdf>

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. Counties that would like to use a Commercial Off-The-Shelf (COTS) product that is not available to the public should contact OCYF to submit a request for federal approval prior to entering into a contract or purchasing the COTS. If a county is currently using a COTS product and has not received prior approval, the county should indicate this in

the narrative section of the IT Excel file and OCYF will reach out to the county to determine if a request for approval should be sent to ACF. Additional information on the approval process for a COTS waiver is available at <https://www.acf.hhs.gov/cb/resource/acf-oa-pi1301>; [https://www.acf.hhs.gov/sites/default/files/documents/cb/acf\\_oa\\_pi\\_13\\_01.pdf](https://www.acf.hhs.gov/sites/default/files/documents/cb/acf_oa_pi_13_01.pdf); and [https://www.acf.hhs.gov/sites/default/files/documents/cb/attachment\\_a\\_to\\_acf\\_oa\\_pi\\_13\\_01.pdf](https://www.acf.hhs.gov/sites/default/files/documents/cb/attachment_a_to_acf_oa_pi_13_01.pdf)

DHS and ACF require prior written approval when a county plans to engage in a competitive bid process to procure IT equipment or services where the total anticipated acquisition costs are \$5 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. Counties are required to indicate intent to enter such a contract in the narrative section of the IT Excel file.

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

### III. **Contract Language**

➤ **NOTE:** *FFP IS PROHIBITED FOR PROPRIETARY APPLICATION SOFTWARE DEVELOPED SPECIFICALLY FOR CCYAS (45 CFR 95.617)*

In addition, DHS does not participate in funding for IT development of new software or modifications of existing software unless the county and DHS 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 county, 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 should be terminable at the county's discretion.

#### **IV. Definitions and Information Technology Allowable Costs**

This document reflects 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 System(s) Development and Implementation categories.
- Section 3 captures costs associated with AFCARS 2.0 Development and Implementation categories.
- Section 4 captures costs associated with Statewide Child Welfare Case Management Activities.
- Section 5 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 DHS Hardware and Software Configuration and Cost Standards is included in this document. Counties that are members of the Department of General Services, 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) 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** are tasks to correct minor errors or deficiencies in software.
- **Adaptive Changes** are minor revisions to existing software to meet changing requirements.
- **Perfective Changes** are minor improvements to application software, so it performs in a more efficient, economical, and effective manner.

### **Development and Implementation**

**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.

### **Statewide Child Welfare Case Management System Activities**

These costs are specific to planning and implementation activities for the Statewide Child Welfare Case Management System. Cost categories are applicable to activities that will be needed to be funded at the county level.

## **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 Computers - Desktops, Laptops, and Tablets**

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

- CCYAs may own 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, listed in the CCYAs latest NBPB. If a CCYA uses a different number to compute the number of allowable PCs, it must explain the method for doing so, identifying all positions that are not included in the CCYAs certified staffing number.
- 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 should fall within Commonwealth standards and counties must justify them regarding age and usage.
- Items such as monitors, keyboards, mice, docking stations and tablet covers that are part of a computer package should be included in the price of the computer and not entered in Other Hardware.
- 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:
  - Make and model;
  - Length of maintenance package, if applicable;
  - Operating system and software included, if applicable; and
  - Information pertaining to leased equipment, if applicable

## **2. Printers, Scanners, and Copiers**

- Counties may own or lease one printer, scanner, or copier per group of users. Typically, there are 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; or
    - 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); and
- 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; and
  - 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; and
  - 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 and other hardware.
- Items such as monitors, keyboards, mice, docking stations and tablet covers that are not purchased as part of a computer package should be entered here.
- 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 2025-26 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 2025-26 from the prior years' depreciation schedule in this line item. The Depreciation Form will automatically calculate this total for entry.
- Additional information in the Supporting Documentation section must specify:
  - Type of hardware;
  - Make and model;
  - Year of purchase; and
  - 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 three to six 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; and
- 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 or a software subscription service such as Microsoft Office 365.
- Counties must provide:
  - A complete list of the software purchased, including the version;
  - Number of copies for each software title;
  - Cost per copy; and
  - Whether this software will be loaded on a newly purchased PC.
- Counties must provide justification for non-standard software (standard software is considered Microsoft Office, Adobe, Zoom, etc.)

### **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; or obtain periodic updates through a software subscription service.
- Counties must provide:
  - A complete list of the software purchased, including the version;
  - Number of copies for each software title; and
  - Cost per copy.
- Counties must provide justification for non-standard software (standard software is considered Microsoft Office, Adobe, Zoom, etc.)

### **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; and
  - 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.
- 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; and
  - Number of users supported.

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



## **D. Communications**

### **1. Network Wiring or Wireless Networks**

- Cost to purchase and install wiring to connect IT equipment to the CCYAs local area network; or cost to purchase wireless network equipment.
- Identify:
  - Justification to support the cost, that is, new employees, new building, upgrade, and so forth;
  - Type of connection; and
  - Number of users.

### **2. Connections to Wide Area Network/Internet**

- Charges to install connections to the state networks and the periodic charges for these connections.
- Identify:
  - Type of connection;
  - Vendor's name, address, and phone number; and
  - Whether the charges are to support new or existing connections to the state's network.

### **3. Air Cards/Mobile Data**

- CCYAs may purchase air cards and/or hotspots to support their mobile technology.
- Identify:
  - Justification to support the cost;
  - Type of mobile technology associated with the cards and/or hotspots; and
  - 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.
- Identify:
  - 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; and
  - Number of staff assigned.
- Counties must 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.
- CAPS counties should report costs associated with PCYA technical support in this section under contractor costs.

#### **F. Hardware/Network Support Services & Setup (Maintenance Contracts)**

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 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.
- Identify:
  - Vendor name, address, and phone number;
  - Length of contract;
  - Cost per unit;
  - Number of units;
  - Hourly cost, if applicable; and
  - 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; and

- 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 (No Hardware)**

- Costs associated with the purchase of consumable supplies such as printer cartridges and copy paper.
- Costs associated with the disposal of computer equipment.
- Any items purchased for PC's such as keyboards, monitors, etc. should be budgeted under A. Hardware.

### **County System(s) 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 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; and
  - 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; and
  - 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 and other hardware.

- 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 2025-26 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 2025-26 from the prior years' depreciation schedule in this line item. The Depreciation Form will automatically calculate this total for entry.
- Additional information in the Supporting Documentation section must specify:
  - Type of hardware;
  - Make and model;
  - Year of purchase; and
  - 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.

## **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 three to six 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; and
- Length of licensing agreement, if applicable.

### **2. County System(s) Development Software**

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

#### **M. County System(s) 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 DHS approval)**.
- Counties should budget for application development costs based on the need for new system functionality.
- Identify:
  - 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; and
  - 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.
- 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 may budget the cost of data conversion to the new system.
- Identify:
  - Vendor name, address, and phone;
  - Cost per hour for technical staff; and
  - 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 include:
  - Meals;
  - Lodging;
  - Parking fees; and
  - 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.

**AFCARS 2.0 Development and Implementation Section - Allowable Costs**

**S. AFCARS 2.0 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.
- Identify:
  - 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; and
  - Number of staff assigned.

**T. AFCARS 2.0 Conversion Costs**

- Counties should describe any conversion needs for AFCARS 2.0.
- Identify:
  - Vendor name, address, and phone;
  - Cost per hour for technical staff; and
  - The system the data is converting to.

**U. AFCARS 2.0 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 include:
  - Meals;
  - Lodging;
  - Parking fees;
  - Tolls; and
  - Travel related to participation in statewide information system planning, testing, change management and implementation.

## **V. AFCARS 2.0 Training**

CCYAs may budget the cost associated with user training on information systems for AFCARS 2.0.

## **Child Welfare Case Management (CW CM) Activities - Allowable Costs**

### **W. CW CM 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.
- The costs of IT-related employee travel include:
  - Meals;
  - Lodging;
  - Parking fees;
  - Tolls; and
  - Travel related to participation in statewide information system planning, testing, change management and implementation.

### **X. CW CM Training Expenses**

CCYAs may budget the cost associated with user training on information systems for the Statewide Child Welfare Case Management System/Activities.

### **Y. CW CM Data Quality/Pre-Conversion Activities**

CCYAs may budget for data clean-up and pre-conversion activities related to the Statewide Child Welfare Case Management System/Activities. Identify:

- Vendor name, address, and phone (if applicable);
- Cost for technical staff or business staffs; and
- The system the data is currently used in.

### **Z. CW CM Staff Time Expenses**

CCYAs may budget staffs time for activities related to the Statewide Child Welfare Case Management System/Activities. Additional documentation requirements may be needed and will be communicated to counties based on federal approval.

#### **AA. Total FFP Costs**

The total of A through R on the FFP Worksheet.

#### **Total AFCARS 2.0 FFP Costs**

The total of S through V on the FFP Worksheet.

#### **Total CW CMFFP Costs**

The total of W through Z on the FFP Worksheet.

#### **Total Non-FFP Costs**

The total of A through R on the NON-FFP Worksheet.

### **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 the following for equipment currently in the CCYA possession:

- Description of the equipment;
- Serial number, model, federal stock number or other identification number;
- Funding 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;
- If equipment is leased; and
- Terms of the lease

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.

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 2025-26 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.

- **See *IT Equipment Depreciation Form Special Grants Initiative* in the IT Excel File.**

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)	Protected field pre-populated with the county contact name, email, and phone number
Revised Submission#	Protected field pre-populated with the highest revision number entered in cells J9 through J13 on the County Info Tab
Revision Date	Protected field pre-populated with the submission date from the highest non-blank field entered in cells I9 through I13 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 <sup>th</sup> FY Expense	Protected field calculated at 20% of the Depreciation Cost in Column 3
6 <sup>th</sup> FY Expense	Protected field calculated at 20% of the Depreciation Cost in Column 3, then multiplied by 50%

## **QUESTIONS**

IT NBPB RA Account at [RA-nbpbit@pa.gov](mailto:RA-nbpbit@pa.gov)

## HARDWARE CONFIGURATION AND COST STANDARDS

**MARCH 30, 2023**

*NOTE: THE DHHS DELIVERY CENTER IS ONLY PURCHASING 1 CONFIGURATION FOR EACH TYPE OF PC/LAPTOP. THERE ARE ALSO SOME UPGRADES THAT ARE CONSIDERED REQUIRED FOR THE DHHS STANDARD CONFIGURATION. THE CURRENT PC/LAPTOP CONTRACT IS SINGLE-SOURCE.*

### I. DESKTOP CONFIGURATION

#### STANDARD DESKTOP

MATERIAL DESCRIPTION	SPECS	PRICE
Base Unit:	HP ProDesk 600 G6 Small Form Factor (SFF),  Intel Core i7-10700 2.9GHz 8C 65W	\$796.00
Memory:	16GB (1x16GB) DDR4 2933 DIMM	Incl.
Keyboard:	USB Keyboard	Incl.
Monitor:	HP P24 G4 24 FHD Monitor  24" LCD w 1 VGA, 1 HDMI, 1 DisplayPort connection with 4-year warranty	\$135.00
Video Card:	Intel® UHD Graphics 63016	Incl.
Hard Drive:	256GB M.2 2280 PCIe NVMe TLC SSD	Incl.
Operating System:	Windows 11 Pro 64 Bit	Incl.
Mouse:	USB optical mouse with scroll	Incl.
NIC:	Gigabit Ethernet	Incl.
Optical Drive:	DVDWR ODD	Incl.
Sound Card:	Analog stereo output	Incl.
Speakers:	Integrated headphone and stereo speaker jacks	Incl.
TPM Security	Yes	Incl.
Manufacturer's Warranty Terms:	4 years On Site Next Business Day Fix; Keep Your Hard Drive	Incl.
		<b>Total Price: \$932.00</b>

### II. LAPTOP CONFIGURATIONS

#### STANDARD LAPTOP

MATERIAL DESCRIPTION	SPECS	PRICE
Base Unit:	HP EliteBook 650 G9,	\$1,094.00

	IDS UMA i7-1255U	
Memory:	16 GB (2x8BG) DDR4 3200	Incl.
Keyboard:	Integrated English	Incl.
Display:	15.6"	Incl.
Video Card:	Integrated Graphics Supports Dual Display configuration with Docking Station	Incl.
Hard Drive:	512 GB SSD	Incl.
AC Adapter:	45-Watt Smart nPFC Right Angle AC Adapter	Incl.
Operating System:	Windows 11 Pro 64 Bit	Incl.
Mouse:	Touchpad	Incl.
Battery:	3 Cell 53 WHr Long Life Li-ion	Incl.
Optical Drive:	n/a	n/a
Sound Card:	Integrated	Incl.
Speakers:	Internal	Incl.
Wi-Fi	Intel Wi-Fi 6e AX211 160Mhz +Bluetooth 5.2 WW with 2 Antennas	Incl.
Camera:	Integrated	Incl.
Touchscreen:	15.6" FHD (1920x1080)	\$76.00
Manufacturer's Warranty Terms:	4 years On Site Next Business Day Fix; Keep Your Hard Drive	Incl.
		<b>Total Price: \$1,170.00</b>

### III. TABLET PC

TYPE	LOW END*	HIGH END*
Tablet	\$444.00	\$1829.00
<b>NOTE*</b> THERE ARE 3 VENDORS ON CONTRACT FOR TABLETS, WITH STANDARD, MID & HIGH-END TABLET OPTIONS FROM EACH VENDOR. PRICES VARY CONSIDERABLY AND ARE APPROXIMATE RANGES FOR THE VARIOUS OFFERINGS & OPTIONS.		

### IV. ULTRABOOKS

#### STANDARD CONVERTIBLE ULTRABOOK

MATERIAL DESCRIPTION	SPECS	PRICE
Base Unit:	HP EliteBook x360 830 G8, IDS UMA i5-1135G7	\$1,171.00
Base Memory:	8GB (1x8GB) DDR4 2666	Incl.
i7 Processor upgrade & label:	IDS UMA i7-1165G7	\$230.00
Memory Upgrade:	16 GB	\$57.00
Keyboard:	Integrated English Keyboard	Incl.
Display:	13.3" FHD (1920x1080) BrightView LED UWVA 250 with HD Webcam bent Touchscreen	Incl.

Video Card:	Integrated Graphics Supports Dual Display configuration with Docking Station	Incl.
Hard Drive:	256GB PCIe NVMe Value SSD	Incl.
AC Adapter:	65-Watt Smart nPFC Right Angle AC Adapter	Incl.
Operating System:	Windows 11 Pro 64 Bit	Incl.
Mouse:	Touchpad	Incl.
NIC:	n/a	n/a
Network Adapter:	USB-C to RJ-45 Adapter	\$19.50
Battery:	Long Life 53Whr Fast Charge 3 Battery	Incl.
Optical Drive:	n/a	n/a
Sound Card:	Integrated	Incl.
Speakers:	Internal	Incl.
Modem:	n/a	n/a
Wi-Fi	Intel Wi-Fi 6 AX201 ax 2x2 MU-MIMO nvP +Bluetooth 5 w	Incl.
Camera:	Integrated	Incl.
Touchscreen:	Included	Incl.
Manufacturer's Warranty Terms:	4 years On Site Next Business Day Fix; Keep Your Hard Drive	Incl.
		<b>Total Price: \$1,477.50</b>

## V. SERVERS

### FILE/PRINT SERVER – LOW END

#### Lenovo

QTY	FEATURE	MFR #	DESCRIPTION	LIST PRICE	LIST PRICE TOTAL
1		7X02CTO1WW	TS SR630 X/2.1 SLVR 4110 8C 16GB 750W 16GB	\$1,989.01	\$1,989.01
1	AUW0		ThinkSystem SR630 2.5" Chassis with 8 Bays	\$999.00	\$999.00
1	B4HT		Intel Xeon Silver 4208 8C 85W 2.1GHz Processor SR630	\$1,579.00	\$1,579.00
1	B4LY	4ZC7A08707	ThinkSystem 16GB TruDDR4 2933 MHz (1Rx4 1.2V) RDIMM	\$259.00	\$259.00
1	AUWB		2.5 SATA SAS 8 BAY BCKPL TS SR530 SR630	\$89.00	\$89.00
1	AUNK	7Y37A01084	RAID 930-8I 2GB FL PCIE 12GB ADPT TS	\$1,349.00	\$1,349.00
2	B34J	4XB7A10196	ThinkSystem 2.5" PM883 480GB Entry SATA 6Gb Hot Swap SSD	\$399.00	\$798.00
3	BA4T	4XB7A17126		\$959.00	\$2,877.00

			ThinkSystem 2.5" S4620 960GB Mixed Use SATA 6Gb HS SSD		
1	AUWA	7XH7A02685	X16 PCIE LP RISER 2 TS SR530 SR570 SR630	\$19.00	\$19.00
1	AUWC	7XH7A02683	ThinkSystem SR530/SR570/SR630 x8/x16 PCIe LP+LP Riser 1 Kit	\$29.00	\$29.00
1	AUKK	7ZT7A00547	10GB 4PT SFP+ LOM TS	\$189.00	\$189.00
4	5053	46C3447	SFP+XCVR TRANCEIVER	\$69.00	\$276.00
1		5PS7A06672	Premier Advanced - 5Yr 24x7 2Hr Resp + YDYD SR630	\$4568.76	\$4568.76
1	1341	5641PX5	PP XCLARITY PRO PER MGD SVR W/ 5YR S/W S	\$439.00	\$439.00
1	BR1Y	4P57A82020	ThinkSystem 750W 230V Titanium Hot-Swap Power Supply	\$409.00	\$409.00
1	6400	4L67A08370	2.8m, 13A/100-250V, C13 to C14 Jumper Cord	\$15.00	\$15.00
				<b>Total Price: \$15,883.77</b>	

## DELL

QTY	MFR #	DESCRIPTION	PRICE PER UNIT	TOTAL
1	210-AYJZ	PowerEdge R650 Server	\$843.40	\$843.40
1	379-BEIC	8X2.5 Front Storage	\$ -	\$ -
1	379-BDSS	SAS/SATA Backplane	\$ -	\$ -
1	379-BDTE	No Rear Storage	\$ -	\$ -
1	461-AAIG	Trusted Platform Module 2.0 V3	\$25.29	\$25.29
1	321-BGHH	2.5" CHASSIS with up to 8 hard drives (SAS/SATA), 3-piece slots, 2 CPU	\$43.45	\$43.45
1	338-CBWJ	INTEL XEON Silver 4310 2.1G, 12C/24T, 10.4GT/S, 18M Cache, Turbo, HT (120W) DDR4-2666	\$285.99	\$285.99
1	338-CBWJ	INTEL XEON Silver 4310 2.1G, 12C/24T, 10.4GT/S, 18M Cache, Turbo, HT (120W) DDR4-2666	\$285.99	\$285.99
1	379-BDCO	Additional Processor Selected	\$ -	\$ -
1	412-AAVP	Heatsink for 2 CPU Configuration (CPU less than or equal to 165W)	\$ -	\$ -
1	370-AAIP	Performance Optimized	\$ -	\$ -
1	370-AEVR	3200MT/S RDIMMS	\$ -	\$ -
1	780-BCDS	Unconfigured Raid	\$ -	\$ -
1	405-AAZB	PERC H755 SAS FRONT	\$510.89	\$510.89
1	750-ACFR	Front PERC Mechanical Parts, Front Load	\$ -	\$ -
1	750-AABF	Power Saving DELL Active Power Controller	\$ -	\$ -
1	800-BBDM	UEFI BIOS BOOT Mode with GPT Partition	\$ -	\$ -
1	750-ADII	4 Standard Fans For 2 CPU	\$25.29	\$25.29

1	450-AIQX	Dual, Hot-Plug, Power Supply Redundant (1+1), 800W, Mixed Mode, NAF	\$214.42	\$214.42
1	330-BBST	Riser CONFIG 3, 3/4 Length, Full Height, 2 X16 Slots, SW GPU Capable	\$71.55	\$71.55
1	329-BFGW	PowerEdge R650 Motherboard with Broadcom 5720 DUAL PORT 1GB On-Board LOM	\$ -	\$ -
1	385-BBQV	IDRAC9, ENTERPRISE 15G	\$124.97	\$124.97
1	528-COYT	Secured Component Verification	\$25.29	\$25.29
1	540-BCRX	Broadcom 57504 QUAD PORT 10/25GBE, SFP28, OCP NIC 3.0	\$245.10	\$245.10
1	325-BCHH	Standard Bezel	\$12.52	\$12.52
1	350-BCEI	Luggage Tray X8 AND X10 CHASSIS, R650	\$ -	\$ -
1	403-BCID	Boss Blank	\$ -	\$ -
1	350-BBXM	No Quick Sync	\$ -	\$ -
1	379-BCSF	IDRAC, Factory Generated Password	\$ -	\$ -
1	379-BCQY	IDRAC Group Manager, Disabled	\$ -	\$ -
1	611-BBBF	No Operating System	\$ -	\$ -
1	605-BBFN	No Media Required	\$ -	\$ -
1	770-BDMT	Cable Management ARM	\$17.64	\$17.64
1	770-BECD	ReadyRails Sliding Rails without Cable Management Arm or Strain Relief Bar	\$38.09	\$38.09
1	631-AACK	No Systems Documentation, No OpenManage DVD Kit	\$ -	\$ -
1	340-CUQR	PowerEdge R650 Shipping	\$ -	\$ -
1	340-CUQO	R650 SHIP 8X2.5	\$12.52	\$12.52
1	389-DYHZ	PowerEdge R650 Non-BIS Marking	\$ -	\$ -
1	389-DYIB	PowerEdge R650 CE, CCC, Marking	\$ -	\$ -
1	817-BBBB	Custom Configuration	\$ -	\$ -
1	853-2137	DELL Hardware Limited Warranty Plus Onsite Service	\$51.12	\$51.12
1	853-2140	ProSupport Mission Critical 4-hour 7X24 Onsite Service with Emergency Dispatch 3 Years	\$305.41	\$305.41
1	853-2144	ProSupport Mission Critical 4-hour 7X24 Onsite Service with Emergency Dispatch 2 Years Extended	\$637.40	\$637.40
1	853-2159	ProSupport Mission Critical 7X24 Technical Support and Assistance 5 Years	\$548.72	\$548.72
1	975-3462	DELL Limited Hardware Warranty Plus Service, Extended Year(S)	\$ -	\$ -
1	989-3439	Thank You Choosing Dell ProSupport. For Tech Support, visit <a href="http://WWW.DELL.COM/SUPPORT">//WWW.DELL.COM/SUPPORT</a> or call 1-800- 945-3355	\$ -	\$ -
1	841-5989	Keep Your Hard Drive for Enterprise 5 Years	\$102.23	\$102.23
1	900-9997	On-Site Installation Declined	\$ -	\$ -
2	370-AEVO	8GB RDIMM, 3200MT/S, Single Rank	\$134.43	\$268.87

3	345-BCRO	960GB SSD VSAS Read Intensive 12GBPS 512E 2.5IN Hot-Plug, AG Drive SED, 1DWPD	\$380.46	\$1,141.37
2	400-AXTV	480GB SSD SATA Read Intensive 6GBPS 512 2.5IN Hot-Plug AG Drive, 1 DWPD	\$202.62	\$405.24
2	492-BBDI	C13 TO C14, PDU STYLE, 12 AMP, 6.5 Feet (2M) Power Cord, North America	\$5.62	\$11.24
4	407-BCBE	DELL EMC PowerEdge SFP+ SR Optic 10GBE 850NM	\$61.09	\$244.35
			<b>Total: \$6,498.36</b>	

## FILE/PRINT SERVER – HIGH END

### Lenovo

QTY	FEATURE	MFR #	DESCRIPTION	LIST PRICE	LIST PRICE TOTAL
1		7X02CTO1WW	TS SR630 X/2.1 SLVR 4110 8C 16GB 750W 16GB	\$1,989.01	\$1,989.01
1	AUW0		ThinkSystem SR630 2.5" Chassis with 8 Bays	\$999.00	\$999.00
1	B4HT		Intel Xeon Silver 4208 8C 85W 2.1GHz Processor SR630	\$1,579.00	\$1,579.00
1	B4LY	4ZC7A08707	ThinkSystem 16GB TruDDR4 2933 MHz (1Rx4 1.2V) RDIMM	\$259.00	\$259.00
1	AUWB		2.5 SATA SAS 8 BAY BCKPL TS SR530 SR630	\$89.00	\$89.00
1	AUNK	7Y37A01084	RAID 930-8I 2GB FL PCIE 12GB ADPT TS	\$1,349.00	\$1,349.00
2	B34J	4XB7A10196	ThinkSystem 2.5" PM883 480GB Entry SATA 6Gb Hot Swap SSD	\$399.00	\$798.00
6	BR0Z	4XB7A83215	ThinkSystem 2.5" Nytro 3750 800GB Write Intensive SAS 12Gb HS SSD	\$2,019.00	\$12,114.00
1	AUWA	7XH7A02685	X16 PCIE LP Riser 2 TS SR530 SR570 SR630	\$19.00	\$19.00
1	AUWC	7XH7A02683	ThinkSystem SR530/SR570/SR630 x8/x16 PCIe LP+LP Riser 1 Kit	\$29.00	\$29.00
1	AUKK	7ZT7A00547	10GB 4PT SFP+ LOM TS	\$189.00	\$189.00
4	5053	46C3447	SFP+XCVR Transceiver	\$69.00	\$276.00
1		5PS7A06672	Premier Advanced - 5Yr 24x7 2Hr Resp + YDYD SR630	\$4568.76	\$4568.76
1	1341	5641PX5	PP XCLARITY PRO PER MGD SVR W/ 5YR S/W S	\$439.00	\$439.00
1	BR1Y	4P57A82020	ThinkSystem 750W 230V Titanium Hot- Swap Power Supply	\$409.00	\$409.00
1	6400	4L67A08370	2.8m, 13A/100-250V, C13 to C14 Jumper Cord	\$15.00	\$15.00

**Total Price: \$25,120.77**

## DELL

QTY	MFR #	DESCRIPTION	PRICE PER UNIT	TOTAL
1	210-AYJZ	PowerEdge R650 Server	\$750.83	\$750.83
1	379-BEIC	8X2.5 Front Storage	\$ -	\$ -
1	379-BDSS	SAS/SATA Backplane	\$ -	\$ -
1	379-BDTE	No Rear Storage	\$ -	\$ -
1	461-AAIG	Trusted Platform Module 2.0 V3	\$22.53	\$22.53
1	321-BGHH	2.5" CHASSIS with up to 8 Hard Drives (SAS/SATA), 3 Pcie Slots, 2 CPU	\$38.68	\$38.68
1	338-CBWJ	INTEL Xeon Silver 4310 2.1G, 12C/24T, 10.4GT/S, 18M Cache, Turbo, HT (120W) DDR4-2666	\$254.61	\$254.61
1	338-CBWJ	INTEL Xeon Silver 4310 2.1G, 12C/24T, 10.4GT/S, 18M Cache, Turbo, HT (120W) DDR4-2666	\$254.61	\$254.61
1	379-BDCO	Additional Processor Selected	\$ -	\$ -
1	412-AAVP	HEATSINK for 2 CPU Configuration (CPU Less Than or Equal to 165W)	\$ -	\$ -
1	370-AAIP	Performance Optimized	\$ -	\$ -
1	370-AEVR	3200MT/S RDIMMS	\$ -	\$ -
1	780-BCDS	Unconfigured Raid	\$ -	\$ -
1	405-AAZB	PERC H755 SAS Front	\$454.84	\$454.84
1	750-ACFR	Front Perc Mechanical Parts, Front Load	\$ -	\$ -
1	750-AABF	Power Saving DELL Active Power Controller	\$ -	\$ -
1	800-BBDM	UEFI BIOS BOOT Mode with GPT Partition	\$ -	\$ -
1	750-ADII	4 Standard Fans for 2 CPU	\$22.53	\$22.53
1	450-AIQX	Dual, Hot-Plug, Power Supply Redundant (1+1), 800W, Mixed Mode, NAF	\$190.90	\$190.90
1	330-BBST	Riser Config 3, 3/4 Length, Full Height, 2 X16 Slots, SW GPU Capable	\$63.71	\$63.71
1	329-BFGW	POWEREDGE R650 Motherboard with Broadcom 5720 DUAL PORT 1GB On-board LOM	\$ -	\$ -
1	385-BBQV	IDRAC9, Enterprise 15G	\$111.26	\$111.26
1	528-COYT	Secured Component Verification	\$22.53	\$22.53
1	540-BCRX	Broadcom 57504 Quad Port 10/25GBE, SFP28, OCP NIC 3.0	\$218.21	\$218.21
1	325-BCHH	Standard Bezel	\$11.15	\$11.15
1	350-BCEI	Luggage Tray X8 and X10 CHASSIS, R650	\$ -	\$ -
1	403-BCID	Boss Blank	\$ -	\$ -
1	350-BBXM	No Quick Sync	\$ -	\$ -
1	379-BCSF	IDRAC, Factory Generated Password	\$ -	\$ -
1	379-BCQY	IDRAC Group Manager, Disabled	\$ -	\$ -
1	611-BBBF	No Operating System	\$ -	\$ -



1	605-BBFN	No Media Required	\$ -	\$ -
1	770-BDMT	Cable Management ARM	\$15.71	\$15.71
1	770-BECD	ReadyRails Sliding Rails without Cable Management Arm or Strain Relief Bar	\$33.90	\$33.90
1	631-AACK	No Systems Documentation, No OpenManage DVD KIT	\$ -	\$ -
1	340-CUQR	PowerEdge R650 Shipping	\$ -	\$ -
1	340-CUQO	R650 SHIP 8X2.5	\$11.15	\$11.15
1	389-DYHZ	PowerEdge R650 Non-BIS Marking	\$ -	\$ -
1	389-DYIB	PowerEdge R650 CE, CCC, Marking	\$ -	\$ -
1	817-BBBB	Custom Configuration	\$ -	\$ -
1	853-2137	DELL Hardware Limited Warranty Plus Onsite Service	\$45.51	\$45.51
1	853-2140	ProSupport Mission Critical 4-Hour 7x24 Onsite Service with Emergency Dispatch 3 Years	\$271.90	\$271.90
1	853-2144	ProSupport Mission Critical 4-Hour 7x24 Onsite Service with Emergency Dispatch 2 Years Extended	\$567.46	\$567.46
1	853-2159	ProSupport Mission Critical 7x24 Technical Support and Assistance 5 Years	\$488.50	\$488.50
1	975-3462	DELL Limited Hardware Warranty Plus Service, Extended Year(S)	\$ -	\$ -
1	989-3439	Thank You Choosing DELL ProSupport. For Tech Support, visit /WWW.DELL.COM/SUPPORT or call 1-800- 945-3355	\$ -	\$ -
1	841-5989	Keep Your Hard Drive for Enterprise 5 Years	\$91.01	\$91.01
1	900-9997	On-Site Installation Declined	\$ -	\$ -
2	370-AEVO	8GB RDIMM, 3200MT/S, Single Rank	\$119.67	\$239.35
6	345-BEPV	800GB SSD SAS ISE, MU, UP TO 24GBPS 512E 2.5IN Hot-Plug, AG Drive	\$512.63	\$3,075.78
2	400-AXTV	480GB SSD SATA Read Intensive 6GBPS 512 2.5IN Hot-Plug AG Drive, 1 DWPD	\$180.39	\$360.78
2	492-BBDI	C13 TO C14, PDU Style, 12 AMP, 6.5 Feet (2M) Power Cord, North America	\$5.00	\$10.00
4	407-BCBE	DELL EMC PowerEdge SFP+ SR OPTIC 10GBE 850NM	\$54.38	\$217.52
			<b>Total Price: \$7,844.97</b>	

## DATABASE SERVER – LOW END

Qty	TD #	Mfr #	Description	Price Per Unit	Total
1	12744238	7X19A00TNA	TS SR850 X/2.1 PLAT 8176 28C 128GB 1600W	\$73,862.11	\$73,862.11
4	12744448	7X77A01304	32GB TRUDDR4 2666 MHZ 2RX4 1.2V RDIMM TS	\$489.94	\$1,959.76
2	13278757	4XB7A10154	960GB TS 5200 SSD SATA 6GB 2.5 HSWAP	\$737.92	\$1,475.84
3	12922067	7N47A00126	1.6TB HD TS 2.5 HUSMM32 SAS 12GB SSD	\$3,273.94	\$9,821.83

1	12744171	7ZT7A00547	10GB 4PT SFP+ LOM TS	\$176.31	\$176.31
4	10253678	46C3447	SFP+XCVR TRANCEIVER	\$476.48	\$1,905.92
1	13053778	5PS7A07093	PREM ESS 5YR 24X7 4HR YOURDR YOURDATA	\$7,391.64	\$7,391.64
1	11716686	00MT203	PP XCLARITY PRO PER MGD SVR W/ 5YR S/W S	\$131.83	\$131.83
				<b>Total: \$96,725.23</b>	

## DATABASE SERVER – HIGH END

Qty	TD #	Mfr #	Description	Price Per Unit	Total
1	12744238	7X19A00TNA	TS SR850 X/2.1 PLAT 8176 28C 128GB 1600W	\$73,862.11	\$73,862.11
4	12744448	7X77A01304	32GB TRUDDR4 2666 MHZ 2RX4 1.2V RDIMM TS	\$489.94	\$1,959.76
2	13278757	4XB7A10154	960GB TS 5200 SSD SATA 6GB 2.5 HSWAP	\$737.92	\$1,475.84
3	13458374	4XB7A13653	TS 2.5 PM1645 800GB MAINSTREAM SAS 12GB	\$1,200.08	\$3,600.23
3	13458371	4XB7A13655	TS 2.5 PM1645 3.2TB MAINSTREAM SAS 12GB	\$3,928.87	\$11,786.61
1	12744171	7ZT7A00547	10GB 4PT SFP+ LOM TS	\$176.31	\$176.31
4	10253678	46C3447	SFP+XCVR TRANCEIVER	\$476.48	\$1,905.92
1	13053778	5PS7A07093	PREM ESS 5YR 24X7 4HR YOURDR YOURDATA	\$7,391.64	\$7,391.64
1	11716686	00MT203	PP XCLARITY PRO PER MGD SVR W/ 5YR S/W S	\$131.83	\$131.83
				<b>Total: \$102,290.24</b>	

## VI. PRINTERS

TYPE	LOW END*	HIGH END*
Small Network Printer	Price based on CDW punch-out site	
Small Networked Multi-Function Device (MFD)	\$290.66	\$1,755.90
Large Networked Multi-Function Device (MFD)**	\$3,411.36	\$51,036.00
<b>NOTE*</b> PRICES VARY CONSIDERABLY AND ARE APPROXIMATE RANGES FOR THE VARIOUS PRINTER CATEGORIES AND OPTIONS.		
<b>**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.</b>		

## VII. STANDARD EQUIPMENT MAINTENANCE PRICES

### DHS MAINTENANCE PRICE

<b>EQUIPMENT CATEGORY</b>	<b>NEXT BUSINESS DAY (NBD) MONTHLY SERVICE RATE PER UNIT 24 HOUR SOLUTION TIME (ST) PRINCIPAL PERIOD OF MAINTENANCE (PPM) 12 HRS X 6 DAY</b>	<b>BULLETIN GUIDELINE</b>
Braille Embosser	\$14.65	
Graphics Tablet/Digitizer	\$1.15	
Diskless Workstation/Thin Client	\$2.60	
External Storage Devices	\$0.59	
Interface Controller	\$0.35	
Jukebox	\$20.78	
Lan Data Storage – CD ROM	\$0.64	
Lan Data Storage – RAID	\$11.69	
Lan Data Storage – Serial System	\$7.84	
Lan Repeater/Converter	\$1.02	
Lan Router	\$6.00	
Lan Switch	\$1.35	
Lan Hub	\$2.89	
Laptop Docking Station	\$1.66	
Laptop/Notebook/Portable	\$3.88	
Mid-Range Server	\$11.76	
Modem	\$0.22	
Monitor - LCD larger than 22"	\$1.57	
Monitor - LCD up to and including 22"	\$0.97	
PC - Desktop/Tower	\$1.05	
Plotter	\$4.41	
Printer – Daisy/Rotary and Dot Matrix	\$1.05	
Printer – Inkjet	\$1.07	
Printer – Laser	\$2.01	
Printer – Multifunction	\$1.88	
Printer – Specialized	\$1.54	
Printer – Thermal	\$1.30	
Scanner – Bar Code	\$0.38	
Telesensory Equipment	\$13.98	
Terminal	\$1.53	
Terminal – POS	\$14.47	
UPS (1-1500 Watts)	\$1.59	