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

PURPOSE:
The purpose of this bulletin is to transmit instructions for the preparation and submission of the Fiscal Year (FY) 2007-08 Needs-Based Plan and Budget (NBPB) and the FY 2006-07 Needs-Based Implementation Plan which must be submitted by August 15, 2006. No extensions for submission of either plan will be granted.

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

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

COMMENTS AND QUESTIONS REGARDING THIS BULLETIN SHOULD BE DIRECTED TO:
Regional Children and Youth Directors
   Central Region – (717) 772-7702
   Northeast Region – (570) 963-4376
   Southeast Region – (215) 560-2249
   Western Region – (412) 565-2339
Origin: Cliff Crowe – (717) 214-3805 – ccrowe@state.pa.us
Act 30 of 1991, which is part of Article VII, mandates an annual NBPB process. 62 P.S. §709.2 (b) (relating to Review of County Submissions), requires the Department to consider whether the county’s plan and budget is reasonable in relation to past costs, projected cost increases, number of children in the county, number of children served, service level trends, and estimates of other sources of revenues.

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

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

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

New initiatives and services shall be reasonable, and the county must identify cost savings or reduced rates of increase within its major service category or another major service category. The county must identify that the service is less expensive or more effective than the current service available. The cost of the new service or initiative is limited to six (6) months funding during the first year or up to 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 6 months.

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

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

DISCUSSION:

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

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

RESPONSIBILITIES AND OBJECTIVES

Agency Responsibilities: PA Code, Chapter 3130, §3130.12(c)(1)-(5) lists social services that the county agencies are responsible to administer as follows:

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

Commonwealth Objectives: PA Code, Chapter 3140 §3140.16(d)(1)-(5) states that the objectives, service projections and service budgets in the plan and budget estimate, shall be consistent with the achievement of Commonwealth objectives for the delivery of children and youth social services which are:

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

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

- Accountability – When a youth commits an offense, the adjudicated youth incurs an obligation to individual victims and the community to repay the societal costs of that offense.
- Competency Development – Youth who enter the juvenile justice system should develop and be provided with the resources to increase their skills and capabilities to function as healthy and productive members of society while under the jurisdiction of the juvenile justice system.
- Community Safety – The juvenile justice system has a responsibility to protect the public from youth who are at significant risk of causing harm.
Least Restrictive Services/Settings - When the court transfers custody of a child to a County Children and Youth Agency (CCYA), the agency must locate the least restrictive, most family-like setting that meets the needs of a child. The county agency must first look for relatives and next of kin to provide care for a child. If appropriate relatives or kin cannot be located, the child may be placed in a non-relative foster home. In some instances, the special needs or behavioral health of a child may require a more restrictive setting. Community residential, group home, or therapeutic residential placements are options in such cases. Act 30 provides incentives to serve children and youth in the least restrictive environment. For example, in-home, foster care, group home, shelter care, and day treatment services have a higher state reimbursement rate than institutional and more restrictive levels of care such as a secure facility.

BASIC PLAN/BUDGET

The first part of the submission is the “Planning Summary.” Appendix One provides the required data and narrative that the county must provide to support the budget request. This part is to simply discuss the county process and information used in determining the child welfare needs and analysis of current service levels. The second part of the submission includes the “Budget Forms.” Reference Appendices Two through Nine specifically detail the county’s requests to adjust from the current service levels to the identified service levels needed and identifies county’s revenue projections.

There is a sequence of steps to follow in developing the budget request. The automated system is designed to enable the reviewer of the plan and budget forms to identify the specific service needs and associated costs. The NBPB system uses the most recent Act 148 invoice as the baseline and through a series of assumptions and defaults creates the county’s FY 2007-08 NBPB request. Any changes to the assumptions and defaults must be justified through an Expenditure Adjustment request (instructions for completion of Adjustments are found in Appendix Three, Expenditure Adjustment Form). There are six classified categories of Expenditure Adjustments:

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

Each adjustment may include multiple major objects of expenditures and/or cost centers but addresses only one category type.

Revenue Adjustments are not part of the automated system. They are submitted by completing the Adjustment to Revenue Form in Appendix Four.

PLAN/BUDGET SUBMISSION

The NBPB must include a cover page (please keep it simple) which identifies the county and the three fiscal years. Forms and instructions for completing submission can be found later in this bulletin. All information and budget data is to be submitted in the planning summary and on the budget forms.
Distribution:

The County Commissioners/County Executive must submit the following by August 15, 2006:

Three copies of the following forms must be submitted in “hard” copy to the appropriate OCYF Regional Director:

- Assurance of Compliance/Participation Form (Appendix Five)
- Planning Summary (Appendix One)
- “CC Analysis” worksheet *
- “Budget Summary” worksheet *
- “CY Staff Summary” worksheet *
- Revenue Variance Form (if applicable) (Appendix Four)
- Number of Children Served explanation (Appendix Six)

* Worksheets and forms that are part of the NBPB file (disk)

In addition, one copy of the above forms must be sent to:

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

Simultaneous with the County Commissioners/County Executive submission of the plan/budget, the Chief Juvenile Probation Officer should send a complete copy of the plan/budget to:

Mr. James Anderson, Executive Director  
Juvenile Court Judges’ Commission  
401 Finance Building  
Harrisburg, Pennsylvania 17102-0018

Finally, an electronic submission of the completed budget and adjustment forms with support documents in automated file must be submitted through E-Gov by August 15, 2006. Instructions for uploading and submitting the automated files can be found in Appendix Nine.

OCYF PLAN REVIEW

The plan will be reviewed by OCYF according to the plan review criteria described in 55 PA Code Chapter 3140, §3140.17. OCYF staff may request verbally or in writing that the CCYA
and/or Juvenile Probation Office (JPO) provide additional information to support the counties plan or budget request. The CCYA/JPO must respond within five working days from the receipt of the staff’s request for additional information.

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

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

Through its Regional Offices, OCYF will work with counties to monitor and evaluate both the assessment of needs and the NBPB plan throughout the year. The goal of the process is to create an ongoing dialogue which will ensure consistent plan implementation, timely plan and budget adjustments and a smooth transition into next year’s plan development process.
Appendix One: Planning Summary Requirements
Appendix Two: Budget Forms and Instructions
Appendix Three: Expenditure Adjustment Form – Instructions and Examples
Appendix Four: Revenue Variances and Instructions
Appendix Five: Assurance of Compliance/Participation Form Documentation of Participation by the Juvenile Court
Appendix Six: Number of Children Served via In-Home Services by County Staff - Explanation/Calculation
Appendix Seven: Permanency Services Worksheet (CY-919) and Instructions
Appendix Eight: Information Technology Costs
Appendix Nine: “E-Gov” submission - instructions
APPENDIX ONE

PLANNING SUMMARY REQUIREMENTS
Planning Summary

This part of the NBPB is intended to provide the county the opportunity to explain how the county’s child welfare and juvenile justice service needs were identified and the plan to implement services to meet those needs. The county should explain what is currently and projected to occur in the county that is affecting the service needs for Child Welfare and Juvenile Justice Systems. This section should be a synopsis identifying the circumstances or conditions that warrant adjustments to the FY 2005-06 (base year) service levels, to project FY 2006-07 Implementation Plan, and to request FY 2007-08 NBPB service needs.

I. Determining the County’s Child Welfare Needs

A. Service/Need Trends for Child Welfare and Juvenile Justice

The county should use the planning summary to present generally the trends in the county that will result in the increase or decrease in the county’s service needs. However, the specific detail justification for these adjustments need not be included in this part of the NBPB but should be included in the budget portion of the NBPB.

At a minimum, the county should provide a discussion of the following demographics/data and program items for its budget plan:

- Describe the population trend in the county, noting any increase or decrease in population for children under the age of 18. Please include the data source for this information.
- Describe the poverty level for the county and whether it is increasing or decreasing. Please provide the data source for this information.
- Describe changes that have occurred in the county since submittal of the previous NBPB affecting the child welfare service needs.
- Indicate the number of families/children (non-duplicated) that have been or are being investigated (beyond initial intake/screening activity) by CCYA staff at the beginning of and added during FY 2003-04, FY 2004-05, FY 2005-06 and the projected numbers for FY 2006-07 and FY 2007-08. The county should explain the reasons for any projected increase or decrease in these numbers.
- Indicate the number of families/children (non-duplicated) with an open case (i.e., Family Service Plan developed or being developed) in the CCYA at the beginning of and added during FY 2003-04, FY 2004-05, FY 2005-06 and the projected numbers for FY 2006-07 and FY 2007-08. The county should explain the reasons for any projected increase or decrease in these numbers.
- Indicate the number of children (non-duplicated) under the supervision of the County’s JPO receiving services funded through the NBPB process, separated by the in-home services category and combination of community-based placement and institutional placement categories, in FY 2003-04, FY 2004-05, FY 2005-06 and the projected numbers for FY 2006-07 and FY 2007-08. The county should explain any reasons for the projected increase or decrease in these numbers.
- Indicate the number of children (non-duplicated) who were receiving on the first day of each fiscal year, the number of children (non-duplicated) added during the fiscal year, and the
number of children (non-duplicated) ending adoption assistance during FY 2003-04, FY 2004-05, FY 2005-06 and the projected numbers for FY 2006-07 and FY 2007-08. (See sample Grid, last page of this Appendix, available in Excel Program.)

- Indicate the number of children (non-duplicated) who were receiving on the first day of each fiscal year, the number of children (non-duplicated) entering, and the number of children (non-duplicated) leaving dependent Foster Family Care (reported in cost center 2-G) during FY 2003-04, FY 2004-05, FY 2005-06 and the projected numbers for FY 2006-07 and FY 2007-08. Separate the above numbers by the following types of dependent Foster Family Care:
  - in traditional foster care (non-kinship)
  - in Subsidized Permanent Legal Custodianship (SPLC)
  - in reimbursed kinship care
  - in non-reimbursed formal kinship care (county agency has legal custody of the child)
(See sample Grid, last page of this Appendix, available in Excel Program.)

B. Collaboration

Collaboration of all parties within the county in developing the service needs of children and families is essential. In developing the budget, the county should have a distinct process for all critical parties to actively work together in determining how best to provide services that meet the identified need for children and families within the county. Describe how the county actively engages in identifying needed services with the following entities:

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

This planning process and the integrated children’s planning process are functionally related and should be concurrent.

C. Program Performance and Outcomes

The Department provides a data disc, which includes a data package, to counties in January and June of each year. The county must utilize this information, along with other data and outcome measures, to develop the budget so that funds are targeted to effective practice. To ensure continued improvement in Child Welfare and Juvenile Justice Practice, each county must select outcome measures where improvement is needed and present them in this section. The county must select three outcome measures from any of the goals of permanency, safety, well being and one from balanced and restorative justice. The outcome measures need not be supported with the Adoption and Foster Care Analysis and Reporting
System data but can be data that the county regularly collects and utilizes as a means to improve program performance in the county.

The county must list each of the identified outcome measures and the associated programs whose purpose/goal is to improve the identified outcomes. These programs include those that may be provided directly by the county or purchased by the county. Once the programs have been identified, the county should specifically explain how it will either directly monitor these programs or make specific changes in these programs to improve outcomes. In order to improve practice and assure that counties have a plan to improve practice it is critical that the county have a specific plan for improving outcomes. Failure of a county to provide this information could result in identified programs not being fully funded.

To assist counties in identifying each of these four outcome measures, OCYF regional offices will discuss with each county which measures it should include in its NBPB. To avoid having to amend its NBPB, counties should obtain concurrence with the OCYF regional office prior to formal submittal of its NBPB. The University of Pittsburgh’s Child Welfare Training program also can provide county individual assistance in identifying these outcomes and linkages to program performance.

D. Regulatory and Licensing Issues

As part of the Planning Summary, the county must address any regulatory or licensing issues identified that affects the budget request.

1. CAPTA

The Child Abuse Prevention and Treatment Act (CAPTA) is a federal law under which qualifying states can obtain grants for a variety of training programs and for the prevention, treatment, and investigation of child abuse and neglect. For the first time since 1975, Pennsylvania submitted an application for a CAPTA basic state grant. In order to comply with the requirements of CAPTA, administrative and legislative changes are needed. One of these changes is ensuring the implementation of policies and procedures (including the referral to Child Protective Services (CPS) and for necessary services) to address the needs of infants born who are affected by illegal substance abuse or withdrawal symptoms resulting from prenatal drug exposure.

Under CAPTA, CCYAs must plan to provide or arrange for services to children who are born affected by illegal substance abuse or who suffer from withdrawal symptoms from prenatal drug exposure. While some CCYAs are already providing these services, all counties should evaluate their particular county’s situation and as needed, submit a budgetary adjustment detailing what, if any, additional services will be needed to ensure compliance with CAPTA.

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

Counties are required to ensure that any moment-in-time surveyed as part of the Random Moment Time Study (RMTS) is accurate as to the activity code being
recorded, the existence of auditable documentation required to support the activity being performed at the moment-in-time, and the resultant claim made for Title IV-E funds. Any Administration for Children and Families (ACF) disallowance incurred as a result of county noncompliance with either Title IV-E placement maintenance or Title IV-E administrative claim requirements will be the responsibility of the county. Act 148 funds may be used only to pay for the state share of eligible services for which the Title IV-E payment was disallowed.

E. Additional Budget Considerations

1. The maximum salary and benefit costs for a county personnel position in which the Department will participate will be the aggregate amount of salary and benefits when compared to a similar Commonwealth personnel position.

2. Each county (excluding Philadelphia that contracts separately for SWAN services) will receive a funding allocation for SWAN services. The allocation amount will be mailed to county administrators by May 15th. Because the SWAN allocation may not meet the full need of counties for permanency services, counties should request any additional required services through the Needs-Based Budget adjustment process to ensure permanency services are provided to all children in need of a permanent family.

3. CCYAs must accept for evaluation, all referrals on habitually truant children and provide intervention services to those children in appropriate cases. The Juvenile Act (42, Pa C.S., Chapter 63) defines one of the criteria of a dependent child as a child who while subject to compulsory school attendance is habitually and without justification truant from school. §6373 (relating to general protective services responsibilities of county agency) of the Child Protective Services Law (23 Pa C.S., Chapter 63) requires that each county agency is responsible for administering a program of general protective services to children consistent with the agency’s objectives to overcome problems that result in dependency. Truancy is a dependency issue.

II. Analysis of Existing Program

Describe how the county evaluates children and youth staff’s effectiveness in providing the required services. Address any staff retention or training issues in this section.

Describe any steps within the last year taken by the county to establish performance based contracting with the agency’s providers or other mechanism that the county uses to determine the effectiveness of provider contracts.

Programs for Children/Families Not accepted for services

In this section, the county must complete the form on Page 16 of this bulletin for each of its specific programs/contracts that keep children out of the formal child welfare or juvenile
justice system. These would include all services for which the county neither has an open case nor a case under assessment/investigation, including Nurse Family Partnership Programs. For each contract/program that meets these criteria the county must provide the following information in the attached Form covering the following points:

- Number served (unduplicated) in FY 2005-06 and projected to serve in FY 2006-07 and FY 2007-08
- The actual dollars expended for the program for FY 2005-06 and projected for FY 2006-07 and FY 2007-08.
- What specific outcomes have been measured for the program, specifically highlighting if the program has reduced the rate of placements or the overall number of children in placement.
- What cost centers within the counties budget has the implementation of the contract/program assisted in reducing cost or reducing the rate of costs
- If a program/contract does not have any measurable outcomes, a plan for how the county plans to assure the effectiveness of this plan.
- If a program/contract does not have positive outcomes then the county should provide justification for how it will either modify the program to obtain positive outcomes or move funds away from these programs to those programs that have demonstrable outcomes.

**NOTE:** In FY 2007-08, in order to consolidate the administration and oversight of the Nurse Family Partnership Program, this is expected to be funded through the Department’s Office of Child Development (OCD). We anticipate that NBB funding will no longer be applied to NFP but rather provided separately through individual grants to NFPs, based significantly on the Needs Assessment and information provided by the counties to the questions above. These expenditures should be extracted from your NBB request as an adjustment. The information provided including the county’s current budget expenditures for NFP will be used to determine the grant amounts to the NFPs.

### III. IDENTIFYING AND REQUESTING CHANGES IN RESOURCES

#### A. New Services and Enhancements to Existing Programs

The county should briefly explain requests for funding of new or enhancements to programs. The explanation should include why the county is seeking the new/enhanced program and how it relates to need identified in the county. In the specific budget adjustment forms for new initiatives or services, the county must identify cost savings, reduced rates and provide evidence that the new program is less expensive or more effective than the current service. For enhanced programs, the county must demonstrate that the program is effective, the level of program improvement expected and how it will reduce costs or the rate of future cost increases.

#### B. Medical Assistance Re-Alignment

Consistent with current regulations, CCYAs and JPOs may not pay for behavioral health treatment services for Medical Assistance (MA)-eligible children. In the past year, the
Department has been working with counties and providers to transition behavioral health treatment services from child welfare to MA reimbursement. In FY 2005-06, some providers utilized by child welfare and juvenile justice were enrolled into the MA program. Some of these providers were enrolled at different times during the fiscal year. To the extent that these providers did not enroll into the program, at the beginning of the FY 2005-06, a county child welfare/juvenile justice system may have had to pay for these costs. As such, the county should specifically identify these providers’ MA eligible costs for MA eligible children that will now be reimbursed by MA. Counties should identify these costs and make the appropriate budget adjustments. In addition, if there are additional expenditures that the county believes will be transitioned from child welfare to MA; those expenditures should be included as a specific budget adjustment.
Adoption Assistance and Foster Family Care Data

Provide the Number of Children for the following:

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Traditional Foster Care (non-kinship)

Subsidized Permanent Legal Custodianship (SPLC)

Reimbursed Kinship Care

Non-reimbursed Kinship Care
Programs for Children/Families Not Accepted for Services - FORM

Please complete for each program as defined on page 13.

NAME OF PROGRAM: ____________________________________________

CLIENT AND EXPENDITURE DATE:

|-----------------------|---------------------|-------------------|-------------------|---------------------|-------------------|-------------------|

NARRATIVE:

(1) What cost centers within the counties budget has the implementation of the contract/program assisted in reducing cost or reducing the rate of costs?

(2) What are the measurable outcomes of the program? Provide the actual outcomes for the last 3 years or since the program has been in existence if less than 3 years. If a program/contract does not have any measurable outcomes, please provide a plan for how the county plans to assure the effectiveness of this plan.

(3) If a program does not have positive outcomes, please provide justification for how it will either modify the program to obtain positive outcomes or move funds away from these programs to those programs that have demonstrable outcomes.
APPENDIX TWO

BUDGET FORMS AND INSTRUCTIONS
FY 2007-08 Needs Based Plan and Budget Forms

This part of the NBPB is intended to provide detailed justification for modifications to the current service levels and projected associated expenditures. The forms are designed to start with the county’s most recent Act 148 invoicing expenditure and revenue report forms and through a multiple-step process develop the county’s NBPB request with adequate support documentation. Data pertaining to children served by cost center is included on the NBPB expenditure form that is not on the invoicing report. This information must be provided. The NBPB submission will include the following steps:

1. First complete the Fiscal Summary form. Enter the County Code in the space provided. Enter the original submission date in the space provided. If the NBPB is revised, enter the revision date(s) and revision number(s) in the space(s) provided. The certified expenditures and allocations for FY 2005-06 will automatically populate. Enter the data from most recent allocation letter for FY 2006-07 in the column provided.

   There are two print Macros on this worksheet. One will print the three worksheets required to be submitted in “hard” copy with the plan. The second will print all the budget form worksheets (minimum of 25 pages).

2. Secondly, enter the expenditure and revenue data from the most recent Act 148 invoice submitted to the Bureau of Financial Operations (BFO) into the Actual Act 148 Invoice form. In Column P of the revenue report, enter the program income from the Option I column of the county’s most recent quarterly State Transition Grant (STG) Summary.

   Complete the two required supporting forms, Schedule of Services and Personnel Summary. The data on these forms must detail the expenditures reported in the “Purchased Services” and “Wages and Salaries” major objects of the most recent Act 148 invoice. The forms provide necessary data to analyze the county’s existing services and personnel. Both of the forms may be separately completed, and then specific contract and employee data may be copied into the worksheets of the Excel workbook. Insert rows if additional rows are needed.

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

   □ The County Name populates based on County Code entered in the Fiscal Management form.
The report period populates based on the quarterly report number entry in the Actual Act 148 Invoice form.

List each provider from which services were purchased and reported in the above Actual Expenditure Report under the “Purchased Services” column. Each cost center must be subtotaled and must agree with the corresponding cost center’s “Purchased Services” on the Actual Act 148 Invoice form.

Provide for each service provider within each cost center the following:

1. “Cost Center” - list the appropriate cost center by using the drop down menu.
2. “Provider” - list the name.
3. “Rate” - or cost per unit of service.
4. “Define Rate” – Describe the unit on which the rate is based (e.g., day, hour, session, etc.)
5. “Number of Units Provided” – Show the number of unit provided during the period.
6. “Total Cost” - rate times units (column three multiplied by column five).
7. “Target population” - identify the primary population to be served.
8. “Description of Service” – very briefly describe the service that best identifies what will be received by the children/families through the provider.

**NOTE:** Per the February 1, 2006 Special Transmittal, “Child-Specific Expenditure and Client Data Reporting,” expenses incurred for the delivery of child/family-specific services by an individual or contracted agency must be reported as a Purchased Service. If any such services are reported as a Consultant service within the major object, Operating, they must be listed in the section below the listing of all Purchased Services and labeled as “Consultants.” Provide a subtotal for each cost center and provide the same information concerning the Consultants as is required for Purchased Services.

**b. Summary of Approved Personnel Complement** (copy located in this appendix) details current filled and vacant Department approved positions. The worksheet in the county’s NBPB file must be completed; a separately submitted computer-generated form is not acceptable.

The County Name will automatically populate.

Enter the number of approved positions for FY 2005-06 based on the total number of Department-approved positions per the county’s FY 2005-06 certified letter.
Identify the report period which will be the same as the most recent Act 148 Invoice.

Enter the “Total Salaries” and “Total Benefits” for the period. Both must crosswalk with the totals in the Actual Act 148 Invoice form.

List the Position Number for all positions that were filled for any time during the report period.

Enter the staff category number (“1” thru “7”) based on categorization in the “CY Staff Summary” form. (Reference Staff Category Definitions/Instructions in Section 7 below.)

If a position is less than full-time, enter the appropriate percentage in the “percentage of time” column. Enter as a percentage or decimal. If full-time, leave blank.

Several employees may hold the same position within the report period; list all employees.

An employee may have held several positions during the report period. List that individual with each position and the salary for each position.

If an employee held the same position from July 1 until the end of the reporting period, “Beginning Date” and “Ending Date” columns do not need to be completed. Complete these two columns only if an employee was hired after July 1 or terminated employment before the end of the report period or changed positions during the report period.

“Approved Annual Salary” column should be the employee’s current approved annual salary and only needs to be completed for those lines with no ending date.

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

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

In addition, individually list all vacant positions as of the ending date of the report period. The “Approved Annual Salary” column should be the entry level salary of an employee if the position was filled. Employee number for vacant positions is left blank.

Based on data entries, the following calculations will occur and display:

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

3. If the most recent Act 148 Invoice is not for the fourth quarter, the county’s Annualized Expenditures are projected assuming 25 percent of the year’s expenditure is expended in each quarter with the exception of fixed assets. They are considered to be one-time costs and therefore not annualized. Revenues are projected at the same ratio to appropriate expenditures as exist in the actual report submitted but not to exceed existing “capped” allocations. STG revenue is projected based on the ratio of TANF revenue to expenditures as reported in the Actual invoice.

4. The county has an opportunity to make adjustments to the assumptions in item 3 by providing justification for all dollar differences. All adjustments to the assumptions must be justified on a form labeled “Adjustments to Estimated Actuals Base – FY 2005/06”.

Reference Appendix Three for adjustment form instructions and examples.

All "Adjustments to Estimated Actuals Base – FY 05/06" forms are summarized on “Summary of Adjustments to Estimated Actuals” Expenditure Report by major object by cost center, per instructions in Appendix 7.

5. The County’s Annualized Expenditures becomes the baseline for the Implementation Plan. Any dollar adjustment over the baseline must be justified. Revenues should be projected at the same ratio to appropriate expenditures as exist in the actual report submitted but not to exceed existing “capped” allocations. All adjustments over the baseline must be justified on a form labeled, “Adjustments to Implementation Plan Base – FY 2006-07”.

Reference Appendix Three for adjustment form instructions and examples.

All “Adjustments to Needs Based Plan and Budget Base – FY 06/07” forms are summarized on “Summary of Adjustments to NBPB Base” Expenditure Report by major object by cost center, per instructions in Appendix Three.

6. The County’s Implementation Plan submission becomes the baseline for the Needs Based Budget Request. Any adjustment over the baseline must be justified on separate form for each activity. All adjustments over the baseline must be justified on a form labeled “Adjustments to Needs Based Plan and Budget Base – FY 2007-08”.

Reference Appendix Three for adjustment form instructions and examples.

All “Adjustments to Needs Based Plan and Budget Base – FY 2007-08” forms are summarized on “Summary of Adjustments to NBPB Base” Expenditure Report by major object by cost center, per instructions in Appendix Three.
7. The Children and Youth Staff Assessment Summary (copy located in this appendix) contains information on positions and costs for FY 2005-06 year-to-date through FY 2007-08.

Column 1 – FY 2005-06 Positions and Personnel Costs per most recent Act 148 Invoice and Personnel Schedule
This column will automatically populate based on the entries in the “Personnel Summary” worksheet. The “No.” column will contain the number of current filled staff positions. The “Salaries” column will show year-to-date personnel costs.

CROSSWALK: The total personnel cost in Column 1 must crosswalk to the total salaries and benefits totals in the “Personnel Summary” form and the “Actual Act 148 Invoice” worksheets.

Column 2 – FY 2005-2006 Adjustments to Most Recent Act 148 Invoice
Show the positions and costs that have increased/decreased as a result of adjustments to the Act 148 invoice. The total salaries must crosswalk to the “Summary of Adjust. To Actuals” worksheet.

Column 3 – FY 2005-2006 Estimated Actuals
This column will automatically calculate by totaling both the positions and expenditures from Columns 1 and 2.

CROSSWALK: The total personnel cost in Column 3 must crosswalk to the salaries and benefit total on the “County’s Adjusted EST. Actuals” worksheet.

Column 4 – FY 2006-07 Maintenance Adjustments
Show the increased/decreased costs per staff category for staff raises, benefits increase, and annualizations as a result of adjustments to the Implementation base.

Column 5 – FY 2006-07 Certified Positions
This column will automatically populate based on the total number of positions approved per staff category as contained in the certified letter for FY 2006-07.

Column 6 – FY 2006-07 Vacant and New Staff Adjustments
Show the number and cost of vacant and new staff per associated adjustment to the Implementation base, if any.

CROSSWALK: The total personnel cost in Columns 4 and 6 must crosswalk to the salaries and benefits total on the “Summary of Adj. To IMP Base” worksheet.

Column 7 – FY 2006-07 Nonreimbursable Positions/Costs
Show the number and cost of nonreimbursable full- and part-time staff for FY 2006-07. These costs include those that exceed the allowable costs established in Chapter 3170 as well as costs for staff that were not certified for FY 2006-07.
Column 8 – FY 2006-07 Implementation Costs
This column will automatically calculate by totaling the positions and expenditures from Columns 3, 4, and 6. (Nonreimbursable staff and costs are not included in this column. If appropriate, they must be entered in Column 13 for FY 2007-08.)

CROSSWALK: The total personnel cost in Column 8 must crosswalk to the salaries and benefits total on the “County’s IMP PLAN” worksheet.

Column 9 – FY 2007-08 Maintenance Adjustments (Salaries, Benefits Increase, and Annualization)
Show the increased/decreased costs per staff category for staff raises, benefits increase, and annualizations as a result of adjustments to the NBPB base.

Column 10 – FY 2007-08 Vacant Position Adjustments
Show the number of approved positions by each staff category projected to be vacant as of July 1, 2007 as reflected in the adjustment to the NBPB base. Vacant staff costs are limited to ten months funding and should be projected based on historical trends for filling vacant positions. Assurances that projected vacancies will be filled must be included in the narrative.

Column 11 – FY 2007-08 Increased Staff/Costs
Show the increased staff/costs per associated adjustment as reflected in the adjustment to the NBPB base, if any. New initiative positions, if approved, may be funded for six months unless cost savings meet the requirements of Section 3140.17(c)(9). If the required cost savings will be achieved, up to ten months funding may be included.

CROSSWALK: The total personnel cost in Columns 9, 10, and 11 must crosswalk to the salaries and benefits total on the “Summary of Adj. to NBPB Base” worksheet.

Column 12 – FY 2007-08 Total Positions/Cost
This column will automatically calculate by totaling the positions and expenditures from Columns 8, 9, 10, and 11.

CROSSWALK: The total salaries in Column 12 must crosswalk to salaries and benefit totals of the “County’s NBPB” worksheet.

Column 13 – FY 2007-08 Nonreimbursable Positions/Cost
Show the number and cost of nonreimbursable full- and part-time staff for FY 2007-08. These costs include those that exceed the allowable costs established in Chapter 3170 as well as costs for staff included in Columns 8 and 10 that are not certified for FY 2006-07.

Staff Category Definitions/Instructions
Caseworkers 1 – Include all entry-level staff with an active case management caseload.
**Caseworkers 2 and 3** – With the exception of supervisors, include all staff with an active caseload that has case management responsibility for cases. Staff that provide services to clients but do not have case management responsibility for cases would be included and specified under "Other".

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

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

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

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

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

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

**Subtotal Staff/Salaries** – Enter the total of the staff salaries shown in Columns 1 through 12.

**Benefits** – Enter the percentage used to calculate benefits paid to all staff on the "No." column for each fiscal year. The percentage entered must be carried to two decimal places; e.g., 28.75 percent. In the "Salaries" column for each fiscal year, enter the cost of benefits (Subtotal Salaries x Benefits Percent). The subtotal salaries times the benefit percent must equal the benefit amount.

**Total** – Enter the total (Number of Staff and Cost of Salaries) for Columns 1 through 12.

**SECTION II - CASEWORKER AND SUPERVISORY RATIO**

**Caseworker to Family**

Show the average caseworker to family ratio for all casework staff with case management responsibility for an active family caseload. These four categories of caseworkers are defined as follows:

- **Intake Worker** - Staff who perform intake, assessment, and investigative functions.
- **CPS/GPS Worker** - Staff who perform services and case management related to in-home services. This includes adoption activities.
- **Placement Worker** - Staff who perform services and case management related to out-of-home placements.
- **Specialty Counselor** - Staff who perform client services related to specialized programs such as family preservation, child abuse and placement prevention projects, and risk assessment.
- **Generic Worker** – to be used only by CCYAs with generic casework staffs.

For FY 2005-06 show the average ratio as of June 30, 2005. For FYs 2006-07 and 2007-08, show the estimated average ratio based on service projections and staffing plans.
Supervisor to Caseworker

Show the average supervisor to caseworker ratio for all supervisors who directly supervise caseworkers with an active caseload. For FY 2005-06 show the average ratio as of June 30, 2005. For FYs 2006-07 and 2007-08, show the estimated average ratio based on service projections and staffing plans. Caseworkers include CPS/GPS workers, placement workers and specialty counselors as listed above.

8. The “Cost Center Analysis” form (copy located in this appendix) automatically populates. This is a comparison of expenditures by cost center covering the Estimated Actual, Implementation Plan, and the Needs Based Plan and Budget years. The “Total Expenditures” columns of the respective years’ Expenditure Reports are brought forward to the appropriate column of this form.

9. The “Fiscal Summary” form (CY-348) and “Budget Summary” form (CY-2) (copy located in this appendix) automatically populate with data from the appropriate expenditure and revenue reports, with the exception of Subsidized Permanent Legal Custodianship (SPLC) information on the CY-348 that requires entries on numbers of children served and days of care.

Revenue Detail (automatically adjust and calculate through automation program)

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

a. The federal financial participation (FFP) rate for Title IV-E Placement Maintenance (PM) and Adoption Assistance (AA) will be 55.05 percent through September 30, 2006 and 53.97 percent October 1, 2006 through September 30, 2007. The FFP rate for training remains at 75 percent, and the FFP rate for administration remains at 50 percent. The counties should assume continuation of these FFP rates until further notice.

b. Title XX and IV-B for FY 2007-08: Counties should budget based on their FY 2006-07 tentative allocation.

c. Temporary Assistance for Needy Families (TANF) funds for FY 2007-08: Counties should budget based on their FY 2006-07 tentative allocation.

d. State TANF Grant (STG) appropriation for FY 2007-08: Counties should multiply the FY 2006-07 tentative allocation by .5 to determine the level for FY 2007-08

e. The State Act 148 and county level funds will be determined by first subtracting all other source revenues from total allowable costs, and applying the appropriate, required reimbursement percentage to approved services.
10. The “Actual Expenditures”, “County’s Estimated Actual Expenditures”, “County’s Implementation Plan Expenditures”, and “County’s NBPB Expenditures” worksheets require data of the number of **children being served and days of care** for all cost centers.

- **In-Home Cost Centers**
  
a. In the “Children Served (County Staff)” column, for each cost center, provide an unduplicated count of children being served for the year by county staff associated to the expenditures in that cost center.

b. In the “Children Served (Purchased)” column, for each cost center, provide an unduplicated count of children being served for the year by the expenditures reported in the “Purchased Services” column.

c. In the block, identified as “Number of Children receiving only NON-PURCHASED In-Home Services” provide an unduplicated count of children being served for the year by county staff. If a child receives multiple services from county staff and is counted in several different cost centers in (a), count the child only once in this block.

- **Community Based and Institutional Placement Cost Centers**
  
a. In the “Days of Care” column, for each cost center, provide the number of bed days being purchased or provided by the county for the year associated to the expenditures in that cost center.

b. In the “Children Served (Purchased)” column, for each cost center, provide the unduplicated count of children served with the “Days of Care” reported in (a).
<table>
<thead>
<tr>
<th>PROVIDER TITLE</th>
<th>PROVIDER</th>
<th>REPORT PERIOD:</th>
<th>COUNTY NAME</th>
<th>TOTAL COST POPULATION:</th>
<th>DESCRIPTION OF SERVICE</th>
</tr>
</thead>
<tbody>
<tr>
<td>(List individually by cost center)</td>
<td></td>
<td>July 1, 2003 - September 30, 2005</td>
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<td>Cost Center</td>
<td>Community Based Facilities</td>
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<td>Administration</td>
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<td>Institutional Facilities</td>
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COUNTY NAME:

<table>
<thead>
<tr>
<th>Number of approved FTE positions for FY 05/06</th>
<th>Start of period: # of FTE positions filled</th>
<th>End of period: # of FTE positions filled</th>
<th>Total Number of Employees (full or part time) during period</th>
<th>Actual Act 148 Report Period ending:</th>
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<tr>
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<td>1.00</td>
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<thead>
<tr>
<th>Full Time Equivalent (FTE)</th>
<th></th>
<th></th>
<th>VACANT Positions OVERSTATED</th>
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<tbody>
<tr>
<td></td>
<td># of FTE Vacant positions at end of the period</td>
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<td>1.00</td>
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| 0.00%                                         | Average Number of positions (Full and Part-time) filled during the period |
| 0.00%                                         | Departure Rate of all employees during the report period |
| 0.00%                                         | Vacancy rate of all positions for the report period |

<table>
<thead>
<tr>
<th>Total Salaries for period:</th>
<th>Total Benefits for period:</th>
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<tbody>
<tr>
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</table>

Total Salaries must agree with Actual Expense Report

Total Benefits must agree with Actual Expense Report

List all positions that were filled during the Invoice Period and all Vacancies as of the end of the period.

List a position multiple times if held by different employees at different times.

Provide Beginning and Ending Dates when required.

<table>
<thead>
<tr>
<th>Position Number</th>
<th>Staff Category</th>
<th>Employee Number</th>
<th>Beginning Date if not employed July 1, 2005</th>
<th>Ending Date if not employed through end of Report Period</th>
<th>Approved Annual Salary</th>
<th>YTD Paid Salary</th>
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CHILDREN & YOUTH STAFF ASSESSMENT SUMMARY

SECTION I: CASeworker AND SUPERVIsory RATIOS

<table>
<thead>
<tr>
<th>CASEWORKER RATIOS</th>
<th>2005-06</th>
<th>2006-07</th>
<th>2007-08</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intake Worker to Family</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>CPS/SPS Worker to Family</td>
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<tr>
<td>Placement Worker to Family</td>
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<tr>
<td>Specialty Counselor to Family</td>
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<table>
<thead>
<tr>
<th>SUPERVISOR RATIOS</th>
<th>2005-06</th>
<th>2006-07</th>
<th>2007-08</th>
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</thead>
<tbody>
<tr>
<td>Supervisor to Caseworker</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Supervisor to Specialty Counselor</td>
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</table>
# County Children & Youth Social Service Programs

## COST CENTER ANALYSIS

### COUNTY:

<table>
<thead>
<tr>
<th>MAJOR SERVICE CATEGORIES &amp; COST CENTERS</th>
<th>County’s Adjusted Estimated Actuals</th>
<th>County’s Implementation Plan</th>
<th>County’s Needs Based Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>IN-HOME</strong></td>
<td>FY: 2006/07</td>
<td>FY: 2006/07</td>
<td>FY: 2007/08</td>
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<tr>
<td>Adoption Service</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Adoption Assistance</td>
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<td>0</td>
<td>0</td>
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<tr>
<td>Counseling - Dependent</td>
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| **COMMUNITY BASED PLACEMENT**          |                                     |                             |                             |
| Alternative Treatment - Dependent      | 0                                   | 0                           | 0                           |
| Alternative Treatment - Delinquent     | 0                                   | 0                           | 0                           |
| Community Residential - Dependent      | 0                                   | 0                           | 0                           |
| Community Residential - Delinquent     | 0                                   | 0                           | 0                           |
| Emergency Shelter - Dependent          | 0                                   | 0                           | 0                           |
| Emergency Shelter - Delinquent         | 0                                   | 0                           | 0                           |
| Foster Family - Dependent              | 0                                   | 0                           | 0                           |
| Foster Family - Delinquent             | 0                                   | 0                           | 0                           |
| Supervised Independent Living - Dependent | 0                   | 0                           | 0                           |
| Supervised Independent Living - Delinquent | 0                   | 0                           | 0                           |
| **SUBTOTAL CBP**                       | 0                                   | 0                           | 0                           |

| **INSTITUTIONAL PLACEMENT**            |                                     |                             |                             |
| Juvenile Detention Service             | 0                                   | 0                           | 0                           |
| Residential Service - Dependent        | 0                                   | 0                           | 0                           |
| Residential Service - Delinquent (Except YDC) | 0                   | 0                           | 0                           |
| Secure Residential Service (Except YDC)| 0                                   | 0                           | 0                           |
| YDC/Y P/O (Non-Secure)-Institutional   | 0                                   | 0                           | 0                           |
| YDC Secure                            | 0                                   | 0                           | 0                           |
| **SUBTOTAL INSTITUTIONAL**             | 0                                   | 0                           | 0                           |

| **ADMINISTRATION**                     | 0                                   | 0                           | 0                           |

| **TOTAL EXPENDITURES**                 | 0                                   | 0                           | 0                           |
## County Children & Youth Social Service Programs
### Budget Summary

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### REVENUES

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### PROGRAM INCOME

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APPENDIX THREE

EXPENDITURE ADJUSTMENT FORM – INSTRUCTIONS AND EXAMPLE
ADJUSTMENT FORM INSTRUCTIONS:

- Click on the worksheet for the appropriate fiscal year ("Summary of Adj. to Actuals" or "Summary of Adj. to Imp Base" or "Summary of Adj. to NBPB Base"). In the upper left corner of the worksheet, "click on" the button labeled "Enter Adjustments." This will open the Access database to the Start-up Form and close the Excel file. **Important:** Wait until Excel file closes before working in Access. If you left click on the Excel program on the Windows task bar, it will close quicker.

- Select the County name by using the drop down menu.

- Select the appropriate button “Enter Adjustments to Est./Act Plan,” “Enter Adjustments for Implementation Plan,” or “Enter Adjustments to NBB Plan.” You will automatically be taken to the last record (adjustment). Go to the bottom left of the screen, “Record” section. Using the left or right arrow, click to another record (forward or back) until you get to the record of choice.

- Each adjustment must be justified separately based on an activity or particular adjustment. Examples for Estimated/Actual Year: County Indirect Expenditures are charged to the program in the fourth quarter; Vacancies will be filled in fourth quarter; or declining number of placements during the year will continue in the 4th quarter. Examples for Implementation Plan or NBPB Years: Salary Increases for Existing Staff; Increase Cost of Existing Services; or Utilization of Services; Hiring of New Staff for Adoption Unit; New Services; or Purchase of Automobile.

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

- In the “Adjustment Title” section, give the adjustment a brief name for easier identification.

- Select the county name by using the drop down menu. The only county name that will be available to you is the county name selected on the start-up form. If no county name or an incorrect county name is available in the drop down menu, return to the start-up form to select or correct the selection.

- The “Classification” section contains a drop down to categorize the increase/decrease. Description and examples follow:

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

**A – Annualization** – Increasing/decreasing expenditures to adjust expenditures budgeted for a portion of the prior fiscal year. Examples: County indirects reported in the 2nd Q would not be annualized and therefore presented as a decrease; a new initiative implemented for six months that will require full-year funding in the next year; staffing changes that requires full-year funding in subsequent fiscal year.
E – Enhancement of Existing Service/Program – Increasing expenditures to enrich a service currently provided. Example: Visitation service currently funded expanded to include a debriefing for the parents after the visitation.

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

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

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

U – Utilization Increase/Decrease – Increase or decrease in units (days of care or children served) for a service currently purchased or provided by county staff. Examples: Increase/decrease in placement days of care; expenditures associated with a change in staff complement to adjust caseload ratios; school-based program established in additional locations; program/service that is discontinued. Utilization Increase/Decrease adjustments include Medical Assistance (MA) Re-Alignment expenditures; e.g., offsets realized through the identification of providers who were enrolled in the MA program and/or additional expenditures to be transitioned to MA.

- In the “Description of Service” section, briefly describe service being adjusted.

- In the “Justification Narrative” section, the county must provide the detailed information and data to support the decision to make the adjustment. The box to complete this section is expandable. Provide necessary detail to support the adjustment. For all changes in requested expenditures, the county must detail the steps taken to minimize any increase. Appropriately justify the county’s request as follows:

  - The predicted goal of the strategy which must relate to an outcome that assures the safety, permanency or well-being of the children served or the Balanced and Restorative Justice principles of Accountability, Competency Development and Community Safety.

  - The level of improvement expected in the relevant measure(s) because of the requested change.
Evidence indicating that the strategy will succeed in achieving its intended outcome and the measurement of the outcome.

Detail regarding the personnel operating costs (wages and salaries and employee benefits), fixed asset, or purchased service changes that specifically relate to the proposed activity.

How and to what level the requested activity will reduce or stabilize funding.

- If number of children or units is affected by the adjustment, provide the numbers in the section provided and include the number on the expenditure report of each year.

- The “Projection of Cost” section should detail the components of the calculation that produces the total estimate of cost, and the allocation plan distributing into the appropriate cost centers. This data box is expandable; therefore, provide sufficient detail to support the request amounts.

- **Offsets, if applicable** – If an adjustment to one cost center or major object of expenditure results in a decrease in another cost center or major object, the offset must be narrated in the “Justification Narrative” section and the expenditures must be a part of the calculation in the “Projection of Cost” section. If other adjustments are needed that affect those cost centers or major objects, they must be separately presented in another adjustment.

- The “Cost Center Adjustments” section is a breakdown of the total dollar amount for this particular adjustment by major object within each cost center affected. Use the drop down menu to select a cost center.

- “Totals for Adjustment” is a total of all cost centers listed in above. To update this section, go to the bottom left of the screen, “Record” section. Using the left or right arrow, click to another record (forward or back) and then return to the record being created. This will update the grand total for all cost centers in the adjustment.

- When completed with processing the adjustment(s), close the window (not the program) by clicking on the small black x in the upper right of the screen.

- The Start-Up Form reopens. At the bottom of the screen, click on the button “Return to Excel” which closes the Access database and opens the Excel File to “Summary of “Adjust. to Actuals” worksheet.

- In the upper left corner of the worksheet, click on the macro button labeled “Refresh Data” which totals all adjustments and summarizes by major objects within each cost center to the worksheet.

- Click on the pink “Summary of Adjustments” button (upper left corner of the worksheet) to print the Excel summary worksheet.

- Revenue should be projected at the same ratio to appropriate expenditures as exist in the actual revenue report. If additional revenue adjustments are needed, the county must
provide on separate documentation form, “Adjustments to Revenues” (Appendix Four), justifying the revenue adjustments and displaying the calculations made to determine the dollar amount.

- All “Adjustments to Revenues” for the actual year must be summarized on the “Adjustments to Actual Revenues” worksheet.

- All Expenditure and Revenue Adjustments will be reviewed by the regional program and fiscal staff for need and reasonableness.

- To delete an adjustment, place arrow and click on “Edit”, then click on “Delete Record.” When prompted to confirm, click on “Yes.”

- To print all adjustments, click on box on the summary of adjustment (Excel) worksheets. To print an individual adjustment record, click on the box at the bottom of the form to print that one record. Another print option is to click on “File” (which is located at the top of adjustment form screen). Then select “All” to print all adjustments or “Selected Record” to print the adjustment that is currently open.
Court Supervision Services has elected to devote increased attention to the provision of aftercare services during the Implementation and NBB years given both our troubling juvenile delinquency re-entry rates and the statewide focus on aftercare for delinquent youth. We would like to sustain any gains realized by the youth in an institutional environment through appropriate discharge planning and intensive supervision.

County Juvenile probation re-entry rates stood at 50% when assessed during the six month period April 1–September 30, 2004 well above the county rate of 31.5%, 6th class county average of 14.9% and state rate of 17.1% for the same period.

Earlier this year the Department of Education, Department of Public Welfare, Pennsylvania Commission on Crime and Delinquency, Juvenile Court Judges' Commission and Pennsylvania Council of Chief Juvenile Probation Officers memorialized their commitment to the issue of aftercare by issuing the "Joint Position on Aftercare for Delinquent Youth". The agency representatives noted that "model (aftercare) system must ensure that county children and youth agencies and juvenile probation departments, each year in their Needs Based Budget request, include services to support youth returning from delinquency placements." Aftercare was also a key goal of the juvenile justice plan presented to Governor Rendell by the Juvenile Justice and Delinquency Prevention Committee of the Pennsylvania Commission on Crime and Delinquency. Court Supervision intends to expand its relationship with the Mars Home for Youth during the Implementation Year to include an Intensive Aftercare Program with the hope of impacting our re-entry and recidivism rates. We envision a blending of the key ingredients of successful aftercare programs and intensive supervision models. Mars has demonstrated a commitment to assessing program outcomes as evidenced by their involvement with the Blueprint for Violence Prevention program of Multi-Systemic Therapy. Our involvement with Mars for residential services and MST make them a logical partner for this transitional service.

Information gleaned from the Child Welfare League of America's "Research to Practice Initiative - Juvenile Justice Aftercare, A Practice Sampler (March 2004)" indicates that successful aftercare programs link research in intervention and community restraint. Four overarching themes were discovered in the research on aftercare for high-risk offenders: Transition must be highly structured and implemented in accordance with specifications (Altschuler & Armstrong, 1999); programs must target both individual and contextual factors (Spencer & Walker, 2004); programs must combine high levels of community restraint with therapy (Altschuler & Armstrong, 1999; Gies, 2001); and treatment and supervision must be both intensive and long term (Gies, 2001; Spencer & Walker, 2004).

The Intensive Aftercare Program (IAP) is a model developed by Dr. David M. Altschuler of John Hopkins University, and Dr. Troy Armstrong of California State University at Sacramento based on research findings funded by the Office of Juvenile Justice and Delinquency Prevention (OJJDP) in the 1980's. The model is based on strain, social learning and social control theories and includes three overlapping phases and five major components. According to evaluations performed by the National Council on Crime and Delinquency (NCCD), sites across the country which adhered to the core characteristics of the model showed more strengths than shortcomings (Wiebush, McNulty, and Le, 2000).

The "Implementation and Outcome Evaluation of the Intensive Aftercare Program - Final Report" issued by the NCCD in March of 2005, indicated some favorable intermediate outcomes for IAP including: IAP youth had a shorter length of stay in institutions than control group youth; IAP youth were significantly less likely than controls to test positive for substance abuse while on parole supervision and IAP youth were significantly more likely then controls to be involved in vocational training for at least two months during aftercare (Wiebush, Wagner, McNulty, Wang, Le, 2005). The researchers further concluded that the results of the evaluation do not allow for a simple characterization of the effectiveness of IAP on reducing recidivism but rather that additional efforts at implementation and testing are warranted.

A series of studies on the use of intensive supervision for high-risk juveniles has shown that such programs are at least as effective as traditional placement in reducing recidivism and that they cost significantly less than institutionalization (Barton and Buttis, 1990; Wiebush (1993); Greenwood and Turner (1987). Much
Adjustments to Implementation Plan Base - FY 06/07

less evidence exists regarding the effectiveness of reintegration-focus interventions that include intensive supervision for juvenile parolees.

The Intensive Community Monitoring Program offered by Mars is designed to provide home and community-based monitoring and supervision of delinquent youth ages 11-18 that are at risk to commit additional juvenile offenses. Through the provision of services that are consistent with the Juvenile Court Judges Commission for intensive probation services, the community restraint program seeks to prevent further and more serious involvement with the juvenile justice system. A service plan is developed for each youth by an Intensive Monitoring Specialist based on Balanced and Restorative Justice. Supervision includes weekly contact with the family while the youth progresses through three levels of service intensity beginning with three personal contacts per week and progressing to one contact per week prior to closure. Drug and alcohol testing is also provided for those youth requiring this service. Court Supervision will work in conjunction with Mars Home for Youth to modify the existing Intensive Community Monitoring Program to more closely resemble the Intensive Aftercare Model developed by Drs. Altschuler and Armstrong. The results of the IAP evaluation emphasize that the IAP model "cannot simply be lifted off the shelf or indiscriminately implemented" (Wiebusch, Wager, McNulty, Wang, Le, 2005).

Court Supervision is committed to the concept that effective aftercare furthers the Commonwealth’s goal of Balanced and Restorative Justice. Offenders’ competencies, community safety and offender accountability are simultaneously achieved through the provision of effective aftercare services. Also addressed are the CFSR outcomes of permanency and well being when youth and families are stabilized and made self-sufficient.

Attached is an Aftercare Research Summary from the Probation Planning and Implementation subgroup. There are current pilot programs in Colorado, Nevada, and Virginia. Early results indicate such programs demonstrate few significant differences in the category of re-offending as compared to control groups. PA DPW conducted a study of youth released from YDC/YFC facilities to both intensive aftercare and traditional aftercare and found no significant differences in the re-arrest and re-incarceration rate.

However, some research does suggest there may be positive effects from combining treatment services with intensive aftercare. The contractor selected for the intensive aftercare program is also the contractor for the Multisystemic Treatment program and the combination of treatment and surveillance may enhance the effects of both services. We will be compiling local statistics for inclusion in subsequent years plans.

Addl Children/Units of Service:

Projection of Cost:

- Service will be provided to 7 youth currently receiving MST services at an additional cost of $27.00 per day.
- 7 kids x 365 days x $27 = $68,985
## Adjustments to Implementation Plan Base - FY 06/07

### Cost Center Adjustments

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### Totals for Adjustment

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### Classification:

- **A** = Annualization
- **E** = Expansion of Existing Service/Program
- **F** = Fixed Asset
- **M** = Maintaining Existing Service
- **N** = New Program/Service
- **U** = Utilization Increase/Decrease

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**Adjustment # 5**

APPENDIX FOUR

REVENUE VARIANCES AND INSTRUCTIONS
ADJUSTMENTS TO REVENUES
INSTRUCTIONS

If circumstances exist in a county that would affect either the Program Income, federal Title IV-E direct claim or the cost pool construction for the Title IV-E administrative claim, those circumstances must be described so that the Department has the ability to determine how the circumstances should be reflected in the calculation. Example: purchase of a motor vehicle exceeding $25,000 that cannot be included in the cost pool for the administrative claim.

Detailed information on how to complete the Revenue Variance Form follows:

1. Complete the FY for which the adjustment is being made.

2. Insert your county name in the space provided.

3. In the “Justification” section, describe the need for the adjustment and provide detailed documentation to support the requested adjustment.

4. In the “Calculations:” section, show the calculations to determine the amount of the adjustment and distribution by cost center of the total requested adjustment.

5. Summarize the county’s requested adjustments on the Revenue Report of the appropriate fiscal year “Summary of Adjustment …” worksheet.
Adjustments to Revenues
FY:________
County:____________________

Justification:

Calculations: (include cost center breakdown of revenue changes)
APPENDIX FIVE

ASSURANCE OF COMPLIANCE/PARTICIPATION FORM
DOCUMENTATION OF PARTICIPATION BY THE JUVENILE COURT
&
DOCUMENTATION OF PARTICIPATION BY THE JUDICIARY
ASSURANCE OF COMPLIANCE/PARTICIPATION FORM
DOCUMENTATION OF PARTICIPATION BY THE JUVENILE COURT

The Assurance of Compliance/Participation Form

The Assurance of Compliance/Review Form provided in this bulletin must be signed by the county executive or a majority of the county commissioners and the Juvenile Court Judge(s) or his designee and submitted with the FY 2007-08 Needs Based Plan and Budget. The signature(s) of these officials represents a commitment to provide the local funds specified in the Plan as necessary to obtain the matching state and federal funds.

COUNTY: ____________________________________________________________

These assurances are applicable as indicated below. Please check the applicable item(s).

_____ Fiscal Year 20__ - 20__ Children and Youth Needs Based Plan and Budget Estimate and/or the
_____ Fiscal Year 20__ - 20__ Children and Youth Implementation Plan.

Note: A separate, signed Assurance of Compliance/Participation form must accompany the Children and Youth Implementation Plan and the Needs Based Plan and Budget when they are submitted separately.

I. COMMON ASSURANCES

I/We assure that the capacity of both the county and the providers has been assessed and it is my/our judgment that it will be adequate to implement the Plan as presented.

I/We assure that, where possible, the county will cooperate with state efforts to maximize the use of federal funds for the services in this Plan.

I/We hereby expressly, and as a condition precedent to the receipt of state and federal funds, assure that in compliance with Title VI of the Civil Rights Act of 1964; Section 504 of the Federal Rehabilitation Act of 1973; the Age Discrimination Act of 1975; the Americans with Disabilities Act of 1990; the Pennsylvania Human Relations Act of 1955, as amended, and 16 PA Code, Chapter 49 (Contract Compliance Regulations):

1. I/We do not and will not discriminate against any person because of race, color, religious creed, ancestry, national origin, age, sex, sexual orientation or disability:
   a. in providing services or employment, or in our relationship with other providers;
   b. in providing access to services and employment for handicapped individuals.

2. I/We will comply with all regulations promulgated to enforce the statutory provisions against discrimination.
I/We further hereby agree that all contracts for the provision of services addressed herein will require the Providers to comply with these same provisions.

I/We assure that all information herein is true to the best of my/our knowledge and belief, based on my/our thorough review of the information submitted, and that expenditure of funds shall be in accordance with these Plans and estimates and Department of Public Welfare regulations.

II. SPECIFIC ASSURANCES (Please Check All Applicable Items):

___ I/We assure that these Plans comply with the “Planning and Financial Reimbursement Requirements For County Children and Youth Social Services Programs” as found in 55 PA Code Chapter 3140.

___ I/We assure that services required by 55 PA Code 3130.34 through 3130.38 will be made available as required by 55 PA Code 3140.17(b)(2).

___ I/We assure that, when approved by the Department of Public Welfare, the attached Children and Youth Implementation Plan and Needs Based Plan and Budget, including any new initiatives, additional staff and/or increased services and special grants that are approved, shall be the basis for administration of services under Article VII of the Public Welfare Code, (62 P.S. §701 et seq.), as amended, and

___ I/We assure that these documents shall constitute the agreement required by Title IV-E of the Social Security Act (42 U.S.C. §672 (a)(2)) for foster care (Placement Maintenance) payments.

___ I/We assure:

• all Title IV-E State Plan and foster care maintenance payment eligibility requirements are met for the specified children, not merely addressed by the agreement;
• the County Children and Youth Agency and Juvenile Probation Office has the responsibility for placement and care of the children for whom Title IV-E foster care maintenance (Placement Maintenance) payments are claimed;
• the County Children and Youth Agency/Juvenile Probation Office will provide each child all of the statutory and regulatory protections required under the Title IV-E agency, including permanency hearings, case plans etc.;
• the agreement between the Office of Children, Youth and Families and the County Children and Youth Agency/Juvenile Probation Office shall be binding on both parties; and
• the State Title IV-E agency shall have access to case records, reports or other informational materials that may be needed to monitor Title IV-E compliance.

___ I/We understand that any Administration for Children and Families (ACF) disallowance incurred as a result of county noncompliance with either Title IV-E placement maintenance or Title IV-E administrative claim requirements will be the responsibility of the county. Act 148 funds may be used only to pay for the state share of eligible services for which the Title IV-E payment was disallowed.

___ I/We understand that the accompanying budget projections are based on estimates and that the amounts may change when the state budget is adopted and final allocations are made.

___ I/We understand that substantial changes to the Plans subsequent to Departmental approval must be submitted to the Regional Office of Children, Youth and Families for approval.

___ I/We assure that the County Children and Youth Advisory Committee has participated in the development of this Plan and has reviewed the Plan as submitted.
I/We assure that representatives of the community, providers and consumers have been given the opportunity to participate in the development of this Plan.

I/We assure that the county programs that affect children (e.g., Mental Health, Mental Retardation, and Drug and Alcohol) have participated in the development and review of this Plan.

Signature(s) - Non-Joinder Counties:

County Executive/Mayor

_________________________________________  ______________________________  ____________
Name                                                                                     Signature                                      Date

County Commissioners

_________________________________________  ______________________________  ____________
Name                                                                                     Signature                                      Date

_________________________________________  ______________________________  ____________
Name                                                                                     Signature                                      Date

_________________________________________  ______________________________  ____________
Name                                                                                     Signature                                      Date

Juvenile Court Judge(s)/ Designee

_________________________________________  ______________________________  ____________
Name                                                                                     Signature                                      Date

_________________________________________  ______________________________  ____________
Name                                                                                     Signature                                      Date

III. CHILD SERVING SYSTEM ASSURANCES

I/We assure that I/we have participated in the development of the Plan, are in agreement with the Plan as submitted and that all mandated services if funded by the Plan will be delivered. Each plan requires both signatures.

Children and Youth Administrator

_________________________________________  ______________________________  ____________
Name                                                                                     Signature                                      Date
APPENDIX SIX

NUMBER OF CHILDREN SERVED
via IN-HOME SERVICES BY COUNTY STAFF
(EXPLANATION/CALCULATION)
Explanation/Calculation for Number of Children Served by County Staff

Instructions

This explanation/calculation is only for in-home services for children served by county staff.

1. Insert your County name in the space provided.

2. In the “Explanation/Calculation” section, briefly explain the methodology used to identify the unduplicated count of children served in each of the In-Home Cost Centers, including specifics as to what children were included in that count. (Each child is counted one time per cost center but may be counted in multiple cost centers.)
Number of In-Home Children Served by County Staff
(Explanation/Calculation)

County: ____________________

Explanation/Calculation
APPENDIX SEVEN

PERMANENCY SERVICES WORKSHEET (CY-919)
and INSTRUCTIONS
INSTRUCTIONS FOR COMPLETING THE PERMANENCY SERVICES WORKSHEET
(CY-919)

INTRODUCTION

The Permanency Services Worksheet provides a detailed picture of the county children and youth agency’s (CCYA) total projection for permanency services, projected units and projected costs. The form is completed for FY 2007-08 only. These services may be COUNTY PROVIDED SERVICES (Column 1), COUNTY PURCHASED SERVICES (Column 2) from a licensed adoption service provider, or requested from the SWAN PRIME CONTRACTOR (Column 3). The worksheet, which is included in the budget form workbook, must be completed.

Each county (excluding Philadelphia that contracts separately for SWAN services) will receive a funding allocation for SWAN services. The allocation amount will be mailed to county administrators by May 15th. Because the SWAN allocation may not meet the full need of counties for permanency services, counties should request any additional required services through the Needs-Based Budget adjustment process to ensure permanency services are provided to all children in need of a permanent family.

OCYF initiated a reallocation process in FY 1999-2000 to maximize the unspent funds for units of service in the SWAN Prime Contract. The reallocation addresses the amount that the county will spend of their original allocation for services from the SWAN Prime Contract and whether the county needs additional funds for services within the remainder of the fiscal year. Each county will be provided with a needs survey and CY-919 to be submitted to OCYF by mid March. On March 30th of the calendar year, all SWAN funds that have not been referred by all counties will be re-distributed based upon the results of the reallocation survey. The results of the reallocation process will be determined by OCYF. OCYF will inform the SWAN Prime Contractor how to adjust any unspent contract funds for the fiscal year in order to enable counties to move more children closer to finalization. OCYF will notify those counties requesting additional funds of all additional funds approved.

PURPOSE

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

GENERAL INFORMATION

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

<table>
<thead>
<tr>
<th>Service</th>
<th>Unit Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Child Profile</td>
<td>$2,000</td>
</tr>
<tr>
<td>Child Preparation</td>
<td>$2,000</td>
</tr>
<tr>
<td>Child Specific Recruitment</td>
<td>$3,000</td>
</tr>
<tr>
<td>Placement</td>
<td>$4,000</td>
</tr>
<tr>
<td>Finalization</td>
<td>$3,500</td>
</tr>
<tr>
<td>Family Profile</td>
<td>$2,500</td>
</tr>
</tbody>
</table>

**Post-Permanency Services (3):**

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

**SERVICE CATEGORY DEFINITIONS**

**CASE MANAGEMENT**

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

**CHILD PROFILE**

The child population served now includes children in the legal custody of county agencies and/or children who have a court-ordered goal of adoption, placed with a permanent legal custodian, or placed permanently with a fit and willing relative. A child profile is a review and assessment of the child’s life to assist in identifying a permanent family, to identify strengths and risk factors, and to maintain a history for the child. Topics to be addressed in the child profile are contained in the CYF Bulletin #3350-03-01 on page 16 and in Attachment B.

**CHILD PREPARATION**

The child population served now includes children in the legal custody of county agencies and/or children who have a court-ordered goal of adoption, placed with a permanent legal custodian, or placed permanently with a fit and willing relative. This service is described in CYF Bulletin #3350-03-01 on page 18 and in Attachment E. This unit involves the development and implementation of the written child preparation plan for the planning and preparation of the child for permanent placement.
CHILD-SPECIFIC RECRUITMENT

The child population served now includes children in the legal custody of county agencies and/or children who have a court-ordered goal of adoption, placed with a permanent legal custodian, or placed permanently with a fit and willing relative. Child-specific recruitment includes all activities used to identify an individual or family who is interested in adopting or providing permanency to a specific child. This person or persons whose qualifications match the service needs of the child are identified through specialized activities.

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

CHILD PLACEMENT

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

ADOPTION FINALIZATION

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

POST-PERMANENCY SERVICES (3 types)

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

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

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

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

Support Group

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

Respite

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

FAMILY PROFILE

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

COLUMN INSTRUCTIONS

COLUMNS 1 AND 2

For each service, enter the projected number of units to be provided as COUNTY PROVIDED SERVICES (Column 1) or as COUNTY PURCHASED SERVICES (Column 2). Complete the Total Cost for each unit in each column which MUST agree with the Total Expenditures on line 1-A, Adoptive Services, of the “County’s NBPB Expenditures”. Services provided directly by the county may include personnel and appropriate operating expenditures. Projected unit costs for each service category in COUNTY PURCHASED SERVICES must reflect no more than the unit cost in CYF Bulletin #3350-03-01 when contracting for identical services. The totals of Columns 1 and 2 are totally separate from the SWAN units in Column 3 of this worksheet.

COLUMN 3
For each appropriate service, enter the number of units of service that the CCYA projects to request from the SWAN PRIME CONTRACTOR based upon the amount of funds allocated for SWAN services. These units may not be duplicated in the projected units and costs in Columns 1 and 2. The estimate for Column 3 should be based upon what the county agency can realistically accomplish in working cooperatively with the SWAN Prime Contractor within FY 2007-08 and reflect the unit costs in the CYF Bulletin #3350-03-01.

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

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

TOTALS

Enter the sum of the Total Cost Column under COUNTY PROVIDED SERVICES and the sum of the Total Cost Column under COUNTY PURCHASED SERVICES.

COUNTY’S TOTAL ADOPTION SERVICES

Enter the sum of the Totals from Column 1 and Column 2 must correlate to the total of the “Adoption Services” cost center on the “County’s NBPB Expenditures” Worksheet.
APPENDIX EIGHT

INFORMATION TECHNOLOGY COSTS
INFORMATION TECHNOLOGY COSTS

Beginning with State FY 2006-07 all Information Technology (IT) costs were a part of the NBPB, eliminating the separate grant process for IT related costs. Any change in IT costs will need to be justified through an Adjustment to NBPB Base. If any IT purchase is via a sole source contract, a specific explanation must be included to justify this type of procurement. The Appendix contains a listing of IT Allowable Costs. The IT Request form, which is included in the budget form workbook, must be completed to reflect all anticipated IT purchases for FY 2007-08.

I. Schedule Information Technology Costs

Counties must complete the attached Schedule of Information Technology Costs listing all anticipated purchases for FY 2007-08. This Schedule will be reviewed to ensure compliance with federal and state regulations.

II. Definitions of Information Technology Allowable Costs

Counts may only be reimbursed for the purchase of IT equipment that is in compliance with and approved by Commonwealth standards. A complete listing of these standards will be distributed to counties via E-Gov in June. Anticipated contracts for IT related purchases which exceed $1 million for sole source acquisitions and exceed $5 million for competitive bid acquisitions must be prior approved by the Department.

A. Hardware

1. Personal Computers (PCs) - CCYAs may purchase/lease one PC per user. The numbers of users are determined by the number of casework, supervisory, administrative, and clerical staff listed in the CCYA’s latest Needs-Based Plan and Budget. The expectation is that PCs will not need to be replaced until, a minimum of, three years of use. PCs must meet the following criteria:

   Laptop:
   
   a. 1.40GHz, Pentium M, 14.1 XGA  
   b. 512MB,1 Dimm, Double Data Rate  
   c. 40GB Hard Drive 9.5MM 5400RPM  
   d. Windows 2000 Pro SP4 or Windows XP Pro License,  
   e. Internal 56K Modem  
   f. Integrated NIC  
   g. 65W AC Adapter  
   h. Combo/CD - RW/8x DVD Drive  
   i. 6-Cell/53 WHr Primary Battery  
   j. 3-year parts and labor, On-site warranty maintenance  
   k. Standard carrying case
Desktop:

a. Intel Pentium 4 Processor 520 – 2.8 GHz  
b. 512MB DDR2 Non-ECC SDRAM, 400MHz  
c. 17" Color CRT Monitor or 15-inch LCD Display  
d. 2 button Optical Mouse / Keyboard  
e. 1.44, 3.5 Inch Floppy Drive  
f. Combo/CD – RW/8xDVD Drive  
g. 3yr. Parts and Labor, Onsite Warranty Maintenance  
h. Windows 2000 Pro SP4 or Windows XPP Pro License

2. File Servers – The cost of a file server is based on the amount of storage needed and hardware failure protection desired. A server that can be configured so that the operating system is mirrored and the data is kept on a hardware RAID 5 array is recommended as a minimum. In this configuration the cost of a server will be driven by how much storage is needed by the office. Also recommended is an integrated backup device with the capacity to perform full backups nightly. Additionally, the server should be connected to a battery backup device with signal conditioning for electrical protection. The battery backup device should be configured to shut the server OS down cleanly before the battery expires.

3. Printers – Counties may purchase one (1) Laser Printer per group of users. A reasonable number of users per group are usually five (5) to ten (10) people sharing the same printer. The cost per printer should include at least a one-year equipment warranty period. Replacement of printers is permitted after five years of use. Any printer should be listed with the basic information, such as make, model, and type of printer.

B. Software

1. Server Operating System – The file server operating system is listed separately due to the multi-user-pricing scheme. CCYAs may spend up to $1,000, the cost of Windows Server 2003 Standard Edition, for a server operating system. Additionally, Client Access Licenses (CALs) must be purchased for each PC that will connect to the server. Five CALs are included with the server OS purchase. If six or more PC’s will connect to the server additional CALs must be purchased for each PC after the first five. CALs can be purchased in five (5) or 20 license increments at the cost of $200 or $800 dollars.

2. PC Application Software – The CCYA may purchase single-user application software, such as Microsoft Office 2003, that operates directly from an individual PC. CCYAs may spend up to $550 per PC for PC application software at the time the PC is purchased.

IMPORTANT: FEDERAL PARTICIPATION IS NOT ALLOWED FOR THE PURCHASE OF ANY PROPRIETARY IT APPLICATION (45 CFR 95.617)
C. **Communications**

1. **Network Wiring** – The costs to purchase and install wiring to connect IT equipment to the agency’s or to the CCYAs local area network.

2. **Connections to Wide Area Network** – Charges to install connections to the statewide central index and the periodic charges for these connections.

D. **Consultants**

Counties may charge the costs of technical consultants needed to maintain the current IT system. Based on the cost per system user for CCYAs operating an existing child welfare information system, counties may budget and spend up to $800 per system user for consultant costs.

E. **Maintenance of Equipment**

New equipment comes with either a one-, two-, or three-year warranty. Service can be either on-site or off-site service. We suggest that all new equipment be purchased with at least a one-year, preferably, a three-year, maintenance contract. For existing maintenance equipment, CCYAs should budget for equipment maintenance when the new equipment maintenance contract expires. A guideline of current rates should be close to $15/PC per month, $35/server per month and $20/laser printer per month.

F. **County Staff Costs**

CCYAs may budget the cost of salaries, wages, and benefits for county technical staff needed to maintain and operate the IT system and program staff time that is dedicated to statewide information system planning.

G. **Other IT Operating Costs**

Any operating costs related to IT not identified in items C through F. Other operating costs include the costs of consumable supplies such as computer disks, printer cartridges and consultants, etc., that are necessary for the operation of the IT system. Also included are travel costs that are related to the development, implementation, or operation of their IT system. The costs of IT related employee travel include allowance for meals, lodging and other related expenses such as parking fees and tolls as well as travel related to participation in statewide information system planning. Department participation will adhere to prevailing county practice but will, in no case, exceed the rates paid by the Commonwealth for its employees.
APPENDIX NINE

E-Gov Submission - Instructions
Uploading the Needs Based Budget Files to e-gov


Preparing the Needs Based Budget Files Using the Designated County-Specific Naming Conventions

1. After you completely filled out the Needs Based Budget information, close your Excel spreadsheet.
2. Locate, move your mouse over, and double-click the “Shortcut to Needs Based Budget” on your desktop. The “Needs Based Budget” window opens.
3. In the “Needs Based Budget” window, locate and right-click on the Excel file titled “NBB07-08.” A submenu appears.
4. On the submenu, locate and click on “Copy.”
5. In the “Needs Based Budget” window, right-click on a blank space within the window. A submenu appears.
6. On the submenu, locate and click on “Paste.” In the “Needs Based Budget” window, an Excel file titled “Copy of NBB07-08.xls” will be created.
7. In the “Needs Based Budget” window, locate and right-click on the Excel file titled “Copy of NBB07-08.” A submenu appears.
8. On the submenu, locate and click on “Rename.” In the “Needs Based Budget” window, the Excel file title “Copy of NBB07-08” turns blue signifying that you can now rename the file.
9. Using your county’s naming convention, as described below, rename the Excel file in preparation for uploading it to the eGovernment website.

Naming Convention:

NBB + County Code[2 digits[01-67]] + [*] Wildcard

Extension:

“XLS” (for an MS Excel File)
(Example: NBB01.MDB and NBB01.XLS – Needs Based Budget for Adams County).

NBBxx*.XLS

NBB - identifies the file as Needs Based Budget
xx - County Number (example 01)
* - Special Identifier MMDDYY

Under this naming convention, Adams would be
NBB01042705 .XLS

10. Press the “Enter” key on your keyboard to confirm the name change.

11. In the “Needs Based Budget” window, locate and right-click on the Access file titled “NBB07-08.mdb.” A submenu appears.
12. On the submenu, locate and click on “Copy.”
13. In the “Needs Based Budget” window, right-click on a blank space within the window. A submenu appears.
14. On the submenu, locate and click on “Paste.” In the “Needs Based Budget” window, an Access file titled “Copy of NBB07-08.mdb” will be created.
15. In the “Needs Based Budget” window, locate and right-click on the Excel file titled “Copy of NBB07-08.mdb.” A submenu appears.
16. On the submenu, locate and click on “Rename.” In the “Needs Based Budget” window, the Access file title “Copy of db1_Backup” turns blue signifying that you can now rename the file.

17. Using your county’s naming convention, as described below, rename the Access file in preparation for uploading it to the eGovernment website.

   Naming Convention:
   NBB + County Code[2 digits[01-67]] + [*] Wildcard

   Extension:
   “MDB” (for an MS Access File)
   (Example: NBB01.MDB – Needs Based Budget for Adams County).

   NBBxx*.MDB

   NBB - identifies the file as Needs Based Budget
   xx - County Number (example 01)
   * - Special Identifier MMDDYY

   Under this naming convention, Adams would be
   NBB01042705.MDB

18. Press the “Enter” key on your keyboard to confirm the name change.

19. In the “Needs Based Budget” window, locate and click on the red “X” to close the “Needs Based Budget” window.

Logging on to the eGovernment Website

1. DPW will notify the business partner via email that they have processed the respective files and are ready for delivery. This email will contain a link to the DPW eGovernment Secure Data Exchange web site.

2. The business partner will open the email and click the above-mentioned link. This will automatically launch the standard web browser client on business partner desktop and make the initial connection to the DPW eGovernment Secure Data Exchange web site.
3. Once the connection is established, the business partner sees a system logon. The user will then input pre-defined logon information in the username and password fields and then click the Logon button.

Logging on to the eGovernment Website (cont’d)
4. Once logged onto the system, the business partner web browser is automatically directed to files specific for the current business partner.

Uploading the Needs Based Budget Files to e-gov
1. Log onto the DPW eGovernment Secure Data Exchange website using the above System Logon procedure.
2. Once logged onto the system click the Browse button to launch the Choose File dialog box.
Uploading the Needs Based Budget Files to e-gov (cont’d)

3. Select the directory location from the Look In field, select the file to upload and then click the Open button to confirm.

4. Upon clicking the Open button in the Choose File dialog box, the file path will display in the file path field of the web page.
Uploading the Needs Based Budget Files to e-gov (cont’d)

5. Click the Upload File button to submit this information and upload the file. To cancel an upload after initiating, click the standard stop button on the web browser toolbar.

6. The file name will then display on the Files Uploaded list on the web page after being successfully uploaded.

Subsequent Needs Based Budget file requests.

1. Please ensure all edits are made to the original “Needs Based Budget files.”
2. Locate, move your mouse over, and double-click the “Shortcut to Needs Based Budget” on your desktop. The “Needs Based Budget” window opens.
3. If the edits are to the Excel file, in the “Needs Based Budget” window, locate and double-click on the Excel file titled “NBB07-08.”
4. Make the necessary edits, save and close the file.
5. If the edits are to the Access file, in the “Needs Based Budget” window, locate and double-click on the Access file titled “NBB07-08.”
6. Make the necessary edits, save and close the file.
7. Rename the “Needs Based Budget files” and upload following the instructions listed above.
8. Repeat this procedure for any additional files to upload.