"We believe that a community-neighborhood approach with clearly defined roles between county and provider staff will positively impact safety, permanency, and well-being."

What are we working together to achieve?

- More children and youth maintained safely in their own homes and communities.
- More children and youth achieving timely reunification or other permanence.
- A reduction in the use of congregate care.
- Improved child, youth, and family functioning.

The City of Philadelphia
Department of Human Services

The Improving Outcomes for Children Initiative

Community Umbrella Agency
Fiscal Guidelines

Effective July 1, 2016*

* These Guidelines may be revised at any time or specific Interim Guidelines may be issued.

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INTERPRETATION AND ORDER OF PRECEDENCE

These Guidelines are issued by the Philadelphia Department of Human Services (DHS) and must be interpreted as consistent with the most recent version of the City of Philadelphia Professional Services Contract General Provisions for the Department of Human Services Improving Outcomes for Children Community Umbrella Agency, hereinafter referred to as the "IOC General Provisions." In the event of a discrepancy between these Guidelines and the IOC General Provisions, the IOC General Provisions shall control.

Additionally, the CUA is bound by all current and future CUA Practice Guidelines, CUA Fiscal Guidelines, Philadelphia DHS Departmental and Administrative Policy Directives, Policy Transmittals, Guides, Interim Guidelines, applicable Performance and Service Standards, as well as any applicable Pennsylvania Department of Human Services (PA DHS) or Office of Children, Youth, and Families transmittals and bulletins, and City, State or Federal regulations that may be issued. These documents should be referred to when necessary for clarification.

CASE MANAGEMENT FUNDING AND REIMBURSEMENT

BIRTH CERTIFICATES

- DHS obtains birth certificates for children and youth at their initial placement. Therefore, CUAs do not need to request birth certificates for children and youth experiencing their first placement.
- Under certain circumstances, the CUA must request a birth certificate, by completing and submitting a Birth Certificate/Death Certificate Request form. This form is required to obtain the following:
    - Birth certificates for children and youth receiving in-home services.
    - Replacement birth certificates, including for children and youth who are reentering placement.
    - Out-of-state birth certificates: In addition to the Birth Certificate/Death Certificate Request form, CUAs must also obtain, complete, and submit to DHS any forms or applications required by the jurisdiction issuing the birth certificate.
- Emergency birth certificate requests:
    - When necessary to comply with a court order, a check to pay for a birth certificate may be issued within approximately two days of submission.
    - Such emergency requests may only be made for Pennsylvania birth certificates.
    - To make an emergency birth certificate request, the CUA must follow the above process and indicate on the form that it is an emergency request.
- Apart from emergency requests, birth certificate requests require at least eight weeks to fulfill.
- When the birth certificate is ready to be picked up, DHS will contact the CUA by phone or email.
- DHS pays for birth certificates directly and will not reimburse CUAs for payments for birth certificates.
    - The CUA must not include costs related to obtaining birth certificates in its DHS budget.
    - The CUA must not use its Discretionary Fund to pay for birth certificates.

- The CUA may address related questions to the Administrative Services Unit at dhsbirthcertificaterequests@phila.gov.

BOARD EXTENSIONS

- All applicable board extensions must be completed every six months until the youth reaches the age of 21, as long as the youth qualifies for continued service.
- The board extension request must be emailed to the Accounts Payable Unit in the DHS Finance Division (CUABoardExtensions@phila.gov). The request must include the documentation listed below. This documentation must also be scanned and uploaded into Philadelphia DHSConnect under the youth's "Assessment and Planning" folder.
- Board extensions require the following documentation:
  - Board extension agreement, signed by the youth and the CUA Case Manager. Signatures must be hand-written and the document scanned; typed signatures will not be accepted.
    - Note: This board extension agreement is required with the initial board extension only.
  - Court Order confirming the board extension.
  - Documentation verifying the youth's participation in an educational program or other allowable continuance of placement. Examples of verification include but are not limited to rosters, report cards, and medical documentation.
  - Board extension checklist.
- Once the Accounts Payable Unit determines that the board extension documentation meets all requirements, the youth's record will be updated in FACTS indicating that the board extension has been approved.
- DHS will not reimburse CUAs for placement maintenance incurred when a youth's board extension is missing or overdue *until* the board extension has been completed, accepted, and entered into FACTS.
- Payments for a youth's care while on a board extension are determined by the youth's living arrangements and the CUA subcontractor if applicable.
  - If the youth is attending school out of the area and living independently, the room and board payment is made directly to the youth.

CLOTHING

INITIAL CLOTHING ALLOWANCE (PLACEMENT ONLY)

- The CUA is permitted to spend up to $250 per child or youth to meet the needs of children or youth entering their Initial Placement.
  - An Initial Placement is defined as the first placement during an Episode with DHS, not with the CUA or Subcontracting Agency (that is, a child who moves to the CUA's care during an Episode of placement with DHS is not eligible for a new initial clothing allowance).
  - An Episode is defined as a period of placement with DHS that ends with permanency and a court-ordered discharge.

- Therefore, a child who moves from one placement location to another during a single Episode is not eligible for a new initial clothing allowance, while a child who is discharged to permanency and later returns to a placement with DHS is eligible for a new initial clothing allowance upon their return.

- This clothing allowance is intended to be a one-time initial allowance. DHS expects that any clothing purchased for the child or youth travels with them from one placement location to another. Any additional clothing purchases outside of Initial Placements must be paid for from the maintenance per diem.
- Funding for initial clothing cannot be deducted from the resource caregivers' maintenance payment.
- Reimbursement of initial clothing allowances:
  - If the CUA makes the purchase, the CUA must invoice DHS for initial clothing allowances by submitting a completed Reimbursement Request Checklist for CUA Non-Budget Spending (see Appendix II) to DHS Accounts Payable (DHS.Invoices@Phila.gov) along with any additional documents noted on the Checklist.
  - Effective July 1st, 2016, if the Subcontractor makes the purchase, DHS will reimburse the Subcontractor directly. Subcontractors must submit an invoice to DHS for reimbursement. CUAs should **not** reimburse the Subcontractor and then request reimbursement from DHS – DHS will **not** reimburse the CUA for payments made to Subcontractors related to clothing purchases.
  - The child or youth to whom the reimbursement request is related must have been in placement and in the care of the CUA at the time of the purchase; this placement must be reflected in FACTS. If FACTS does not show the client as having been placed and under the care of the CUA at the time of the purchase, the reimbursement request will be denied.
  - If the CUA or Subcontractor is requesting reimbursement related to a child or youth whose clothing allowance has already been exhausted, the Accounts Payable Unit will notify the CUA or Subcontractor and the reimbursement request will be denied. Similarly, if the child or youth's clothing allowance has been partially used such that not enough remains to cover the entirety of the amount for which reimbursement is requested, the Accounts Payable Unit will notify the CUA or Subcontractor of the amount remaining and available for reimbursement.
- For more information, CUAs should refer to the DHS Support Services document.

PURCHASES OF CLOTHING IN EXTENUATING CIRCUMSTANCES

- Resource parents must use the maintenance per diem to ensure that the foster child or youth has adequate clothing, regardless of whether the child is in traditional foster care or in kinship care.
  - Appropriate use of the maintenance per diem for clothing includes ensuring the child or youth has appropriate seasonal clothing and clothing that fits them as they grow.
  - The CUA CM must ensure that when a child or youth moves from one placement location to another, the clothing moves with them – even when the move is sudden and unplanned.
  - The CUA must not invoice DHS for clothing purchases that should be made using the maintenance per diem.
- In extenuating circumstances, supplementary funds in addition to the maintenance per diem are available for clothing purchases. Examples of such extenuating circumstances are:

- The child or youth moves from one placement location or resource home to another during a change of season without clothing appropriate to the coming season having been purchased during the previous placement.
- The child or youth gains a large amount of weight or experiences a significant growth spurt in a short amount of time, such that their clothing no longer fits.
- The youth becomes pregnant and requires maternity clothes.

- Reimbursement of purchases of clothing in extenuating circumstances:
  - If the CUA makes the purchase, the CUA must invoice DHS for such purchases by submitting a completed Reimbursement Request Checklist for CUA Non-Budget Spending (see Appendix II) to DHS Accounts Payable (DHS.Invoices@Phila.gov) along with any additional documents noted on the Checklist.
  - Effective July 1st, 2016, if the Subcontractor makes the purchase, DHS will reimburse the Subcontractor directly. Subcontractors must submit an invoice to DHS for reimbursement. CUAs should **not** reimburse the Subcontractor and then request reimbursement from DHS – DHS will **not** reimburse the CUA for payments made to Subcontractors related to clothing purchases.
  - The child or youth to whom the reimbursement request is related must have been in placement and in the care of the CUA at the time of the purchase; this placement must be reflected in FACTS. If FACTS does not show the client as having been placed and under the care of the CUA at the time of the purchase, the reimbursement request will be denied.

SCHOOL UNIFORMS (IN-HOME SERVICES)

- Prior to purchasing school uniforms for children, youth and families receiving in-home services, the CUA must contact the Education Support Center for uniform vouchers, via email at DHS.education.support@phila.gov or via phone at 215-683-4001.
- If no uniform vouchers are available from the Education Support Center, the CUA may use its Discretionary Fund to purchase school uniforms for children, youth and families receiving in-home services.

COLLEGE RATE

- The per diem rate for youth in foster or kinship placements and attending college is $24.75.
- This stipend must be paid directly to the youth while he or she is attending college. When the youth returns to the resource home (e.g. during school breaks), the placement is reinstated and the foster parent receives the per diem payments.
- Youth in foster or kinship placements attending college are likely on a board extension. The CUA must ensure that board extensions are completed in a timely manner every six months. CUAs should refer to the board extension section above for further guidance.

COURT ORDERED REIMBURSEMENTS

- The CUA is expected to comply with Court Orders within the timeframe of the order. If there is any issue regarding ability to comply within the timeframes of the Court Order, the CUA must contact the Court Representative in the Law Department.

- Exception payments:
  - These payments apply in either of the following situations, excluding retro-kinship payments:
    1. A youth is serviced by the CUA or its Subcontractor on or after their 21st birthday due to a Court Order.
       - Note: The CUA should continue to pay the resource parents until the individual is transitioned to IDS or is court ordered to be discharged from care. The hard bill must be on a provider letterhead and must include the child's case number and suffix, the days of care over the given month, the per diem rate, and a signature from both the provider and the CUA.
    2. A child or youth is retro-discharged before the court date.
- Court Orders related to client and family travel are funded via the CUA's budget as outlined in the CUA's contract with DHS – the CUA must not invoice DHS separately for spending relating to such Court orders. For other purchases as well as exception payments, the CUA is to use its own funds to make the purchase or payment. To then receive reimbursement, the CUA must invoice DHS by submitting a completed Reimbursement Request Checklist for CUA Non-Budget Spending (see Appendix II) to DHS Accounts Payable (DHS.Invoices@Phila.gov) along with any additional documents noted on the Checklist. In the event of an extraordinary order beyond the CUA's financial ability to pay directly, the CUA must submit the request to Accounts Payable no later than five business days from the date of the court order, depending on the order, with a copy of the proposed estimate for the Court ordered purchase.
- For more information, CUAs should refer to the DHS Support Services document.

DAYCARE

- The CUA must not pay for daycare. Instead, DHS and Child Care Information Services (CCIS) handle daycare payments. CUAs should direct requests for daycare payments to the DHS Childcare Eligibility Unit.
- The CUA must ensure that daycare services are reflected in ECMS/FACTS[2] so that the DHS Childcare Eligibility Unit can track these services, confirm attendance, and verify the daycare provider's licensure.
- The exceptions to these requirements are court-ordered retroactive payments for daycare. The CUA must abide by such court orders and pay for the daycare services as required.
  - The CUA should refer to the Court Ordered Reimbursements section above for guidance on receiving reimbursement for such court-ordered daycare payments.

DEATH CERTIFICATES

- CUAs may request death certificates for CUA clients by submitting a Birth Certificate/Death Certificate Request form.
- Death certificate requests require at least eight weeks to fulfill.
- When the death certificate is ready to be picked up, DHS will contact the CUA by phone or email.
- DHS pays for death certificates directly and will not reimburse CUAs for payments for death certificates.
  - The CUA must not include costs related to obtaining death certificates in its DHS budget.

- The CUA may address related questions to the Administrative Services Unit at dhsbirthcertificaterequests@phila.gov.

DISCRETIONARY FUND

- Discretionary Funds are available in CUA budgets to ensure that goods and services necessary to maintain children and youth safely in their homes are easily accessible. In some instances, they can also be used for Initial Placements.
- Examples of goods and services covered include the following for in-home service (safety or non-safety) cases, initial emergency kinship placements, and, when necessary, Initial Placements:
  - Food.
    - Available for in-home cases or initial emergency kinship placements.
  - Baby formula and diapers.
    - Available for in-home cases, initial emergency kinship placements, or, when necessary, other Initial Placements.
  - Personal care and hygiene items.
    - Available for in-home cases, initial emergency kinship placements, or, when necessary, other Initial Placements.
  - Prescription medications not covered by Medicaid or other health insurance.
    - Available for in-home cases, initial emergency kinship placements, or, when necessary, other Initial Placements.
  - Essential small household items including fans, small appliances, sheets, towels, and thermometers.
    - Available for in-home cases or initial emergency kinship placements.
  - Home safety equipment including plug protectors, smoke detectors, carbon monoxide detectors, fire extinguishers, and bath temperature gauge ducks when not provided by DHS.
    - Available for in-home cases or initial emergency kinship placements.
  - Home pest control (non-professional).
    - Available for in-home cases or initial emergency kinship placements.
    - See the section below describing the Emergency Fund for procuring professional home pest control services.
- Note that clothing purchases are generally not appropriate uses of the Discretionary Funds.
  - Clothing for clients in placement is to be purchased first with the initial clothing allowance (see the Initial Clothing Allowance section for further details).
  - Thereafter, clothing is to be purchased using maintenance payments.
  - In exceptional circumstances, the CUA may invoice DHS for additional clothing purchases (see the Purchases of Clothing in Extenuating Circumstances section for further details).
  - CUAs must access the Education Support Center for school uniforms, including shoes (see School Uniforms section for further details).
  - The Discretionary Fund may be used to purchase school uniforms for children, youth and families receiving in-home services.
- See Appendix IV for a list of appropriate uses for the Discretionary Fund.

EMERGENCY FUND

- The Emergency Fund, also known as the Emergency Placement Prevention and Family Reunification Fund, provides CUAs with a critical resource to help families. This fund is not simply an emergency fund, but a fund to be used strategically to advance three critical child welfare outcomes:
  - Keeping children and youth safely in their homes.
  - Reuniting children and youth with their families in a timely manner.
  - Achieving permanency through adoption or permanent legal custodianship.
- Allowable uses of the Emergency Fund include:
  - Housing:
    - Rent for long-term lease, rent arrears, or both.
    - Security deposit for a long-term lease.
    - Mortgage arrears.
    - Utility deposits or arrears.
  - Emergency home repairs:
    - Plumbing, roofing, electrical, heating, windows, window screens, banisters, locks, doors.
    - One-time cleaning or junk disposal.
    - Pest control by licensed providers.
  - Refrigerators.
  - Child beds: twin beds and bunk beds only.
    - Note: Cribs are accessed through the Maternity Care Coalition.
- For guidelines on accessing the Emergency Fund, CUAs must consult the Emergency Fund Protocol in the DHS Support Services document.
- See Appendix IV for a list of appropriate uses for the Emergency Fund.

EMERGENCY SHELTER FOSTER CARE PLACEMENTS, INTENSIVE RATE

- The Emergency Shelter Foster Care, Intensive Rate service is intended for placement of children requiring emergency foster care placement late in the day.
- This placement is designated with the code E1LG and is associated with a higher rate than E1GG (emergency shelter foster care, general rate).
  - In FY17, this intensive rate is $112.53 per night, or $122.53 for youth 13 years and older.
  - At least $50 of this per diem rate must go to the resource family ($60 if the child is 13 years or older). The remainder of the per diem is the administrative payment for the provider agency.
- Only DHS Hotline and Intake may place a child in an E1LG placement.
- E1LG placements must not exceed seven nights.

FINES

- DHS will not reimburse the CUA for the following items:
  - Fines imposed upon the CUA due to the CUA being found in contempt of court.
  - Fines related to parking violations.
  - Fines related to traffic citations.

- The CUA must neither include such fines on its regular budget-based CUA invoice, nor invoice DHS separately for such fines.

FUNERALS

- DHS will pay the funeral home directly for funeral payments. CUAs must notify DHS by submitting a completed Reimbursement Request Checklist for CUA Non-Budget Spending (see Appendix II) to DHS Accounts Payable (DHS.Invoices@Phila.gov) along with any additional documents noted on the Checklist.
- Maximum allowable:
  - $2,000 for a child or youth in placement.
  - $1,000 for a child or youth receiving in-home or community based services.
- For more information, CUAs should refer to the DHS Support Services document.

GIFT CARDS

- DHS will not reimburse the CUA for the use of gift cards as a form of payment unless the CUA provides receipts as supporting documentation. These receipts must meet both of the following requirements:
  - Show that the purchase for which the card was used was an allowable purchase. Please see the above Discretionary Fund and Emergency Fund sections for guidance on allowable purchases.
  - Sum to the total value of the gift card.

INTERPRETER SERVICES

- To access professional interpreter services, CUAs must use DHS-approved vendors. DHS covers the associated costs: CUAs arrange the interpretation services with the vendor, who then bills DHS. DHS will not reimburse CUAs who use non-approved vendors and/or who pay vendors directly for interpretation services. This process will go into effect on December 1, 2015.
- Services are available for both foreign language interpretation, and deaf/hard-of-hearing interpretation.
  - For foreign language and deaf/hard-of-hearing interpretation, the preferred vendor is Language Service Associates (LSA). If LSA is unable to provide the necessary service, contact Donna Wyche at donna.l.wyche@phila.gov.
- Only in-person interpretation services are available. DHS does not reimburse CUAs for telephone interpretation or document translation.
- CUAs may direct questions relating to interpretation services to the DHS point of contact: Donna Wyche, Social Service Program Analyst, CYD Operations Director's Office, at donna.l.wyche@phila.gov.

PROCESS

- CUAs must follow the below process to arrange for interpretation services with LSA.
  - For online scheduling:

        - Visit interpretrac.lsaweb.com and log in with the username and password below.
            Username: LSA7627
            Password: LSA7627
        - Select the third option: Face-to-Face Interpreting
        - Click on the Create New Request tab
    - For scheduling via telephone, call the toll-free number 866.827.7028 and use the account code 7627.
    - For additional help, CUAs may visit the client education web portal at the web address below to see further instruction sheets and video tutorials.
        - Visit lsaweb.com/client-education-web-portal/ and login with the password below
        - Password: lsa1234
- Required notice: CUAs must schedule interpretation services 48 hours in advance.
- Cancellations: CUAs must cancel interpretation services as soon as it becomes known that they are no longer required and within the necessary timeframe to prevent billing.

INTERSTATE COMPACT ON THE PLACEMENT OF CHILDREN (ICPC)

- If a child is removed from their home to be placed in kinship or foster care, the child can be placed in the care of resource parents who reside in a state other than Pennsylvania. In such instances, the provider agency must pay the resource parents for the care of the child, and the CUA should invoice DHS as normal.

KINSHIP PLACEMENTS

EMERGENCY KINSHIP

- When an emergency kinship placement is referred to the CUA, the CUA must complete an Emergency Kinship Packet and submit it to DHS Data Services at CUADataServices@phila.gov. This triggers the creation of a location code and the emergency kinship Z1DG service code for the placement.
- Once an Emergency Kinship Packet is complete, the resource home will be granted temporary approval for up to 60 days.
    - Note: During the 60-day emergency kinship certification period, DHS can be invoiced for the placement maintenance per diem and administration rate.
    - If the kinship home is not certified by the end of the 60-day period, but by court order the child is to remain in the home, the CUA should continue to invoice DHS.
    - If the child is in the kinship home for part of the 60-day certification period, and the caregiver is unable to be certified because he or she failed a criminal record check, etc., the caregiver must nevertheless be paid for the period he or she cared for the child. For instance, if the child is in the home for 30 nights of the 60-day certification period, the caregiver must be paid for those 30 nights, regardless of whether successful certification of the home is achieved. The CUA should invoice DHS for the maintenance per diem and administration rate as normal.

- The CUA or its Subcontractors must be prepared to bring to full certification kinship caregiver homes when children and youth have been placed on an emergency basis after initial verbal clearances are obtained and the home passes the initial visual inspection enabling the placement to occur.
- Service and location codes:
  - See the Emergency Kinship Codes subsection in the Data Management section of this document for guidance on emergency kinship service and location codes.

RETROACTIVE KINSHIP PAYMENTS

- When the Court orders a retroactive kinship payment for a time period before the case was referred to the CUA, DHS will make these payments directly to the Resource Family up to the day that the CUA received the referral. In the case of such a Court Order, the CUA must complete the "CUA Request for Retroactive Court Ordered Kinship Payment Prior to CUA Referral." One form is to be completed per kinship home. The completed form is to be submitted according to the instructions on the form and in compliance with any specific timeframe the Court ordered or within three business days of the Court Order if not otherwise stipulated.

LICENSURE TO PROVIDE SERVICES

- Resource homes must be certified and renewed per regulation and meet the requirements of an approved adoptive placement. Facilities, including Congregate Care facilities, must be licensed by the Commonwealth of Pennsylvania and fully comply with the 3800 Regulations issued by the Pennsylvania Department of Human Services (PA DHS).
  - When placing a child or youth in a resource home or in a facility, the CUA must ensure that the home or facility is appropriately licensed, unless the placement is in an emergency kinship placement.
    - Temporary or provisional approval and licenses do not satisfy this requirement.
    - The CUA or its Subcontractors must be prepared to bring to full certification kinship caregiver homes when children and youth have been placed on an emergency basis after initial verbal clearances are obtained and the home passes the initial visual inspection enabling the placement to occur.
- The CUA or its Subcontractor is responsible for completing a thorough evaluation adhering to all regulatory requirements, obtaining written clearances, and obtaining whatever may be reasonably necessary for a resource home to be fully certified.
  - The CUA or its Subcontractor is responsible for requesting via the Southeast Regional Office a waiver of any requirements of the 3700 Regulations.
  - The approved Resource Family Profile must be used to document the evaluation and certification process.
- The CUA must ensure that it and all subcontracted agencies are appropriately licensed for the service they are providing and that those licenses are renewed as required while they continue to provide the services.
  - When subcontracting for resource home services, the CUA must also ensure that any resource homes where its clients are placed are fully licensed and that those licenses are renewed as

required while the Subcontractors and the resource homes continue to provide the service. CUAs and Subcontractors must have policy and procedures to approve and re-approve resource caregivers.

- Subcontractors must visit and inspect annually each kinship and resource family and home to determine continued compliance with the requirements of the 3700 Regulations (relating to foster parent requirements; foster child discipline, punishment and control policy; assessment of foster parent capability; foster parent training; foster family residence requirements; and safety requirements).
- Subcontractors must give all kinship or resource caregivers written notice regarding the results of the annual evaluation.
- Subcontractors must give written notice to kin or resource caregivers of decisions to approve, disapprove or provisionally approve them. The written notice must inform kin or resource caregivers that they may appeal the Subcontractor's decision. If kin or resource caregivers decide to appeal such decisions, the CUA must notify DHS of the appeal.
- Subcontractors must maintain a file for each kinship or resource home. The file must contain a copy of the Kinship or Resource Family Home approval and the results of each annual Kinship or Resource Family Home reevaluation.
- If the CUA or a Subcontractor is providing resource home services, the CUA must request a location code after acceptable Child Abuse and Criminal clearances have been received and a signed disclosure statement from each person in the resource home 14 years of age or older is submitted to DHS.
  - Disclosures are submitted to the DHS Liaison Unit for processing.
  - Location code requests are submitted to the DHS Data Services Unit at CUADataServices@Phila.gov.
- DHS reserves the right to inquire into the background and qualifications of persons retained by the CUA or its Subcontractors to provide services, and to reject the use of any persons, families, or households which, in the judgment of DHS, are determined not to be in the best interests of the child, youth, or families for whom the services are required.
- Upon request from DHS, the CUA must provide DHS with copies of all approvals, licenses, credentials, and certifications within one business day of the request.

- The CUA is responsible for ensuring, via contract and via monitoring, that its resource and kinship home Subcontractors update licensure documentation on the DHSConnect Provider Licensure System annually and whenever licensure changes occur. In such cases, the CUA must also maintain copies of this licensure documentation. For other types of Subcontractors, where licensure documentation is not available via the DHSConnect Provider Licensure System, the CUA must maintain copies of licensure documentation.
  - Licensure documentation includes the following:
    - Certificate of Approval (for kinship or resource homes) or Certificate of Compliance (for facilities).
    - Letters documenting home closures.
    - Letters documenting homes that are not approved or that are provisionally approved.
    - FBI clearances.

        - ChildLine clearances.
    - CUAs may not deduct the cost of any required clearances from the resource caregivers' maintenance payment.
    - The CUA must notify DHS in writing at DHSLicensure@Phila.gov of any violations of licensure requirements within one business day of the CUA becoming aware of the violation. Violations include but are not limited to changes that place a Subcontractor or a resource home in a "Provisional" status.

MEDICAL BILLS NOT COVERED BY INSURANCE

- CUAs must scan and submit medical bills not covered by insurance to the DHS Medical Claims Processing Unit (CUAMedicalClaims@phila.gov) within 30 calendar days of the service. DHS will pay the medical provider directly.
- The following documentation must be provided:
    - DHS case number.
    - Date of birth.
    - Medical bill including name, date of service, and amount.
- For more information, CUAs should refer to the DHS Support Services document.

PLACEMENT MAINTENANCE PER DIEMS

- The placement maintenance per diem may include only the cost of providing the following for the child in placement:
    - Food.
    - Clothing.
    - Shelter.
    - Daily transportation.
    - Personal incidentals.
    - School supplies.
    - Daily supervision.
    - Weekly allowance or spending money.
- These guidelines regarding the use of the placement maintenance per diem apply to children in both foster family care and in congregate care settings.
- See the Travel section below for guidelines relating to payment of a child's travel expenses.
- Note that medical insurance is provided by the State and should not be paid for using the placement maintenance per diem.

RESPITE PLACEMENTS

- During a respite placement, the maintenance per diem to the resource caregiver is stopped and goes instead to the respite caregiver.
- The respite caregiver must receive the same rate as the resource caregiver.
- When the child returns to the resource home, the per diem payments to the respite caregiver cease and the payments to the resource home restart.

- No SAF or change to the child or youth's placement record in FACTS is required to mark respite placements. See Respite Placements in the Data Management section for further guidance.

THERAPEUTIC HOME VISITS

- If a CUA child or youth receiving placement services participates in a therapeutic home visit, the CUA must continue to pay the Subcontractor providing the placement service for the entirety of the therapeutic home visit.

TRAVEL

ROUTINE TRANSPORTATION COSTS

- With the exception of those costs associated with a runaway (the specific provisions for which are set forth at Section 3.29 of The City of Philadelphia Professional Services Contract General Provisions for Department of Human Services Improving Outcomes for Children Community Umbrella Agency - Absence of a Child/Youth), the CUA is responsible for all routine transportation costs incurred by the CUA in fulfilling the terms of its contract with DHS.
- Routine transportation costs include:
  - The cost of public transportation tokens or weekly and monthly SEPTA TransPasses (as related to Fostering Connections).
  - Transportation costs for the child or youth to visit family (including long-distance travel).
  - Transportation costs for the child's or youth's family to visit the child or youth (including long-distance travel).
- Note: The CUAs may request public transportation tokens from the Education Support Center for the child or youth to use in traveling to school. The Education Support Center may be reached via email at DHS.Education.Support@phila.gov.

PRE-PLACEMENT VISIT OR TEAMING

- When the CUA receives a referral from DHS for placement, with the exception of State-approved residential treatment facility placements, DHS will cooperate with the CUA in arranging a pre-placement visit or teaming. The participants may include, but are not limited to, the child or youth, parent or guardian, and County caseworker or probation officer. The CUA will not be obligated to pay transportation costs for participants who attend the visit or teaming.

EMPLOYEE MEAL REIMBURSEMENT

- The CUA will be reimbursed for meals for staff members when they are in travel status outside of Philadelphia County.
- Meal reimbursements must be within the Federal per diem rate released annually by the General Services Administration (GSA), dependent upon the travel location.
  - These per diems are available at www.gsa.gov/perdiem.

EMPLOYEE TRAVEL REIMBURSEMENT

- The CUA will be reimbursed for employee travel for work that is directly attributable to the specific work of the applicable contract.
- Receipts and evidence of reasonable cost determination must be kept on file for all reimbursement requests and must be presented to the City if requested.
- Reimbursable costs include:
  - Transportation costs:
    - Air travel:
      - First and Business class tickets are not allowable.
      - The CUA must purchase tickets in advance in order to secure the lowest available price.
    - Train travel:
      - Business class tickets are not allowable.
      - The CUA must purchase tickets in advance in order to secure the lowest available price.
    - Bus travel:
      - The CUA must purchase tickets in advance in order to secure the lowest available price.
  - Lodging:
    - Hotel lodging per diems are based on the Federal Travel Regulations per diem bulletin that is released annually by the GSA.
      - These per diems are available at www.gsa.gov/perdiem.
      - If the location is not listed on the website, then the CUA must use the CONUS rate, which is updated annually. This rate can also be located on the GSA website.
    - The CUA will only be reimbursed for the room rate plus applicable sales taxes.
    - The CUA will not be reimbursed for the following:
      - Room service.
      - Phone calls.
      - Movies and/or game rentals.
    - If the CUA is not able to secure lodging at the Federal per diem rate, the CUA must keep a record of the reason why the rate was unable to be secured (e.g. unavailability of rooms due to conference in the area; hotel will not honor the Federal rate).

EMPLOYEE MILEAGE REIMBURSEMENT

- The City will reimburse the CUA for mileage accumulated by CUA employees who use their privately owned vehicles for official CUA business. Mileage reimbursement must be in accordance with Federal regulation.
- The provider will not be reimbursed for the following expenses for the employee's vehicle:
  - Repairs.
  - Depreciation.
  - Oil change/lube.
  - Antifreeze.
  - Towing.
  - Gasoline.

- Auto insurance.

FAMILY VISITATION COSTS

- The CUA must pay for the visitation costs for immediate family members. These costs are funded via the CUA's budget as outlined in the CUA's contract with DHS.
  - Immediate family members include:
    - Mother.
    - Father.
    - Siblings.
- The CUA must pay for the visitation costs of other family members when such visits are ordered by the Court. Again, these costs are funded via the CUA's budget.
- Receipts and evidence of reasonable cost determination must be kept on file for all such payments and must be presented to the City if requested.
- Costs to be funded via in the CUA's budget include:
  - Transportation costs:
    - Air travel:
      - First and Business class tickets are not allowable.
      - The CUA must purchase tickets in advance in order to secure the lowest available price.
    - Train travel:
      - Business class tickets are not allowable.
      - The CUA must purchase tickets in advance in order to secure the lowest available price.
    - Bus travel:
      - The CUA must purchase tickets in advance in order to secure the lowest available price.
  - Lodging:
    - Hotel lodging per diems are based on the Federal Travel Regulations per diem bulletin that is released annually by the GSA.
      - These per diems are available at www.gsa.gov/perdiem.
      - If the location is not listed on the website, then the CUA must use the CONUS rate, which is updated annually. This rate can also be located on the GSA website.
    - The CUA must only invoice DHS for the room rate plus applicable sales taxes.
    - The CUA must not invoice DHS for the following:
      - Room service.
      - Phone calls.
      - Movies and/or game rentals.
    - If the CUA is not able to secure lodging at the Federal per diem rate, the provider must keep a record of the reason why the rate was unable to be secured (i.e. unavailability of rooms due to conference in the area; hotel will not honor the Federal rate).
  - Meal Reimbursements
    - The provider should invoice DHS for meals for the child/youth receiving services.
    - Meal reimbursements must be within the Federal per diem rate dependent upon the travel location.

        - These per diems are available at www.gsa.gov/perdiem.
    - The City will not fund CUAs for meals for parents and other family members. They are responsible for their own meals even if the travel is court ordered.

UNPLANNED BREAKS IN PLACEMENT

HOSPITALIZATION

- If a child or youth is in placement and is admitted to a hospital, the placement must continue in FACTS for an additional number of nights, referred to as the Bed Hold Period, after which the child or youth may be discharged from the placement.
- The number of bed hold nights is determined based on the type of hospitalization and the type of placement:
    - Medical hospitalization: Seven nights for all types of placement.
    - Psychiatric hospitalization: Twenty nights for foster care placements; seven nights for congregate care placement.
        - In the case of psychiatric hospitalizations, the per diem payments to the resource caregiver continue for 20 nights with the expectation that the resource caregiver will participate in the child's or youth's treatment and that the child or youth will return to the resource caregiver. If the resource caregiver had been providing general foster care services to the child or youth, this may require that the resource caregiver become certified to provide treatment foster care services, if such services are required when the child or youth returns to placement.
- The CUA must continue to make the per diem payments to the Subcontractor during the Bed Hold Period. This requirement applies regardless of whether the child or youth returns to the placement. If the child is placed with a resource caregiver, the Subcontractor must continue to the pay the resource caregiver during the Bed Hold Period.
    - The exception to these requirements applies when the child or youth returns to placement via a different Subcontractor before the end of the Bed Hold Period, in which case the CUA must cease payment to the previous Subcontractor and begin payment to the new Subcontractor from the first night of the new placement.
- Placement records: The child's or youth's placement records in FACTS should reflect the payment requirements laid out in this section. See Unplanned Discharges from Placement in the Data Management section for further details.

RUNAWAYS

- When a child or youth in placement runs away, the CUA must continue to pay the Subcontractor for an additional seven nights before discharging the child or youth from the placement.
- The CUA must continue to make the per diem payments to the Subcontractor during the Bed Hold Period. This requirement applies regardless of whether the child or youth returns to the placement. If the child is placed with a resource caregiver, the Subcontractor must continue to the pay the resource caregiver during the Bed Hold Period.

    - The exception to these requirements applies when the child or youth returns to placement via a different Subcontractor before the end of the Bed Hold Period, in which case the CUA must cease payment to the previous Subcontractor and begin payment to the new Subcontractor from the first night of the new placement.
- Placement records: The child or youth's placement records in FACTS should reflect the payment requirements laid out in this section. See Unplanned Discharges from Placement in the Data Management section for further details.

STAFFING FUNDING AND REIMBURSEMENT

EQUAL BENEFITS ORDINANCE

- Chapter 17-1900 of The Philadelphia Code: Equal Benefits Ordinance lay out the requirements below:
  - If the contract is in an amount in excess of $250,000, then pursuant to Chapter 17-1900 of the Philadelphia Code of Ordinances, the CUA must extend the same employment benefits that the CUA extends to spouses of its employees to life partners of such employees. This requirements applies to:
    - Any of its employees who reside in the City.
    - Any of its employees who are non-residents subject to City wage tax under Section 19-1502(1)(b) of the Philadelphia Code of Ordinances.
  - The CUA must certify that all of the following are true:
    - It is in compliance with the requirements of Chapter 17-1900.
    - Its employees have been notified of the employment benefits available to life partners pursuant to Chapter 17-1900.
    - Such employment benefits are currently available, or will be made available within the time required by Section 17-1902(2), or that the Provider does not provide employment benefits to the spouses of married employees.
  - The CUA must acknowledge and agree that the following terms are included in its contract with DHS:
    - The CUA must notify its employees of the employment benefits available to life partners pursuant to Chapter 17-1900 of the Philadelphia Code of Ordinances.
    - The CUA's noncompliance with the requirements of Chapter 17-1900 of the Philadelphia Code of Ordinances will be a material breach of its contract with DHS.
    - Discrimination or retaliation by the CUA against any employee on account of having claimed a violation of Chapter 17-1900 shall be a material breach of the CUA's contract with DHS.
    - In addition to any other rights and remedies available to the City pursuant to its contract with the CUA at law or in equity, a material breach of the contract related to Chapter 17-1900 may result in the CUA's suspension or debarment from participating in City contracts for up to three years.

PHILADELPHIA 21ST CENTURY MINIMUM WAGE AND BENEFITS STANDARD

- Chapter 17-1300 of The Philadelphia Code: Philadelphia 21st Century Minimum Wage and Benefits Standard lay out the requirements below.
- The Office of Labor Standards may grant a partial or total waiver of Chapter 17-1300 based on specific stipulated reasons elaborated in Section 17-1304 of the Code. An overview offering guidance on the applicability of and requirements placed on City contractors and their Subcontractors by Chapter 17-1300 of the Code is available on the City's website at https://secure.phila.gov/eContract/ under the "About" link; see Minimum Wage and Equal Benefits Ordinances Impacting Some City Contractors.

MINIMUM WAGE

- For the period through December 31, 2014, CUAs must provide their covered employees with an hourly wage, excluding benefits, that is no less than $10.88/hour.
- As of January 1, 2015, CUAs must provide their covered employees with an hourly wage, excluding benefits, that is no less than $12/hour.
- As of January 1, 2016, for wages to be provided on and after January 1 of each year during which the initial term and any additional term of the CUA's contract with DHS is in effect, CUAs must provide their covered employees with an hourly wage, excluding benefits, that is no less than the result of multiplying $12 by the then current CPI Multiplier as annually adjusted.
    - The CPI Multiplier is an annual calculation made by the City's Director of Finance to take effect as of January 1 of each year.
    - The CPI Multiplier is calculated by dividing the most recently published Consumer Price Index for all Urban Consumers (CPI-U) as of each January 1, by the most recently published CPI-U as of January 1, 2015.
    - The then current minimum hourly wage applicable to City contractors and Subcontractors will be posted on the City's website.

MINIMUM BENEFITS

- To the extent the CUA (or its Subcontractors under subcontract) provides health benefits to any of its employees, it must provide each full-time, non-temporary, non-seasonal covered employee with health benefits at least as valuable as the least valuable health benefits that are provided to any other full-time employees of the CUA (or its Subcontractor).
- The CUA must provide to each full-time, non-temporary, non-seasonal covered employee at least the minimum number of earned sick leave days required by Philadelphia Code Section 17-1305(2).

STAFF RATIOS

- CUAs are expected to maintain their case management staff at the following ratios:
    - 13 Cases : 1 Case Manager
    - 5 Case Managers : 1 Case Management Supervisor : 1 Case Aid

BUILDING AND EQUIPMENT

EQUIPMENT

DEFINITION OF EQUIPMENT

- Equipment is defined as an article of nonexpendable, tangible, personal property having a useful life of more than two years and an acquisition cost of $500 or more per unit.

GENERAL EQUIPMENT COST GUIDELINES

- Equipment expenditures are unallowable as indirect costs unless they are for normal maintenance, custodial, or repair costs.
- Equipment expenditures will be charged in the period in which the expenditure is incurred, or as otherwise determined appropriate by and negotiated with DHS.
- Interest on debt incurred as a result of equipment purchases is unallowable.
- The full cost of the equipment is allowable if the use of the equipment is solely in support of the contract with DHS and is included as part of the approved budget.
- If the equipment purchased by the CUA is not for the sole purpose of the contract with DHS, then the CUA may receive compensation in the form of a use allowance. In order to apply the use allowance method, the purchase price must be divided by the useful life established for the equipment to arrive at a yearly amount. The amount must then be allocated to DHS on a percentage basis in accordance with the portion of usage for the contract.
    - Charges for use allowances must be supported by the CUA's original invoices and adequate property records. At a minimum, a physical inventory must be taken at the end of each contract period and, when required by DHS, be submitted with the final invoice. (See the Inventory section for inventory requirements.)
- Required documentation will be the CUA's original invoice, supported by detail that indicates which charges are related to the specific project or contract. At a minimum, a physical inventory must be taken at the end of each contract period and, when required by DHS, be submitted with the final invoice. (See the Inventory section for inventory requirements.)
- Equipment purchases are intended for use by the CUA in providing services to DHS and must not be bought solely for use by City employees working in conjunction with the CUA as a mechanism to circumvent procurement regulations or City Charter provisions.
- CUAs may purchase or lease one type of personal computer (PC) per user.
    - The term "PC" includes desktops, laptops, notebooks, and tablets.
    - The number of staff is determined by the number of staff approved by DHS in the CUA's current budget.
- For security and network maintenance purposes, authorized individuals within DHS may monitor the CUA's equipment, systems, and network traffic at any time, as part of the Department's Audit policy. Furthermore, DHS reserves the right to audit the CUA's networks and systems on a periodic basis to ensure compliance with this policy.

REPLACEMENT OF EQUIPMENT

- CUAs may only replace equipment using City funds if it is damaged and is no longer useable, and the cost to repair it is greater than the cost to replace it; or if it has been stolen. The City will not fund replacements of equipment that has been lost or damaged by CUA staff. These replacements should be covered by the CUA's insurance.
- CUAs must request and receive approval before replacing equipment.
  - To request approval, CUAs must submit their requests via email to the DHS Deputy Commissioner of Finance and the DHS Fiscal Officer and include the following for each piece of equipment to be replaced:
    - Type of item to be replaced.
    - Number of items to be replaced.
    - Reason for replacement (e.g. description of damage and how the damage occurred).
    - Purchase date.
    - Purchase cost.
    - Replacement cost.
    - If the equipment is damaged, confirmation that it is no longer useable and the repair cost is greater than the replacement cost.
    - If the equipment has been stolen, a copy of the police report documenting the theft.
  - CUAs will receive notice of whether their requests have been approved or denied via email.
    - If approved, replacement costs will be absorbed by the CUA's budget.
- Computers can be replaced no more frequently than every four years.

EQUIPMENT MAINTENANCE, CUSTODIAL AND REPAIR COSTS

- Normal maintenance, custodial and repair costs necessary for the upkeep of property acquired and maintained for the purpose of the program are allowable as a direct or an indirect cost.
- Custodial and maintenance costs for the upkeep of space may be included as part of a rental charge. If the cost of maintenance, custodial or repair services is included in the lease or rental payment, it is allowable to the extent that the additional lease or rental payment amount reflects the actual costs of the services.
- Alternatively, these services may be purchased separately, if they are offered at a lesser cost. If these services are purchased separately, documentation showing that this was the most economical method for the provision of these services must be provided.
- Capital costs to maintain or improve a site that is used for direct services to clients and that are reimbursable from a non-City funding source are allowable in accordance with the funding source's regulations and guidelines if prior written approval is granted by the City. Upon completion of the capital improvements, the site cannot be used for any other purpose unless prior written approval has been granted by the City. Costs must be appropriately documented for reimbursement.

EQUIPMENT RENTAL COSTS

- Rental costs of equipment are allowable provided that the rates are reasonable in light of such factors as rental costs of comparable pieces of equipment and market conditions in the area. Rental

costs may not exceed fair market rental value unless pre-approved in writing by DHS and reimbursable from a non-City funding source.

- The type of equipment that is being rented must be listed and, if the equipment is under a lease purchase agreement, the value of the equipment at the end of the lease as well as the monthly charge must be listed.
- Leased equipment may be charged as a direct cost when normal usage does not warrant its purchase or when renting is a less expensive option. The rental charge will be prorated depending on the portion of usage in support of the contract with DHS.
- See Maintenance, Custodial, and Repair Costs in this section for a description of the inclusion of such costs in a rental charge.

EQUIPMENT INSURANCE

- DHS will participate financially in the cost of insurance premiums incurred by the CUA to protect its equipment, supplies, and other insurable items, from loss by theft, fire, flood, and the like.

EQUIPMENT OWNERSHIP

- Generally, fixed assets purchased with DHS funds are the property of the City and the CUA, based on a prorated ratio of the value for services funded on a DHS/CUA basis. The only exception to this policy is mortgaged real estate that is owned by the CUA and charged as a rental expense.
- If the CUA bills DHS for the full cost of equipment, then this equipment will become the property of the City at the termination of the contract or program.
- Title to fixed assets under contracts or purchase of service agreements: During the performance of the contract, title to fixed assets will rest with the CUA. During the performance and within 120 days after the termination or cancellation of the agreement, the CUA must not sell, donate, or dispose of equipment purchased in full or part with DHS funds without written permission from DHS.
  - Upon renewal of the agreement, fixed assets purchased under the original agreement or subsequent agreements will be subject to this guideline.
  - Upon termination or cancellation of the agreement, title to fixed assets will revert to the funding source. Within 120 days of termination/cancellation, DHS will at its discretion:
    - Take possession and reimburse other funding parties for their percentage of the remaining value based on an independent appraisal.
    - Direct that the equipment be sold according to an independent appraisal reflecting an acceptable fair market value of the item. The proceeds are then returned to DHS and any other funding parties based on the percentage of their contribution.
    - Allow the fixed assets to be retained by the purchaser with an agreed amount being reimbursed to the funding source.
- Ownership responsibilities: In accordance with sound business practice, the CUA must:
  - Maintain an inventory listing of fixed assets. (See the Inventory section for inventory requirements.)
  - Maintain and administer a program for the maintenance, repair, protection, preservation, and insurance of fixed assets to assure their full availability and usefulness.

- Utilize reimbursement for loss, destruction or damage of fixed assets by using the proceeds to repair, renovate, or replace the fixed assets involved; crediting the proceeds as an income source to be applied against the cost of services rendered; and forwarding the proceeds to the funding source.
- Perform an annual physical inventory. (See the Inventory section for inventory requirements.)

INVENTORY

- CUAs must perform an annual physical inventory at the end of the funding period/Fiscal Year by sighting and verifying the inventory listings. Discrepancies must be documented and kept on file with the invoices, inventory reports, and other papers that are subject to audit.
  - The inventory list must include all fixed assets and the associated information:
    - Description of fixed asset.
    - Serial number.
    - Acquisition date.
    - Total acquisition cost.
    - Disposal date.
    - Disposal reason(s).
    - Disposal income.

MAJOR RENOVATIONS

- CUAs may not bill DHS for major renovations unless they have received prior approval from DHS and the renovations are charged as a rental expense over a minimum of three years.

MATERIAL AND SUPPLIES COSTS

- Costs incurred for purchased materials and supplies directly related to the performance of the contract or for basic client care are allowable.
- Such costs must be charged at their actual prices after deducting all cash discounts, trade discounts, rebates and allowances received by the organization. Delivery charges may be included as a proper part of material cost.
- Required documentation will be the CUA's original invoice indicating purchase of supplies and any other supporting packing slips, delivery tickets and receiving reports.

SPACE RENTAL FOR TEAMINGS, PARENT CAFÉS, AND COMMUNITY MEETINGS

- CUAs may pay up to $25 per hour for use of space for teamings, parent cafés, and community meetings.

GENERAL FUNDING AND REIMBURSEMENT

ALLOWABLE COST GUIDE

- See Appendix III for the allowable cost guide.

AUDITS

- Each year, CUAs must provide copies of their annual independent audit to DHS.
- Independent audits for a given fiscal year are due to DHS 120 days following the CUA's fiscal year end.
- The CUA must send its independent audit to Robert Hodge of the DHS Contracts Unit (Robert.Hodge@phila.gov).
- See the Subcontractor section for requirements around Subcontractor Audits.

BUDGET AMENDMENTS

- A budget amendment is a change in the amount of funds approved for a budget. Budget amendments are required when a CUA wishes to increase its total contracted amount.
  - A budget amendment is not required if a CUA wishes to move funds between its case management and prevention budgets as long as the total contracted amount (i.e. the total of the two budgets combined) remains the same.
- Requests for budget amendments must be submitted in writing to the Commissioner. Requests must include:
  - Justification for the budget amendment in narrative form.
  - A completed budget amendment template, indicating the original and amended amounts for each line item, and the difference between the two amounts.
- If DHS approves a budget amendment, the CUA contract will be amended to reflect the updated approved budget.
- Note:
  - The budget amendment process takes approximately two to eight weeks to complete.
  - CUA invoices impacted by a budget amendment will not be approved until the budget amendment is approved and complete.
  - Subsequent to a budget amendment, CUA invoices must reflect the updated budget amounts in the "Revised Budget" column.

BUDGET MODIFICATIONS

- A budget modification is the movement of funds from one budget line item to another. It is **not** a change in the total contract amount.
- When the CUA realizes that it will exceed the budgeted amount for a given line item or line items by 10% or more, it must request a budget modification from DHS. It must make this request and receive written approval before incurring the costs exceeding the budgeted amount.
- Requests for budget modifications must be submitted in writing to the DHS Deputy Commissioner of Finance via email to DHS.Invoices@Phila.gov. Requests must include:
  - Justification for the budget modification in narrative form.
  - A completed budget modification template, indicating the original and modified budget amounts for each line item, and the difference between the two amounts.

- Note:
  - The budget modification process takes approximately two weeks to complete.
  - CUA invoices impacted by a budget modification will not be approved until the budget modification is approved and complete.
  - Subsequent to a budget modification, CUA invoices must reflect the updated budget amounts in the "Revised Budget" column.
  - CUAs moving funds between their case management and prevention invoices require a budget modification but not a budget amendment, as long as the total contracted amount (i.e. the total of the two budgets combined) remains the same.

DHS INVOICES

- CUAs must comply with all documentation, reporting, and billing requirements required by the Department's Fiscal Office for reimbursement. CUAs should refer to the CUA Invoice Instructions for detailed instructions regarding the CUA invoicing process. Of particular importance are the following points:
  - Required invoices are due no later than 30 calendar days from the last day of the month for which the invoice is submitted. They must be submitted to DHS.Invoices@Phila.gov.
  - Placement maintenance (i.e. sub-contractor) amounts on the CUA invoice must be separated by service type (foster care, group home, institution, emergency shelter, supervised independent living, and alternative treatment) and must match the amounts on the CUA update bill provided by DHS for the invoice month.
  - CUA invoices must include only costs for the current fiscal year; prior-year costs must be invoiced for under the appropriate fiscal year.
  - CUAs will not receive payment for the following:
    - CUAs will not receive payment for zero-rate (P1GN) services until the record has been updated to reflect the correct service. P1GN services will not appear as placements on the CUA bill.
    - CUAs will not receive payment for placement services provided to youth over the age of 18 unless a board extension has been completed for the relevant time period. Placement services for youth over the age of 18 will not appear on the CUA placement bill for dates during which there was no completed board extension in place.
- Invoices will be paid by DHS within 30 days of receipt, per the IOC General Provisions.

EXCESS COMPENSATION

- If, as documented on the Independent Functional Expenditure Report prepared and certified by a Certified Public Accountant, the CUA's compensation exceeds its Total Actual Cost for services, the City will recover such excess compensation over Total Actual Cost by deduction from subsequent CUA billings to the Department.
  - Total Actual Cost is defined as the sum of all allowable expenses incurred by the CUA in the provision of a particular service under its contract with DHS.
  - The CUA must provide DHS with total recovery of excess compensation upon demand.

- If the CUA ceases to contract with the City before the City has recovered all or any portion of the excess compensation, it will promptly pay such excess amount to the City.
- The amounts of any deductions from CUA billings to the City in recovery of prior excess compensation over Total Actual Cost will not be a part of actual costs for Department-funded programs for the fiscal period in which it was deducted.

EXPENSES REQUIRING PRIOR WRITTEN APPROVAL

- The following expenses require prior written approval:
  - Equipment
  - Compensation, including:
    - Salary increases
    - New positions
    - Overtime costs
    - Performance bonuses
    - Fringe benefits
  - IT expenses
  - Retreats
  - Conferences
  - Special trainings
- Requests should be submitted to the DHS Deputy Commissioner of Finance.

TITLE IV-E RATE PACKETS

- Per Section 7.7 of the IOC General Provisions, Title IV-E rate documentation must be completed by the CUA and all placement providers with whom the CUA subcontracts.
  - Upon DHS approval of a Subcontractor, the CUA must ensure that within 15 business days, the CUA and/or its Subcontractor submit either initial or updated IV-E rate documentation as deemed necessary by DHS.
  - The submission is to follow the guidelines in effect per the Office of Children, Youth, and Families (OCYF) for Fiscal Year 2015 and emailed concurrently to DHS Finance at DHS4e@Phila.gov.
  - The CUA and its Subcontractor are responsible for timely responses to both DHS and OCYF requests for additional information and documentation.
- If the CUA or its Subcontractor fails to abide by these guidelines and is not in communication with DHS regarding the status of its submission:
  - DHS Finance will send correspondence to the CUA and/or the Subcontractor to inform it that it is not in compliance with these guidelines and that failure to become compliant within the timeframe stated in the correspondence will result in further administrative action and communications from DHS.
  - Continued failure to abide by these guidelines could result in financial penalties as determined by DHS.

SUBCONTRACTS

- CUAs must ensure that all subcontracted agencies have been approved by the Commissioner before entering into any subcontract. (See Subcontractor Approval Process below.)
- If the kinship or resource home is managed by a Subcontractor, the CUA must ensure that the Subcontractor maintains Resource Family files according to the same guidelines that CUAs must follow.
- CUA contracts with subcontractors must require the following:
  - Subcontractor must use DHSConnect for those activities for which they are subcontracted that are maintained or added to the DHSConnect interface.
  - Subcontractors must agree to audit by government representatives and must submit their independent audits to DHS.
    - Independent audits are required from Subcontractors receiving $300,000 or more in City funds during the fiscal year.
    - The Subcontractor must send its independent audit to Robert Hodge of the DHS Contracts Unit (Robert.Hodge@phila.gov).
    - DHS must receive Subcontractors' audits within 120 days of the close of the Subcontractors' fiscal year.
- All subcontracts must specify that:
  - Work performed by the Subcontractor must conform with the terms of the contract between the CUA and DHS.
  - Nothing contained in the subcontract impairs the rights of the City under the contract between the CUA and DHS.
  - The City's approval of any subcontract and anything contained in the subcontract will not create an obligation of the City to any Subcontractor.
  - The City must be expressly designated a third party beneficiary of the subcontract.
  - Upon request by the City and upon receipt of written notice from the City stating that the contract between the CUA and DHS has been terminated, the Subcontractor agrees that it will continue to perform its obligations under the subcontract for the benefit of the City, provided that the City pays the Subcontractor for services rendered by the Subcontractor from the date of the termination of the Contract between the CUA and DHS at the same rate as set forth in the subcontract for those services.
  - The Subcontractor must be bound by the same terms as the CUA under the contract between the CUA and DHS; including, without limitation, confidentiality, inspection of records, reporting of programs and costs, maintenance and preservation of records, and audit by government representatives. Regarding insurance, the Subcontractor will be bound by the same minimum insurance requirements as the CUA with the exception of the Umbrella Liability Insurance, which will not be required.
  - The Subcontractor must be subject to quality assurance, fiscal and performance reviews, which include site evaluations and inspection of records. These reviews will be directed at compliance with State and Federal law and regulations, including but not limited to Title IV-E of the Social Security Act, Temporary Assistance for Needy Families (TANF), the Public Welfare Code

(including Act 148), the Child Protective Services Law, and compliance with the requirements under the contract between the CUA and DHS.
  - The Subcontractor must, effective on the date of the Subcontract, fully transfer to the City all of Subcontractor's right, title and interest in and to any sales and/or use tax which may be refunded for any materials purchased in connection with the Subcontract or this Contract, and Subcontractor will agree that to both of the following:
    - Other than as directed by the City, it will not file a claim for refund for any sales or use tax which is the subject of the subcontract.
    - The City, in its own name or in the name of Subcontractor, may file a claim for a refund of any sales or use tax covered by the subcontract.
  - The Subcontractor must not be indebted to the City.
  - The Subcontractor must comply with Chapter 17-400 and Section 17-104 of the Philadelphia Code of Ordinances.
  - The Subcontractor must not be or become suspended or debarred by the Commonwealth, any other state or the Federal government throughout the term of the Subcontract.
- DHS will notify the CUA anytime intake is closed for a DHS Provider with whom the CUA also subcontracts.
- The following positions must be within the CUA:
  - Outcomes Specialist.
  - Aftercare Worker.
  - Case Aides.
  - Community Liaisons.
  - Strengthening Families Coordinators.
- The CUA must not delegate Direct Case Management responsibilities as described in the CUA Guidelines. Direct Case Management is the process by which the assigned CUA CM assesses the strengths and needs of a family and makes the necessary referrals to secure appropriate support services and other resources. The focus of direct case management is to ensure that all children and youth involved with the formal child protection and child welfare system are in a safe, nurturing, and permanent living situation. The CM is directly responsible for assessing safety and risk, and for service planning.
- No subcontracts relieve the CUA of any obligation under the contract between the CUA and DHS. The CUA remains fully responsible for the acts and omissions of its Subcontractors.
- The CUA must submit (via email) to the Commissioner or her designee final (electronic) copies of all executed subcontracts into which it enters.

PAYMENT OF SUBCONTRACTORS

- CUAs must pay subcontractors within 30 days of receipt of a complete and accurate invoice.

SUBCONTRACTOR APPROVAL PROCESS

- To obtain the necessary written consent of the Commissioner, the CUA must submit a completed Subcontractor Approval Request form for each proposed Subcontractor, along with copies of all the proposed subcontract(s) to be entered into by the CUA with the proposed Subcontractor.
- All requests for Subcontractor approval must be made using the CUA Subcontractor Approval Request form and must contain copies of all requested documentation including a copy of the proposed subcontract. All requests must be addressed to Emily DeLeon of the Performance Management and Accountability Division at Emily.DeLeon@phila.gov. All documents submitted must have the following in the file name for each document:
  - CUA name.
  - CUA number.
  - Subcontractor name.
  - Type of document (e.g. approval form, scope of work, rate sheet, etc.).
- In the event of an emergency or a Court Order, a Subcontractor Approval Request form must still be submitted. In such events, the form must be submitted to the Deputy Commissioner of Finance and the Chief Implementation Officer for IOC via email, and the CUA Director must be copied. The Subcontractor Approval Request form and any applicable requested documentation must be completed to the extent possible. An explanation that clearly outlines the emergency and/or a copy of the Court Order must also be submitted. All outstanding information and applicable requested documentation must be submitted as soon as available. Based on the information, a tentative approval may be granted.
- The CUA must pay its Subcontractor for services provided even while the Subcontractor approval is pending or if the service being provided is not yet available in FACTS^2/ECMS for selection on the SAF.
- DHS Finance will notify the CUA that the Subcontractor has been approved.
- Renewal process:
  - The CUA need not repeat the Subcontractor approval process annually for agencies with which it has already received approval to subcontract, unless otherwise notified by DHS that a particular agency's programmatic or fiscal performance has been deemed unacceptable.
  - On June 1st of each year, DHS will provide the CUA with a list of the CUA's Subcontractors and the services each provided to the CUA during that fiscal year, according to the information DHS has collected.
  - The CUA must review this list and note any changes to its Subcontractors and the services they provide to the CUA that will occur during the upcoming fiscal year, including noting any agencies with whom the CUA no longer plans to subcontract.
  - The CUA must then return this notated list to the DHS Contracts Unit during the contracting period for the upcoming fiscal year along with its regular contract documentation.
  - The CUA must continue to ensure that its Subcontractor agencies are licensed as required. For further guidance on this requirement, CUAs should refer to the Licensure to Provide Services section above.

SERVICE CODE AVAILABILITY

- When requesting a code for a new service for a CUA Subcontractor, the CUA must carry out one of the following below actions:
  - If the Subcontractor is already approved to provide the service but the service has not been added to the provider for selection in an SAF, the CUA must email DHS Data Services staff at the below email address requesting that the service be added to the Subcontractor.
  - If the Subcontractor has not been approved to provide services, the CUA must complete and submit a new Subcontractor Approval Request form with the new service indicated. (See the Subcontractor Approval Process section for more information.)
    - This request must be approved before the code can be used. CUAs must not place children or youth with Subcontractors with whom they do not contract for that particular service.
    - Annual renewals and abridged requests will follow the same protocol; except the Commissioner does not have to sign off on a Subcontractor request that has previously been approved as a Subcontractor by the Commissioner.
- To obtain service codes for new locations, the CUA must submit a special request to DHS Data Services staff at the below email addresses.
- Before placing a child in a resource home or congregate care facility, the CUA must ensure that the home or facility is appropriately licensed by checking the DHSConnect provider licensure system.
  - The exception to this requirement is emergency kinship placements. CUAs should refer to the Kinship Placements section above for guidance on such placements.
- CUAs can reach DHS Data Services by contacting the following staff members:
    - Bethany White Smith - Bethany.White.Smith@phila.gov
    - Diane Dixon - Diane.Dixon@phila.gov
    - Eileen Cortese - Eileen.Cortese@phila.gov

SUBCONTRACT MONITORING

- Licensure:
  - CUAs and Subcontractors must have policy and procedures to approve and re-approve resource caregivers.
  - Resource home Subcontractors must provide licensure documentation to the CUA, which in turn must provide it to DHS. The CUA must ensure that both it and DHS has been provided with the most up-to-date licensure documentation.
  - CUAs must have policy and procedures to ensure that the CUA and all subcontracted agencies are appropriately licensed and monitored for all services that they are providing and that those licenses are renewed annually while they continue to provide the services.
  - CUAs and Subcontractors must have Resource Home Agreements and clearances, which must be renewed per regulation.
- Payments:
  - All payments to Subcontractors must be timely and correct per contract, including:
    - CUA payments to Subcontractors.
    - Subcontractor payments to kin and resource caregivers.

- CUAs and Subcontractors must have policy and procedures to monitor payments for services rendered.
- CUAs must have policy and procedures for addressing service concerns with Subcontractors.
  - Service concerns are those issues brought to the CUA's attention that a Subcontractor may be in violation of minimum service or performance standards, and thus not fulfilling its duties and obligations under its contract with DHS.
- CUAs must have received Subcontractor approval from DHS and have a signed CUA subcontract on file for the current Fiscal Year.

- CUAs must monitor their Subcontractors for timely completion of IV-E rate packets, as discussed in the Title IV-E Rate Packets section above.

TIME STUDIES

CUA TIME STUDY

- CUAs must comply with expectations around the State and County mandated CUA Time Study. CUA CMs are expected to complete the CUA Time Study when requested. CUAs must monitor compliance and provide documentation of the activity as requested.
  - Note: Regardless of when the CUA Time Study is requested, this process should be carried out at least once per year. If requested by the State, this process should be performed more often.
- See Attachment 1 for a presentation explaining the CUA Time Study process.

RANDOM MOMENT TIME STUDY (RMTS)

- CUAs must comply with expectations around the federally mandated Random Moment Time Study (RMTS).
- CUA CMs are expected to complete the RMTS when requested. CUAs must monitor compliance and provide documentation of the activity associated with the "moment."
  - If the CM is in the process of completing a structured progress note when completing the RMTS, he or she should make note of this in the structured progress note.
  - When identifying a child, the CM should indicate the entire DHS case number, suffix, and child's name.

DATA MANAGEMENT

EMERGENCY KINSHIP CODES

- Emergency kinship placements are those foster care placements where a child is placed in a kinship resource home before the home is fully certified per 55 Pa. Code, Chapter 3700. Once the County Children and Youth Agency (CCYA) or private provider agency has determined that the kinship home meets the Commonwealth's requirements, it must issue a Certificate of Approval (COA) to the home. A kinship home must be certified within 60 days of the first child or youth being placed in the home.

- In its client tracking system (FACTS), DHS identifies emergency kinship placements using the service code Z1DG. The Z1DG code should only be used for emergency kinship placements. The code is always used for the first 60 days of kinship placements in resource homes. Additionally, the Z1DG service code is used to identify emergency kinship placements beyond the first 60 days of the placement *if the home remains uncertified*.
- It is important to note that providers must pay kinship parents the placement maintenance per diem associated with the child for any days the child is placed with the kinship parents, *even if the kinship home is uncertified*. This requirement applies both during the first 60 days of the placement, and any days that the child is placed in the kinship home beyond the first 60 days. The CUA is required to pay its provider agencies for these placements – again, *regardless of the home's certification status.* In turn, DHS will reimburse the CUA for these placements as long as they are properly entered in FACTS.
- For further information on emergency kinship reimbursement and certification, see the Emergency Kinship subsection in the Case Management Funding and Reimbursement section of this document.
- The below requirements are effective as of **July 1, 2016**.

UPDATING THE SERVICE CODE

- Once the home is certified, the Z1DG service code must be updated to reflect the service (e.g. Z1GG, Z12G, Z1QG). Depending on the timing of the certification, the code must be updated according to one of the below timelines:
  - Certification occurs during first 60 days of placement: If the home is licensed before the 61st day of the placement, the service code must be updated to reflect the service (e.g. Z1GG, Z12G, Z1QG) on the 61st day. That is, even if the home is certified during the first 60 days of the emergency kinship placement, *the placement must continue as a Z1DG service for a full 60 days*. The updated service begins on the 61st day. For example, a child is placed in an emergency kinship placement on 8/5/2015. The home is certified as of 9/5/2015. The 60th day of the placement is 10/3/2015. The Z1DG service is discharged with a last day of 10/3/2015, and the updated kinship service begins on 10/4/2015.
  - Certification occurs after 61st day of placement: If the home remains uncertified by the 61st day of the placement, and is later certified, the service code must be updated, and the start date of the new service should be the effective date of the COA (see Figure 1 below). For example, a child is placed in an emergency kinship placement on 7/5/2015. The 60th day of the placement is 9/2/2015. The home is certified as of 9/22/2015 (though as in the sample COA below, the COA may be issued on a later date). The Z1DG service is discharged with a last day of 9/21/2015 and the updated service begins on 9/22/2015.

MOVEMENT OF CASE FROM ONE AGENCY TO ANOTHER UPON CERTIFICATION

  - There are cases where one agency receives the emergency kinship case and is charged with certifying the kinship home, and then transfers the case and home to another agency following certification. Typically, the initial provider is A Second Chance, which certifies the home and

then transfers it to a second agency. In such cases, the location code in addition to the service code must be updated.

- When the CUA identifies a new agency to take the home once it has been certified, the CUA must notify this new agency and instruct the new agency to request a location code from DHS Data Services. The new agency must make this request within one business day of receiving such notice from the CUA. These steps are in place to ensure that the location code is available once the home has been certified and is ready to transfer from the initial certifying agency to the new agency. Additionally, the CUA must notify the initial certifying agency that this transfer will take place, so that all parties are prepared.
- **Updating the Service and Location Codes**: As described above, the time to certify will impact these code updates; however, the home and the case will stay with the initial agency for 60 days regardless of when the home is certified.
  - Certification occurs during first 60 days of placement: If the home is licensed before the 61st day of the placement, the initial provider retains the home and the case through the 60th day, and then transfers the case to the receiving agency on the 61st day. That is, even if the home is certified during the first 60 days of the emergency kinship placement, the placement must continue as a Z1DG service *with the initial provider* for a full 60 days. On the 61st day, the service code *as well as the location code* must be updated. The new service code will reflect the actual type of care (e.g. Z1GG, Z12G, Z1QG), and the new location code will reflect the new provider. The updated service at the new location begins on the 61st day. For example, a child is placed in an emergency kinship placement on 8/5/2015. The home is certified as of 9/5/2015. The 60th day of the placement is 10/3/2015. The Z1DG service is discharged with a last day of 10/3/2015, and the updated kinship service begins on 10/4/2015.
  - Certification occurs after 61st day of placement: If the home remains uncertified by the 61st day of the placement, and is later certified, the initial agency retains the home and the case past the 60th day and until the home is certified. The home is to be transferred to the receiving agency as of the effective date on the COA (see Figure 1). Upon transfer, the service code *and the location code* must be updated, and the start date of the new service at the new location should be the effective date of the COA. For example, a child is placed in an emergency kinship placement on 7/5/2015. The 60th day of the placement is 9/2/2015. The home is certified as of 9/22/2015 (though as in the sample COA below, the COA may be issued on a later date). The Z1DG service is discharged with a last day of 9/21/2015 and the updated service begins on 9/22/2015.

CONSEQUENCES OF FAILURE TO UPDATE SERVICE CODE

- Failure to update the service code according to the above guidelines prevents DHS from drawing down reimbursement for the placement beyond the 61st day, even if the home has been certified. This is because the DHS invoicing system relies on the service code to determine which placements should be claimed. Timely and correct updating of the service codes is therefore vital to DHS's ability to correctly claim federal revenue for these placements.

PROCEDURE FOR UPDATING SERVICE CODES AND LOCATION CODES

- When a home becomes licensed, providers are to inform DHS Data Services, via submission of a Service Authorization Form (SAF), of the correct dates on which the Z1DG should show as discharged and on which it should be replaced by that updated kinship service code, as well as what that updated kinship service code is (e.g. Z1GG, Z1QG). That is, providers should review the kinship home's COA and determine whether its effective date falls during the first 60 days of the placement. If so, the provider should notify Data Services of the need to update the service code from the 61st day of the placement. Otherwise – if the COA's effective date is later than the 61st day of the placement – the provider should request Data Services to update the service code starting on that effective date.

SUMMARY OF REQUIREMENTS FOR PROVIDERS

- If the certifying agency will retain the home and the case upon certification: Upon the issuance of a COA for a home providing emergency kinship (Z1DG) placements or on the 61st day of the placement – whichever occurs later – the CUA must submit an SAF to DHS Data Services within one business day requesting that the service be updated. The request must include the following:
  - Child name, case number, and suffix
  - Kinship home location code
  - New service code (e.g. Z1MR, Z1GG)
  - New service start date
    - If COA effective date is before the 61st day of the placement, the new service start date should be the 61st day of the placement.
    - If the COA effective date is the 61st day of the placement or later, the new service start date should be the COA effective date.
- If the certifying agency will transfer the home and the case to another agency upon certification: Upon the issuance of a COA for a home providing emergency kinship (Z1DG) placements or on the 61st day of the placement – whichever occurs later – the CUA must promptly submit an SAF to DHS Data Services requesting that the service and location be updated. The request must include the following:
  - Child name, case number, and suffix
  - New location code of kinship home
  - New service code (e.g. Z1MR, Z1GG)
  - New service/location start date
- The CUA must pay its provider agencies for emergency kinship placement days regardless of the home's certification status.

Figure 1 – Sample COA with Effective Date Circled

Provider Number [redacted]

___ Initial

_X_Re-evaluation

COMMONWEALTH OF PENNSYLVANIA

CERTIFICATE OF APPROVAL

This Certificate is Granted to: [redacted]

Address: [redacted]

To Operate a Foster Family Home for: A Second Chance, Inc.
Name of Agency

Foster Family Home Approved for: Foster Care
Type of Foster Care

Foster Family Home Capacity: 2

This certificate of approval is granted in accordance with
Title 55 Pa. Code Chapter 3700 Foster Family Care Agency

Issuance Date: 10/13/15

This Approval Shall Remain in Effect: **From:** 9/22/15 **To:** 9/21/16

This Certificate of Approval may be revoked at any time for
non-compliance with applicable laws and regulations.

Agency Representative

10/13/15
Date of Issuance

MATCH ADOPTIONS

- Match Adoptions are pre-adoption placements with the future adoptive parents prior to the finalization of the adoption. The caregivers do not want to become foster parents before the adoption, and so are direct caretakers through Philadelphia DHS. That is, they are not licensed by a provider for foster care services (though they are licensed for pre-adoption) and so do not have a certificate of approval (COA) for foster care placements.
- Prior to May 2016, Match Adoption placements were assigned a 1000SA location code, making it impossible to distinguish finalized versus Match Adoptions in FACTS.
- To address this issue, the 1000MAXXXXO1GG location and service code was created to identify Match Adoptions in FACTS and was made available on April 30, 2016. (Note that XXXX here is a

substitute for the specific four-digit location code associated with the Match Adoption parents' address.)

- Usage of the 1000MAXXXXO1GG code:
  - Match Adoptions must be identified with the 1000MAXXXXO1GG code, and conversely the 1000MAXXXXO1GG code is to be used exclusively for Match Adoption placements.
  - Only the DHS Adoptions Unit is able to request that a Match Adoption 1000MAXXXXO1GG placement be entered in FACTS. This is true of both DHS and CUA cases. DHS and CUA staff must work with the DHS Adoptions Unit to have placements entered/discharged when a child enters or exits a Match Adoption.
- Entering placements:
  - When a child moves from a regular placement (e.g. foster care) to a Match Adoption placement, the Adoptions Unit will request that the regular placement be discharged with discharge reason code 36 ("to enter adoptive match placement") and that the child be entered into the 1000MAXXXXO1GG location/service. The placement reason code will be the same as that used when the child entered their first placement during this placement episode (and will most likely be the same as that used for the regular placement directly preceding the Match Adoption placement).
    - *Case ID*: The child will retain their DHS case number and suffix because the adoption has not yet been finalized.
    - *Maintenance payment*: DHS will pay the match adoptive parents directly for this placement. CUAs must cease payment for the child's placement.
  - If the child's adoption is finalized, the Adoptions Unit will request that the 1000MAXXXXO1GG placement be discharged with reason code 09 ("adopted") and that the child be entered into a finalized adoption placement using the location/service code 1000SAXXXXA1GG.
    - *Case ID*: At this point, because the adoption has been finalized, the Adoptions Unit will assign the child a new DHS case number and suffix.
    - *Subsidy payment*: DHS will continue to pay the adoptive parents directly.
  - If the Match Adoption does not lead to a finalized adoption, the child will return to a regular placement. The Adoptions Unit will request that the 1000MAXXXXO1GG placement be discharged with reason code 47 ("failed match adoption") and that the child be entered into their new placement.
    - *Case ID*: As the adoption was never finalized, the child will retain their DHS case number and suffix.
    - *Maintenance payment*: DHS will cease to make the maintenance payment directly. The maintenance payment will be made via the provider agency and – if a CUA has case management responsibilities for the child – via the CUA.

P-DRIVE

- CUAs are required to update P-DRIVE on a monthly basis with changes in level of care, location, or both for children and youth in placement as well as those receiving any in-home services.
  - CUAS must upload by the 15th of each month every change from the preceding month.

- The upload must include:
  - Provider Code (Location Code + Service Code; indicates whether the service is provided by the CUA or a Subcontractor).
  - Payment codes.
  - DHS case number and suffix.
  - Dates.
  - Whether the child or youth remains in care.
- A unique Provider Code is required for each location and service combination. If the CUA will offer a new service or open a new location, a new unique code must be requested from DHS.
- When there are inconsistencies, CUAs must do one of the following:
  - When the FACTS entry is incorrect:
    - Message their DHS reconciliation contact.
  - When the CUA entry is incorrect:
    - Sync their P-DRIVE entry to match FACTS data.
    - If the sync function is unavailable, adjust P-DRIVE to match FACTS data.

RESPITE PLACEMENTS

- No SAF is required for respite stays. The respite placement is not a disruption of the regular placement, and so a new placement record is not necessary.
  - However, the CUA must record the respite stay in the case notes.
- Changes in placement following respite placement:
  - If, during the respite placement, it is decided that the child will not return to the regular resource home and instead that the respite placement will become a long-term placement, an SAF is required to mark this change in placement. The end date of the placement with the former respite caregiver will be the date prior to the start date of the respite placement.
  - If, during the respite placement, it is decided that the child will not return to the regular resource home and instead move to a new resource home, an SAF is required to mark this change in placement. The end date of the previous placement will be the last day of the respite placement. The start date of the new placement will be the first day of placement with the new resource caregiver.
  - If the respite placement occurred because of an investigation of the resource caregiver and the allegation is indicated or founded, then payments to the original resource caregiver must cease and the respite placement should become its own placement. An SAF is required to mark this placement, whose start date will be the first day of the respite placement. If the child moves to another resource caregiver, an SAF is required to discharge the second (formerly respite) placement and to begin the third placement.
    - If the allegation is unfounded and the child returns to the original resource caregiver following the respite placement, the same rules apply as for other respite placements. That is, no SAF is required to mark the respite placement.
- See Respite Placements in the Case Management Funding and Reimbursement section for guidance on payments during respite stays.

SERVICE AUTHORIZATION FORMS (SAFS)

OPENING CASES

- For in-home safety and in-home non-safety services, services are automatically created.
- For placement services, as long as there is an approved subcontract, the SAF, including placement location, must be inputted by the CUA as soon as possible, but whenever possible no later than seven business days from the date of the referral of the case from DHS. This is critical to DHS's ability to know where children and youth are placed. In addition, this enables the timely payment to the CUA and Subcontractors. DHS will track the timeliness of SAF completion.
    - SAFs can only be backdated up to the date of DHS's referral of the case to the CUA. If corrections are required relating to dates prior to the referral, the CUA should contact Brenda Howard in the DHS Finance Division at Brenda.Howard@phila.gov and Sanchita Goyal in the DHS IT Department at Sanchita.Goyal@phila.gov.
    - If the particular service code is unavailable to the CUA when it is attempting to complete the SAF, the CUA must immediately contact Brenda Howard in the DHS Finance Division at Brenda.Howard@phila.gov and Sanchita Goyal in the DHS IT Department at Sanchita.Goyal@phila.gov. There are many reasons why the service code may be unavailable, and CUA may have to work with DHS Finance to have the code cloned or, if necessary, to complete the Subcontractor approval process. (See the Service Code Availability section in this document.)
    - If the resource parent is unavailable for selection on the SAF, the CUA must notify Brenda Howard in the DHS Finance Division at Brenda.Howard@phila.gov in addition to DHS Data Services staff:
        - Bethany White Smith - Bethany.White.Smith@phila.gov
        - Diane Dixon - Diane.Dixon@phila.gov
        - Eileen Cortese - Eileen.Cortese@phila.gov
    - If the SAF cannot be completed because of an incomplete board extension upon referral of the youth, the CUA must contact Yvette Yates Parker of the DHS/IOC CUA Case Transition Unit at Yvette.I.Yates@phila.gov.
    - If the CUA encounters other problems with the submission of the SAF, the CUA must work with the following members of the DHS Data Services staff to input the SAF:
        - Bethany White Smith - Bethany.White.Smith@phila.gov
        - Diane Dixon - Diane.Dixon@phila.gov
        - Eileen Cortese - Eileen.Cortese@phila.gov
- If the SAF cannot be completed within the seven business days, the CUA must send an email to the Medical Eligibility Unit (CUAmedicaleligibility@phila.gov) stating that the youth is committed to DHS and request that medical assistance be opened. The email must include:
    - Child or youth's name.
    - DHS case number/suffix.
    - Date of birth, if available.
    - County where child or youth resides.

        - CUA Worker contact information.

DISCHARGING CASES

- Before the youth's 18th birthday:
    - If the decision is reached that a case can proceed to safe case closure, the CUA must complete the SAF to discharge the service. The CUA CM also completes a Case Closing Summary, sends a closing letter, and closes the case within ten business days.
        - The same process is followed if children and youth live in two or more households and threats have been mitigated in one household but not all households. In this instance, if the decision is made at the teaming to close the children or youth, they are closed in the system and the SAF is completed to discharge the service for them but the Case Closing Summary is not completed as the case remains open at the other household. A closing Structured Progress Note documents their closing at the last visit.
    - If a family receiving in-home services moves out of the jurisdiction, a closing teaming is not required. If issues remain, then the jurisdiction to which the family moved must be notified. The CUA then completes the SAF to discharge the service. The CUA CM also completes a Case Closing Summary, sends a closing letter, and closes the case within ten business days. If the move did not allow for an Aftercare Plan to be developed, the closing letter must provide the contact information of the Aftercare Worker and explain to the family that if they return and are in need of services, they should contact the Aftercare Worker.
- On the youth's 18th birthday, **if board extension documentation has not been submitted**:
    - The CUA bill will automatically discontinue the inclusion of the placement (i.e. the placement will not be discharged and will continue in FACTS^2/ECMS, but will not be included as days of care for which DHS will reimburse the CUA) until Board Extension documentation has been submitted and processed.
    - Once the Board Extension documentation has been submitted and processed, the CUA bill will resume inclusion of the placement.
    - The CUA should not include such days of care on its invoice to DHS until the Board Extension documentation has been processed and the placement reappears on the CUA bill.

UNPLANNED BREAKS IN PLACEMENT

HOSPITALIZATION

- If a child or youth is in placement and is admitted to a hospital, the CUA must continue to pay the subcontractor for an additional number of nights, after which the child or youth may be discharged from the placement. See Unplanned Discharges from Placement in the Case Management Funding and Reimbursement section for guidance on the number of bed hold nights and payment during the Bed Hold Period.
- If the child or youth returns to placement before the end of the Bed Hold Period, one of the following two scenarios will apply:

- If the child or youth returns to the previous placement (i.e. the placement prior to hospitalization), the placement will continue in FACTS without interruption.
- If the child or youth returns to placement at a different location, the CUA must discharge the previous placement from the last night of hospitalization, and begin the new placement for the child's or youth's first day in that new placement.

- If the child or youth does not return to placement before the end of the Bed Hold Period, the CUA must discharge the placement from the last bed hold night, and enter a new service: P1GH, indicating hospitalization.

RUNAWAYS

- When a child or youth in placement runs away, the placement must remain in FACTS for the required Bed Hold Period of seven nights, at which point the CUA must discharge the placement and enter a new service: P1GI, indicating that the child has run away.
- If the child or youth returns to placement before the end of the Bed Hold Period, one of the following two scenarios will apply:
  - If the child or youth returns to the previous placement (i.e. the placement prior to the runaway period), the placement will continue in FACTS without interruption.
  - If the child or youth returns to placement at a different location, the CUA must discharge the previous placement from the last night of the runaway period, and begin the new placement for the child's or youth's first day in that new placement.
- See Unplanned Discharges from Placement in the Case Management Funding and Reimbursement section for guidance on payment during the Bed Hold Period.

WAIVER REQUESTS

- All requests for waivers must be addressed to the Director of Contracts and Audit of the Department of Human Services (DHS Contracts Unit).
- Within three business days of receipt of a waiver request, DHS Contracts Unit will log the request, send acknowledgement of receipt to the requesting party, and forward the request to the appropriate reviewing party based on the type of request:
  - Requests related to service or performance standards, including positional responsibilities and qualifications, will be forwarded to Provider Relations and Evaluation of Programs (PREP). Within ten business days, PREP will review the waiver request, consult with any other necessary staff to obtain applicable input, and make a recommendation. PREP will then draft a letter in accordance with the recommendation for the Commissioner's review. The Commissioner will review the recommendation and send a letter to the Provider with the decision, copying the DHS Contracts Unit and PREP. A copy of the letter will be maintained by the above parties in the appropriate files (i.e., copy to be kept with the original contract and PREP Provider files).
  - Requests related to contracts, including General Provisions, are forwarded to the Law Department (Law). Law reviews the waiver request, consults with any other necessary staff to obtain applicable input, negotiates with the Provider as necessary, and makes a decision based

on the consultation. The contract language will be rewritten to reflect any agreed upon changes. The modified contract will be sent to the Provider for signature.
  - Requests related to insurance will be forwarded to Risk Management.
- If the Commissioner has any concerns about the recommendations, a meeting among the Commissioner, the DHS Contracts Unit, PREP, Risk Management, and Law if applicable will be scheduled within five business days to discuss the concerns. Upon consensus, the Commissioner will send a letter to the Provider with the decision, copying the DHS Contracts Unit, PREP, Risk Management, and Law if applicable.
- The one exception to this protocol is that the CUA Director may grant waivers for the placing of more than two children in a Specialized Behavioral Health or Medical Resource homes.
- All approved waivers are good for one year, with one exception: waivers that pertain to educational requirements only apply to the specified employee in the specified position. These requests are made on a case-by-case basis and expire if either the employee or the position changes.

APPENDIX I – GLOSSARY

Bed Hold Period: The number of nights that a Subcontractor must reserve a placement for a child or youth during an unplanned break in the placement (e.g. due to the child or youth being hospitalized or running away).

Community Umbrella Agency (CUA): An agency, collaboration, or affiliation of agencies that provides a continuum of services to children and youth at risk of abuse, neglect, and delinquency. Services and agencies are located in a defined geographic area and are accountable to the city and local community stakeholders.

CUAs are committed to DHS's mission and practice principles of engagement, assessment, teaming, planning, and intervention. Services are designed to meet the unique needs of the geographic area for which the CUA is contracted to serve. CUAs are agencies that must perform the following kinds of services:

- Supporting and strengthening families through preventative programming in the community.
- Engaging parents and exploring other family members, kin, and natural community supports.
- Assessing the strengths and needs of the child, youth, and family.
- Teaming to build or capitalize on a network of supports around the family.
- Planning towards safe case closure.
- Intervention by maintaining children and youth in their own homes whenever possible, or by placing children and youth with kin and/or in their own communities when they require placement**.**

CUA Time Study: A process that allows DHS to accurately report the administrative costs of the Department to the State, which assists the Department in drawing down State funding. The Time Study is completed only by case carrying staff members. CMs classify their use of specific 15-minute time intervals according to certain categories, such as kinship and resource home Services, Adoption Services, or Secure Residential Services.

Emergency Kinship Packet: Documentation required for placement of a child or youth in a kinship or resource home on an emergency kinship basis. The documentation includes written ChildLine, State Police, and FBI certifications as well as a signed disclosure statement from each person in the resource home 18 years of age or older. If household members have resided in other states within the past five years, child abuse clearances from those states must also be included. For all household members, including those 14 to 18 years of age, a FACTS certification is required.

Episode: The period of placement with DHS that ends with permanency and a court-ordered discharge.

Facility: Individual premises for which the PA DHS of the Commonwealth has issued licensure or approval regulations.

Initial Placement: The first placement during an Episode with DHS, not with the CUA or Subcontracting Agency (that is, a child who moves to the CUA's care during an Episode of placement with DHS is not eligible for an initial clothing allowance).

Kinship Caregiver: The provider of full-time nurturing and protection for a child or youth committed to DHS who must be separated from parents and placed with a caregiver who has an existing relationship with the child or youth, or with their family. Kin providing care to a child or youth committed to the Children and Youth Division of DHS must comply with State regulations regarding resource caregivers and resource homes.

Match Adoptions: Pre-adoption placements with the future adoptive parents prior to the finalization of the adoption. The caregivers do not want to become foster parents before the adoption, and so are direct caretakers through Philadelphia DHS. That is, they are not licensed by a provider for foster care services (though they are licensed for pre-adoption) and so do not have a certificate of approval (COA) for foster care placements.

Random Moment Time Study (RMTS): A statewide process, based on federal (HHS ACF) requirements, for allocating administrative costs. It enables the County and the State to receive federal Title IV-E and State Act 148 reimbursement for certain eligible administrative activities and their associated costs. As a part of the RMTS process, case-carrying workers are selected at random each quarter to document their activity during a specific moment in time. This process allows counties to characterize and allocate activities carried out by services staff without keeping minute-by-minute records of activities during the day.

Resource Home Care: An out of home placement service that provides a family-like setting to children and youth who cannot remain with their parents or caregivers and for whom no kin resource has been identified. General Resource Home Care Services for the purposes of IOC include emergency non-kin placement, kin and resource home care for pregnant youth, and kin and resource home care for minor mothers and their children.

Respite Placements: Panned short-term placements after which the child or youth will return to the resource home. Respite placements may last a maximum of 14 days.

Service Code: A string of characters used by DHS to accurately identify a service by maintaining integrity of and establishing uniformity in service category distinctions by identifying as clearly as possible the appropriate service being provided and by identifying "like services" with the same code regardless of per diem.

Subcontractor: An entity performing under a contract with the CUA some part of the CUA's contract with DHS.

Total Actual Cost: The sum of all allowable expenses incurred by the CUA in the provision of a particular service under its contract with DHS.

Title IV-E Rate Documentation: The documentation requested from public and private providers to support the anticipated direct and indirect costs associated with the provision of out of home placement services in accordance with 55 Pa. Code §§ 3170.60 and 3170.92; and the PA DHS's Office of Children, Youth, and Families (OCYF) Bulletin 00-95-12 Indirect Cost Guidelines for County Children and Youth Agencies.

APPENDIX II – REIMBURSEMENT REQUEST CHECKLIST FOR CUA NON-BUDGET SPENDING

See the next page for the Reimbursement Request Checklist.

Reimbursement Request Checklist for

CUA Non-Budget Spending

To obtain reimbursement for client-specific spending outside of the CUA budget, CUAs must complete the below form. A separate form is required for each client. Completed forms must be submitted to the Accounts Payable Unit of DHS Finance via email at DHS.Invoices@phila.gov – the subject line must indicate the CUA and the type of request (see Section II below for request types).

Section I: Complete the CUA and client information below.

A. CUA & request submission information			
CUA making request:		CUA contact name:	
Date of request submission:		CUA contact email/phone:	
B. General Client Information			
Client name:		DHS case number and suffix:	

Section II: Indicate the type of reimbursement requested by marking the appropriate box, and provide the additional required information and supporting documentation. Notes are optional.

☐**A. Initial Clothing Allowance**			
The CUA may spend up to and receive reimbursement for $250 on clothing per client per initial placement. Any clothing purchased for clients must move with them from one placement location to another. Any additional clothing must be paid for from the Resource Home per diem or in extraordinary circumstances via the CUA's Discretionary Fund.			
Date of purchase:		Total amount of purchase:	
Copy/copies attached?	☐Invoice on CUA letterhead ☐Itemized receipt(s) detailing clothing purchased		
Notes:			

☐**B. Clothing beyond Initial Allowance, Non-Court Ordered (See Part C for Court-Ordered Clothing Purchases)**			
In extenuating circumstances, supplementary funds in addition to the Resource Home per diem are available for clothing purchases. Examples of such extenuating circumstances are: • *The client changes placement location during a change of season and has no appropriate seasonal clothing.* • *The client experiences significate weight gain or growth over a short period of time and clothing no longer fits.* • *The client becomes pregnant and requires maternity clothes.*			
Date of purchase:		Total amount of purchase:	
Detailed reason for purchase:			
Copy/copies attached?	☐Invoice on CUA letterhead ☐ Itemized receipt(s) detailing clothing purchased		
Notes:			

☐**C. Court-Ordered Purchase**					
Court Orders related to client and family travel are funded via the CUA's budget. For other purchases, the CUA is to make the purchase using its funds and must then submit this form along with necessary documentation. In the event of an extraordinary order beyond the CUA's financial ability to pay directly, it must submit the request to Accounts Payable no later than five business days from the date of the court order, depending on the order, with a copy of the proposed estimate for the Court ordered purchase.					
Date of court order:		Date of purchase:		Total amount of purchase:	
Copies attached?	☐Invoice on CUA letterhead ☐Court order ☐ Itemized receipt(s) detailing item(s)/service(s) purchased				
Notes:					

☐**D. Court-Ordered Exception Payment**					
Exception payments apply in either of the following situations, excluding retro-kinship payments: 1. *A youth is serviced by the CUA or its Subcontractor on or after his or her 21st birthday due to a Court Order.* 2. *A child or youth is retro-discharged before the court date.*					
Type of exception payment:	☐Client over 21 ☐Client retro-discharged before court date				
Month(s) of service:		Dates of service:		Days of care:	
Type of service (service code):		Per diem rate:		Total amount:	
Copy attached?	☐Invoice on CUA letterhead ☐Court order				
Notes:					

☐**E. Funeral Expenses**			
DHS will pay the funeral home directly – DHS will not reimburse the CUA for funeral expenses. Maximum allowable: • *$2,000 for a child or youth in placement.* • *$1,000 for a child or youth receiving in-home or community based services.*			
Date of birth:		Date of death:	
Date of funeral:		Total funeral expense:	
Copies attached?	☐ Funeral home invoice ☐ Funeral home license ☐ Death certificate		
Notes:			

APPENDIX III – ALLOWABLE COST GUIDE

Budget Category: Personnel	
Budget Line Item	**Costs to Include in Line Item**
Salaries	CUA staff salaries, including overage
Hourly	CUA staff hourly wages, including overage
Fringe Benefits	Fringe benefits for salaried and hourly CUA staff
Budget Category: Subcontractor	
Budget Line Item	**Costs to Include in Line Item**
Foster Care	Foster care child maintenance
Group Home	Group home child maintenance
Institution	Institution child maintenance
Emergency Shelter	Emergency shelter child maintenance
SIL	Supervised independent living child maintenance
Alternative Treatment	Alternative treatment child maintenance
Budget Category: Other Operating	
Budget Line Item	**Costs to Include in Line Item**
Employee Travel	Employee travel
Client Travel	Client and family travel
Equipment	Equipment purchases
	Equipment rental
	IT equipment
	Office equipment
	Furniture
	Vehicle purchase
	Vehicle lease
Supplies	Office supplies
	Printer supplies
	Copier supplies
	IT software
Occupancy	Mortgage
	Building / space rental
	Teaming site rental fees
Utilities	Gas
	Oil
	Electric
	Water
	Sewage
Communication	Telephone
	Postage
	Network / Internet
	Computer usage support
Insurance	Liability insurance
	Sexual abuse insurance
	Workers' compensation insurance
	Vehicle insurance

	Other insurance
Printing	Business card printing
	Brochure printing
	Flyer printing
Repairs / Maintenance	Heating
	Cooling
	Building maintenance
	Vehicle maintenance
	Vehicle fuel
	Car wash
Conference / Events / Training	IOC Community Engagement
	Community Advisory Board
	Youth Leadership Program
	Parent Café (Case Management budget only)
	Training
Professional Services	Audit
	Background checks
	Janitorial / Housekeeping
	Exterminator
	Building security
	Legal services
	Contract management
	IT consultant
	Payroll consultant
	Other consultants
	Other
Discretionary Fund	(Prevention budget only)
Other	Recruitment
	Resource parent recruitment
	After hours Welcome Center

APPENDIX IV – DISCRETIONARY AND EMERGENCY FUND GUIDE

Item of expenditure	Allowable Use of Discretionary Fund	Allowable Use of Emergency Fund	Not an Allowable Use of Either Fund – Alternative Sources of Funding
Food	X – in-home cases or initial emergency kinship placements		
Baby formula and diapers	X – in-home cases, initial emergency kinship placements, or, when necessary, other Initial Placements		
Personal care and hygiene items	X – in-home cases, initial emergency kinship placements, or, when necessary, other Initial Placements		
Prescription medications not covered by Medicaid or other health insurance	X – in-home cases, initial emergency kinship placements, or, when necessary, other Initial Placements		
Essential small household items including:	X – in-home cases or initial emergency kinship placements		
Fans	X – in-home cases or initial emergency kinship placements		
Small appliances	X – in-home cases or initial emergency kinship placements		
Sheets	X – in-home cases or initial emergency kinship placements		
Towels	X – in-home cases or initial emergency kinship placements		
Thermometers	X – in-home cases or initial emergency kinship placements		
Refrigerators		X	
Child beds		X - twin beds and bunk beds only	

Cribs			X – Maternity Care Coalition
Home safety equipment including:	X – in-home cases or initial emergency kinship placements		
Plug protectors	X – in-home cases or initial emergency kinship placements		
Smoke detectors	X – in-home cases or initial emergency kinship placements		
Carbon monoxide detectors	X – in-home cases or initial emergency kinship placements		
Fire extinguishers	X – in-home cases or initial emergency kinship placements		
Bath temperature gauge ducks	X – in-home cases or initial emergency kinship placements, when not provided by DHS		
Home pest control (non-professional)	X – in-home cases or initial emergency kinship placements		
Pest control (professional)		X – licensed providers only	
Clothing (excluding school uniforms)			X • Initial clothing allowance • Placement maintenance payments • Invoice DHS (exception circumstances only)
School uniforms	X – For children receiving in-home services		X – Education Support Center for children in placement
Rent		X – for long-term leases only	
Rent/mortgage arrears		X	
Utility deposit or arrears		X	

Emergency home repairs		X	
One-time cleaning or junk disposal		X	
Birth certificates			X – DHS pays directly
Death certificates			X – DHS pays directly