

# Attachment 5

REQUEST FOR APPLICATIONS FOR  
CHILDREN’S TRUST FUND  
RFA # 01-21

Attachment 5  
OCDEL FAMILY SUPPORT - CHILDREN’S TRUST FUND - PROGRAM REQUIREMENTS

**Instructions**

Please review all program requirements and initial below. Please sign the last page of this document. Include these pages as part of the Application Package. Failure to agree and fully implement the program and fiscal terms below may affect award, the renewal of the grant agreement, and the ability to compete in the next competitive application process, and may result in the reduction or revocation of the award.

The Office of Child Development and Early Learning will release Announcements as specified in Section A of “General” and a Policy and Procedure Manual that further explains the requirements, timelines, and process for submission for the requirements included in this document.

For the purpose of the below requirements, EBHV is defined an approved program on the U.S. Department of Health and Human Services, Administration for Children & Families Home Visiting Evidence of Effectiveness (“HomVEE”) website (<https://homvee.acf.hhs.gov/effectiveness>). Approved EBHV programs have a green checkmark next to the model on the appropriate page. Please be sure to review the descriptions for all models as certain EBHV models are approved with stipulations.

**For CTF Applicants**

Because Children’s Trust Fund (“CTF”) grants can fund a broader scope of programs, some OCDEL Family Support Program Requirements may not apply. Those programs that are not on the HomVEE list but traditionally provide home visiting as a primary service delivery strategy will be considered a Family Support Program for program and data collection purposes. Portions of the following list that are not applicable to CTF grantees offering family support services will be noted.

**General**

\_\_\_\_\_A. The Office of Child Development and Early Learning may release Program Announcements that contain pertinent information that may include best practices in service provision as well as clarifications of policies or grant requirements. Issue and effective dates are noted at the top of each Announcement and Grantees will be held accountable for the material presented, when appropriate. Grantees are encouraged to devise a filing system for the Announcements for easy reference. Grantees should also consider other staff within their agency for whom the information may have relevance. Some Announcements may contain attachments or references to resources that will be useful to programs’ implementation. Programs are encouraged to use the resources to enhance program operation.

\_\_\_\_\_B. Upon request by the Department or its representatives, the Grantee shall cooperate and participate in periodic management reviews, fiscal reviews, monitoring, pilot, and evaluation activities.

\_\_\_\_\_C. Grantee shall comply with all applicable federal, state, and local statutes, regulations, and policies, including, but not limited to:

- a. The Children’s Trust Fund Act, P.L. 1235, No. 151

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### Training

      **D.** The Grantee must provide training for home visitors and family support staff in explaining informed consent for families.

      **E.** The Grantee shall participate in professional trainings as required by the national model developer(s) and training including, but not limited to, an orientation series and ongoing professional development developed or supported by the Department.

      **F.** The Grantee or its designee shall attend all mandatory meetings as directed by the Department, including, but not limited to, phone conferences, remote video conferences, statewide meetings, and training sessions arranged by the Department.

      **G.** The Grantee shall attend a minimum of one approved professional development opportunity on the Strengthening Families™ Protective Factors Framework during the term of the award.

### Policies and Procedures

      **H.** The Grantee must develop policies and procedures to ensure that caseloads are covered when a home visitor or family support program staff leaves the program or is on leave.

      **I.** The Grantee shall establish and adhere to a confidentiality policy that satisfies the following requirements:

- a. All client information must be kept in a locked location (i.e., office or file cabinet);
- b. A Staff list of everyone who will have access to the files;
- c. Procedures for accessing the files that protect client confidentiality;
- d. Develop and maintain procedures for accessing the files in the event of a court order, police investigation, and medical emergencies;
- e. Develop and maintain procedures for written consent to access, disclose, and share files;
- f. Develop and maintain procedures for the destruction of files after 7 years;
- g. Develop and maintain procedures to train new staff and periodically update current staff on the policy;
- h. Review confidentiality policy with any new staff upon hire and review with continuing staff once a year at a minimum;
- i. Review confidentiality policy annually and update as necessary.
- j. The Grantee must submit their confidentiality policy using a standard format and method provided by the Department.

      **J.** The Grantee shall comply with all applicable state and federal audit requirements. Grantees must maintain records, documents, and other evidence in sufficient detail to support all claims against the funding for a period of seven years. The Department will recover or recoup non-allowable costs and undocumented costs.

      **K.** The Grantee must develop and implement policies and procedures regarding the equitable and accessible provision of culturally and linguistically responsive services.

      **L.** If providing services through this Grant to families with children in the birth to school age range, the Grantee shall coordinate services with Early Intervention agencies to support those children receiving services and children identified after enrollment as needing services. The Grantee must document this coordination through the establishment of a Memorandum of Agreement (“MOA”).

*a. CTF Grantees are excluded from this requirement if they are not providing Evidence Based Home Visiting services.*

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The MOA will, at a minimum, address the following requirements:

- a. Transition of children and families into and out of the program;
- b. Procedures for referral to Early Intervention in the event that the child qualifies;
- c. Establish a point of contact at each agency for follow up conversations and planning as needed;
- d. Outline protocols to share information and coordinate services as appropriate, including the sharing of ASQ and ASQ SE Results;
- e. Determine a frequency for the MOA to be reviewed and revised;
- f. Other topics as relevant to local programs; and
- g. Be signed by an authorized individual from each agency.

\_\_\_\_\_ **M.** The Grantee shall develop written transition plans with each child or caregiver ***served through EBHV.***

Transition planning must occur at least six months prior to the date services will end for the child and family.

- a. *CTF Grantees are excluded from this requirement if they are not providing Evidence Based Home Visiting services.*

Written transition plans shall, at a minimum:

- a. Include the family in the development of the transition plan;
- b. Make families aware of timelines for program registration, and policies and practices related to transition for children receiving Early Intervention services;
- c. Provide specific information to families about what they can expect at the next step within early care, community, and school settings;
- d. Support and encourage families for whom a more challenging transition is anticipated with more specific resources to assist in preparation of the transition;
- e. Allow for collaboration with receiving program or classroom to share information on curriculum, instructional strategies used in the program, and transition supports provided; and
- f. Set clear written expectations and provide staff an understanding of their role in supporting transitioning adults and children into, within, and out of the program.

Written transition plans must include:

- a. Review of options available to the family within the community they live;
- b. Review of any critical deadlines for registration;
- c. Support in obtaining and completing applications for targeted programs;
- d. Discussion regarding consent to exchange information with the program the family is seeking to enroll the child;
- e. Review of the child's current health status and the need to obtain immunizations or a physical in order to enroll in the next setting;
- f. Set expectations of what the parent will be responsible for completing and what the staff will complete and when;
- g. An invitation to coordinate with early learning program(s) and their personnel to review program registration and attendance policies with families;
- h. In the event a family is not interested in a formal program for their next steps, or if they may not be eligible, provision of community or electronic resources families can access independently;
- i. Support and encourage parents in next steps, such as careers or schools; and
- j. Provision of other supports as determined locally.

\_\_\_\_\_ **N.** The Grantee, once awarded, shall enter into MOAs with other local home visiting and family support service providers in the communities, county or counties the Grantee serves.

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*a. CTF Grantees are excluded from this requirement if they are not providing Evidence Based Home Visiting services.*

These MOAs must include:

1. Establishment of a collaborative working relationship to:

- i. Help families develop and support their child(ren)'s potential;
- ii. Establish a collaborative relationship with a full array of agencies and programs so families are aware of available resources and can access them;
- iii. Create opportunities to connect families to services while they are also receiving services from other resources as allowed; and
- iv. Provide that all families and children residing in the Commonwealth of Pennsylvania are accessing services that meet their needs.

b. Meeting with each other either as a collaborative or individually with each provider at least once per year to understand the services currently provided by the respective programs and reviewing referral policies between agencies. Meetings may occur virtually.

\_\_\_\_\_ **O.** The Grantee shall educate applicable families and, if applicable, implement requirements specified in the OCDEL Inclusion and Reduction of Suspension/Expulsion announcements, and any future applicable announcements released by OCDEL.

\_\_\_\_\_ **P.** The Grantee shall implement high-quality supervision, including reflective supervision for **EBHV staff**. Grantees must develop and implement policies and procedures for the effective provision of reflective supervision program-wide with fidelity to the model(s) implemented.

*a. CTF Grantees are excluded from this requirement if they are not providing Evidence Based Home Visiting services.*

**Reflective supervision:** is a distinctive form of competency based professional development that is provided to multidisciplinary early childhood home visitors who are working to support very young children's primary caregiving relationships. Reflective supervision is a practice which acknowledges that very young children have unique developmental and relational needs and all early learning occurs in the context of relationships. Reflective supervision is distinct from administrative supervision and clinical supervision due to the shared exploration of the parallel process, that is, attention to all of the relationships is important, including the relationships between home visitor and supervisor, between home visitor and parent, and between parent and infant/toddler. Reflective supervision supports professional and personal development of home visitors by attending to the emotional content of their work and how reactions to the content affect their work. In reflective supervision, there is often greater emphasis on the supervisor's ability to listen and wait, allowing the supervisee to discover solutions, concepts and perceptions on his/her own without interruption from the supervisor.

### **Reporting**

\_\_\_\_\_ **Q.** The Grantee shall complete and submit to the Department monthly enrollment reports using a standard format and method provided by the Department.

\_\_\_\_\_ **R.** The Grantee shall complete and submit to the Department quarterly program narrative reports using a standard format and method provided by the Department.

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\_\_\_\_\_S. The Grantee shall complete monitoring assessments, which may include on-site program visits, and program self-assessments for each year of the grant.

### **Enrollment / Goal Number to be Served**

\_\_\_\_\_T. For Children’s Trust Fund Programs with a goal number of families to be served each year, the Grantee may be required to participate in improvement activities if 25% of goal numbers of families are not served by the end of each quarter. For the improvement plan, the number of classes offered, attendance, and frequency will be considered prior to placing a Grantee on an improvement plan for enrollment. Failure to improve enrollment or reach the goal number of families by the next renewal process may result in reduction of award.

#### ***Dual Enrollment***

To support responsible fiscal stewardship and to maintain Model fidelity, Grantees shall develop and implement policies and procedures to avoid dual enrollment. **Families may be enrolled in an EBHV Model and Enhancement(s), such as a positive parenting class, concurrently as appropriate for the family or caregiver.**

Grantees implementing more than one EBHV Model, particularly in the same community, should, with fidelity to the model, develop policies and procedures to screen and enroll eligible families in the Model that best meets their needs. Avoiding dual enrollment maximizes the availability of limited resources for EBHV services for eligible families and prevents duplicative collection and reporting of demographic and performance measure data.

### **Program Revisions**

\_\_\_\_\_U. Grantees are required to submit program revisions through a method and format determined by the Department when the following events occur:

#### **CTF Grant Program Revisions:**

- a. CTF Board approval is required for major program revisions, which include:
  1. A 25 percent increase or decrease in the population to be served through the grant;
  2. A major change in the originally-approved design of the program, which could potentially alter the program’s objectives;
  3. A change in the entity responsible for administering the grant agreement.
- b. CTF Executive Director approval is required for minor program revisions, which include:
  1. A redefinition of the population to be served including geographic territory and other similar changes;
  2. An increase or decrease of under 25 percent in the population to be served through the grant;
  3. A change in a subcontractor responsible for completion of components of the grant program;
  4. A change in curriculum or model used that does not alter the program’s objectives or deviate from a model program’s requirements.

### **Data Collection**

\_\_\_\_\_V. The Grantee shall participate in and use the Pennsylvania Family Support Data Collection system developed by the Department.

\_\_\_\_\_W. The Grantee shall collect demographic data on all families, caregivers, and children enrolled in the program being funded by the Department through this grant award.

\_\_\_\_\_X. The Grantee shall collect Performance Measure Data on all families, caregivers, and children **enrolled in EBHV programs** being funded by the Department through this grant award.

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- a. EBHV programs is defined as being an approved program on the U.S. Department of Health and Human Services, Administration for Children & Families Home Visiting Evidence of Effectiveness (“HomVEE”) website (<https://homvee.acf.hhs.gov/home>)
  - i. Approved EBHV programs have a green checkmark next to the model on the appropriate page. Please be sure to review the descriptions for all models as certain EBHV models are approved with stipulations.
  - ii. Home Visiting programs not within this list will be considered Family Support Programs for the purpose of data collection.
  - iii. *CTF Grantees are excluded from this requirement if they are not providing Evidence Based Home Visiting services.*
- b. The Grantee shall select one or more tools from the approved list for each applicable Performance Measure
  - i. Due to federal and state reporting requirements alternative tool proposals will not be accepted.
  - ii. One or more approved tools may need to be selected for each applicable Performance Measure based on population served.
  - iii. *CTF Grantees are excluded from this requirement if they are not providing Evidence Based Home Visiting services.*

        Y. The Grantee shall implement its chosen Model(s) according to national Model developer guidelines, with fidelity to the Model(s).

- a. Fidelity is defined as a Grantees’ adherence to Model developer requirements for high-quality implementation as well as any affiliation, certification, or accreditation required by the Model developer, if applicable. These requirements include all aspects of initiating and implementing a program, including, but not limited to:
  - a. Recruiting and retaining clients;
  - b. Providing initial and ongoing training, supervision, and professional development for staff;
  - c. Maintaining a management information system to track data related to fidelity and services; and
  - d. Developing an integrated resource and referral network to support client needs.
- b. Changes to an evidence-based/evidence-informed Model that alter the core components related to program outcomes are not permissible, as they could impair fidelity and undermine the program’s effectiveness.
- c. Grantees must implement programs with fidelity to the Model, which may include development of policies and procedures to recruit, enroll, disengage, and re-enroll family participants. Enrollment policies should strive to balance continuity of services to eligible families and availability of slots to unserved families.
- d. The Grantee shall participate in existing local collaborative groups to coordinate home visiting, family support, or other early childhood initiatives as appropriate and available in the communities they serve. Through this participation, the Grantee must develop shared resources and referral strategies between their program and other community service providers. Participation will help Grantees actively work to best meet the needs of families receiving services.
- e. Consistent with Model fidelity, Grantees must develop policies and procedures in collaboration with other home visiting, family support, and early childhood partners as appropriate to transition families into other

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home visiting, family support, or early childhood services to sustain services to eligible families of children through kindergarten entry and beyond.

**Fiscal**

       **Z.** The Grantee shall develop fiscal policies on the following:

- a. Procurement
- b. Conflict of Interest
- c. Purchasing Process
- d. Record Retention & Destruction
- e. Inventory
- f. Proof of Insurances
- g. Security & Storage of Fiscal Records
- h. Cost Allocation Plan

**The Grantee has read and agrees to comply with the requirements listed above:**

APPLICANT AGENCY NAME \_\_\_\_\_

SIGNATURE \_\_\_\_\_

PRINTED NAME \_\_\_\_\_