



pennsylvania
DEPARTMENT OF HUMAN SERVICES

CERTIFICATE OF COMPLIANCE

This certificate is hereby granted to COMMISSIONERS OF YORK COUNTY

LEGAL ENTITY

To operate YORK COUNTY OFFICE OF CHILDREN, YOUTH & FAMILIES

NAME OF FACILITY OR AGENCY

Located at 100 WEST MARKET STREET, YORK, PA 17401

(COMPLETE ADDRESS OF FACILITY OR AGENCY)

ADDRESS OF SATELLITE SITE ADDRESS OF SATELLITE SITE

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ADDRESS OF SATELLITE SITE ADDRESS OF SATELLITE SITE

To provide County Children & Youth Agencies

TYPE OF SERVICE(S) TO BE PROVIDED

The total number of persons which may be cared for at one time may not exceed N/A
or the maximum capacity permitted by the Certificate of Occupancy, whichever is smaller. (MAXIMUM CAPACITY)

Restrictions: _____

This certificate is granted in accordance with the Human Services Code of 1967, P.L. 31, as amended, and Regulations

**55 Pa.Code Chapter 3130: Administration of County Children
and Youth Services and Other Supplementary Program Regulations**

(MANDAL NUMBER AND TITLE OF REGULATIONS)

and shall remain in effect from November 15, 2016 until November 15, 2017,
unless sooner revoked for non-compliance with applicable laws and regulations.

No: **315970**

Robert E. Robinson
ISSUING OFFICER

Cathy A. Hutz
DEPUTY SECRETARY

NOTE: This certificate is issued for the above site(s) only and is not transferable
and should be posted in a conspicuous place in the facility.



COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF PUBLIC WELFARE

NOV 18 2016

VIA CERTIFIED MAIL

Mr. Terry L. Clark, Director
York County Office of Children, Youth and Families
100 West Market Street, Suite 402
York, Pennsylvania 17401

Dear Mr. Clark:

The Department of Human Services (Department) issued you a Fourth Provisional Certificate of Compliance to operate the county children and youth social services agency known as York County Office of Children, Youth and Families, 100 West Market Street, York, Pennsylvania, 17401 (Certificate 315974), which was effective from June 22, 2016 through November 15, 2016.

The Department conducted the Fourth Provisional Licensing Inspection of the agency on October 5 and 6, 2016. The enclosed Licensing Inspection Summary (LIS) includes details of the regulatory violations at 55 Pa. Code Chapters 3130 and 3490 that were found. The Department approved your plan of correction on November 15, 2016. The Department also determined that significant progress has been made in the implementation of your plan of correction that the Department approved on June 22, 2016 and in compliance with 55 Pa. Code Chapters 3130 and 3490. Therefore, the above-named agency is hereby issued a regular Certificate of Compliance effective November 15, 2016 through November 15, 2017 (Certificate 315970).

The Department commends you for implementing your plan of correction in a timely manner and demonstrating your commitment to ensuring the health, safety, and well-being of the children served. We look forward to continuing our joint work to promote sustained change.

Sincerely,

A handwritten signature in black ink that reads "Cathy A. Utz".

Cathy A. Utz
Deputy Secretary

Enclosures

c: The Honorable Susan Byrnes, President, York County Commissioner
The Honorable Christopher B. Reilly, York County Commissioner
The Honorable Doug Hoke, York County Commissioner

**COUNTY CHILDREN AND YOUTH AGENCY
ANNUAL SURVEY AND EVALUATION SUMMARY**

NAME OF AGENCY/FACILITY: York County Office of Children, Youth and Families				TELEPHONE: 717-846-8496	OCYF REGIONAL STAFF APPROVAL	DATE
ADDRESS: 100 West Market Street, York, PA 17401				COUNTY: York	<i>Sally Lupini</i> Program Representative	11/14/16
INSPECTED BY: Michael Beckstein, Sally Lupini, Erica Nocho, Faith Blough, Mark Schrode, and Cathy Gemberling				QSR and INSPECTION DATES: October 5 th and 6 th , 2016.	<i>Dennis O. Stett</i> Supervisor	11/14/16
INITIAL INSPECTION	RENEWAL INSPECTION	COMPLAINT	UNANNOUNCED INSPECTION	RANDOM SAMPLE	<i>Dabi Miller</i> Regional Director	11/14/16
	XX					

The Department of Human Services, Central Regional Office of Children, Youth and Families conducted the provisional licensing inspection of York County Children, Youth, and Families by means of a random sample record review, interviews with administrative, supervisory, and casework staff, internal policy/procedures review, personnel record review and agency fiscal documentation review. York County Office of Children, Youth, and Families was issued a first provisional Certificate of Compliance effective November 15, 2014 through May 15, 2015. The agency was issued a second provisional Certificate of Compliance effective May 15, 2015 through November 15, 2015. The county agency was issued a third provisional Certificate of Compliance effective November 15, 2015 through May 15, 2016. The county agency was issued a fourth provisional Certificate of Compliance effective May 15, 2016 through November 15, 2016. The Department has been providing technical assistance and monitoring the agency through bi-weekly site visits, file reviews and contacts with staff during the time of the provisional licenses.

The case sample was drawn from cases assigned to all program units and casework functions within the agency. The period of review was from May 16, 2016 to October 4, 2016. Departmental staff reviewed: 10 out of 695 Child Protective Service Intake records, 14 out of 2,512 General Protective Service Intake records, 10 out of 346 Ongoing/In-Home records, 10 out of 423 Placement records; which included a Resumption case, a Shared Case Management record and a youth that was discharged from care after the age of 16. The review also included: 2 out of 22 Adoption records, and 2 Interstate Compact cases; one of which York County was the sending county from the State of Pennsylvania and one of which York County was the receiving county to the State of Pennsylvania. Resource homes are approved through various private providers. The Department reviewed 25 out of 25 new employee records. In addition to program unit records, the Department reviewed the following Administrative items: Current organizational chart with caseload count for each person carrying cases; a completed copy of the agency's policy and procedure manual, a review of the current list of Advisory Committee members along with a copy of the Advisory Committee By-Laws and minutes of meetings for the past year; 10-day supervisory logs; MDT meeting minutes and procedures.

County Specific Information:

York County Children, Youth and Families is a 3rd class public child welfare agency serving primarily an urban population of approximately 440,775 people. This is an agency and county with many available innovative resources. With the number of service providers available, the agency is able

to provide families with services that specifically meet their needs. Some of these services include: mental health, drug and alcohol, housing and truancy. The county caseworkers and supervisors are provided information regarding the range of services available to children and families within the county and are adept at making referrals for the children and families they serve. The infrastructure within the county agency allows for timely processing of referrals. Many of the services available to families fall under the Human Services umbrella of the county. This collaborative effort between the county agencies often creates positive outcomes for the families served.

The York County Children, Youth and Families Administrator along with the Agency's Management Team, are continuing to evaluate agency practices and policies in an attempt to enhance caseworker practice and critical thinking skills for agency supervisors pertaining to caseworker support and decision making. The goal continues to be enhancing service delivery to children and families. The agency's main focus continues to be ensuring children are safe from abuse and neglect. A major shift within the agency has been their restructuring. The agency is now divided into three distinct service divisions: The Division of Intake Services, The Division of In-Home Services and The Division of Permanency Services. Each unit has a division manager. This has been a positive change for the agency; it has resulted in a clearer understanding of each staff person's role within the agency. An ongoing area of concern had been the screening out of General Protective Service reports. The agency had received citations due to cases being screened out that required an initial assessment. Since the last licensing inspection, the agency has only screened out 39 reports. They no longer screen out any reports in which children age five or under are residing in the home. The agency has also been focusing on reducing their number of placements. During this current licensing review period, there were 423 children in placement. The main reason children are placed is due to the child/youth's behavioral issues. The second leading cause for placement is parental drug/alcohol abuse. The agency has developed a plan to focus on safely reducing placement numbers.

The county agency continues to receive a high volume of Intake referrals. In addition, staff turnover has remained an issue. During this licensing period, the agency filled 25 vacancies. The leading cause, as noted by the agency, for staff resignations is reported to be the volume of work. This was determined through exit conferences with staff. The county will continue to utilize an aggressive approach to hiring staff and minimizing vacancies. They plan on utilizing the merit system for hiring in the near future. York County Children, Youth and Families has an experienced senior management team in place who are familiar with county services and have experience working within the child welfare system. The county agency administration has put a strong focus on staff accountability for all levels of service within the agency.

Staff are receiving ongoing training during weekly staff meetings. Division meetings are also occurring on a weekly basis and focus on basic skills such as: safety, permanency and wellbeing. The agency is also utilizing the Child Welfare Resource Center. The Child Welfare Resource Center staff have been assisting with training and practice enhancements such as increased supervisory skill building in areas of critical decision making. In addition, the county has developed their own internal Continuous Quality Improvement Division. This division is responsible to conduct reviews of random samples of cases in all three service divisions. This division provides results and feedback of their reviews which are then used for training development. These reviews also provide a snapshot of potential systemic issues which once identified can be mitigated.

During this period under review, the Department has been conducting ongoing support and review/monitoring of agency practices. The Department conducts biweekly case reviews and debriefings at the agency. Improvements have been noted regarding the agency's timely responses to referrals received, and it has been observed, in the cases reviewed, that all children in the household are being seen and their safety is being assessed appropriately. During the last licensing review, an area identified as needing improvement was supervisory oversight and documentation. The Department found no areas of concern in this area during this current licensing review.

The Departmental review for this licensing period included 10 CPS cases. In two of the 10 cases sampled, there was one area of non-compliance noted in two of the files. These files did not contain notification letters explaining the existence of the report to the families. However, it should be noted, the agency provided verbal notification of the existence of the reports to all families and the families did sign a document stating that they

received this verbal notification. These acknowledgements were present in both of these files. In regard to the 14 GPS Intakes reviewed (which included 4 screen outs) there were no areas of non-compliance noted in any of the records. There were also no areas of non-compliance discovered in the 10 In-Home/Ongoing files or the 2 Adoption files. The review of the 10 Placement cases determined there were 2 files that did not have evidence that a mother in the first case and an age appropriate youth in the second case were invited to participate in the development of the Family Service Plan. In one of the 10 Placement cases reviewed, a mother did not sign the Child Permanency Plan. In one of the 10 Placement cases, the identified child was included on the preliminary safety assessment worksheet, but the other 3 children in the home were not included on the document. It should be noted these 3 children were seen by the caseworker during the required timeframe. In the Shared Case Responsibility record reviewed, a safety plan was missing. The Department found no areas of non-compliance pertaining to employee/personnel records. Two Interstate Compact cases were reviewed, one in which a child entered placement in Pennsylvania, and one in which the child was sent from Pennsylvania to another state. The review determined the county utilized the Interstate Compact Office to coordinate arrangements and no areas of non-compliance were identified.

Quality Service Review (QSR):

York County Children, Youth and Families have participated in the formal QSR process. The county last participated in Phase III of the QSR in April 2014. The review consisted of 15 random cases of which 9 cases were In-home cases and 6 were Placement cases. From that review, the members of the team developed a county improvement plan based on outcomes of the review which included a focus on improvement of father engagement and to improve teaming in the area of formation and functioning. The county is working on enhancing outcomes in both of these identified areas. This work has been occurring with Agency Management, the Continuous Quality Improvement Department, Supervisors and Caseworkers. In addition, the county utilizes the Child Welfare Resource Center to assist them to develop skills in these areas. During this licensing review, the county agency has not conducted a QSR. The county is tentatively scheduled to participate in a QSR during the 2017 calendar year.

All case specific regulatory references contained within the Licensing and Inspection Summary does not contain specific identifying demographic data due to statutory prohibitions relating to confidentiality.

The following Chapters 3350, 3700, 3130, 3490, CPSL and Chapter 20 were reviewed during the annual licensing review. Based on violations with regard to Chapters 3130 & 3700, the Department of Human Services, Office of Children, Youth and Families is issuing the following citations which require a plan of correction:

REGULATORY FINDINGS REQUIRING PLAN OF CORRECTION

CHAPTER	DESCRIPTION OF VIOLATION	CORRECTION REQUIRED	DATE OF CORRECTION	PROVIDER PLAN OF CORRECTION	DATE OF REVIEW
Chapter 3130					
3130.21(b) Re: safety assessment and management process	This is a repeat citation from the fourth provisional licensing period which occurred on April 19 th and 20 th 2016. In 1 out of the 10 Placement files reviewed, the preliminary safety assessment completed on 7/1/16 provided	The county agency executive officers shall ensure that the agency is operated in conformity with applicable Federal, State and Local statutes, ordinances and regulations. The Safety Assessment and Management Process requires the caseworker to complete a	Immediately, 10/6/16 and ongoing.	The agency has enhanced its internal training program through development of a "Foundation Curriculum". During this phase of training all new staff will review the Safety Assessment protocol with the Training Specialist to assure an understanding of how to properly complete a Safety Assessment worksheet and subsequent Safety Plan.	Plan approved 11/15/16

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	documentation that the identified child was seen and there was documentation in the case notes that the other 3 children in the home were also seen, however, these 3 children were not included on the preliminary safety assessment worksheet.	preliminary safety assessment within 72 hours of contact this is to include documentation that all children in the home were seen and that safety was assessed and if any children were not seen this is to be documented. Also if a child is unsafe and a plan is required a plan shall be developed.		<p>Safety Assessment regulations and time frames will be reviewed with supervisors at Supervisory Meeting on January 11, 2017. Supervisors will be reminded to review all safety assessments for thorough completion before signing.</p> <p>Safety Assessment protocol, including proper completion of the safety assessment worksheet, will be reviewed with all staff at staff meeting on November 18, 2016.</p> <p>A Safety Assessment refresher course will be held for direct service staff to review the Safety Assessment and Management Processes by January 31, 2017.</p> <p>CQI will continue to conduct random monthly case reviews and target these criteria as an area of focus.</p>	
3130.21(b) Re: safety assessment and management process	In 1 out of 10 placement cases reviewed, the child was determined as unsafe when the safety assessment worksheet was completed. Thus a safety plan would have been required to alleviate the safety concerns. The plan would then have been reviewed with each court order and Child Permanency Plan Review.	<p>The county agency executive officers shall ensure that the agency is operated in conformity with applicable Federal, State and Local statutes, ordinances and regulations.</p> <p>The Safety Assessment and Management Process requires the caseworker to develop a safety plan if a child is determined to be unsafe.</p>	Immediately, 10/6/16 and ongoing.	<p>The agency has enhanced its internal training program through development of a "Foundation Curriculum". During this phase of training all new staff will review the Safety Assessment protocol with the Training Specialist to assure an understanding of how to properly complete a Safety Assessment worksheet and subsequent Safety Plan.</p> <p>Safety Assessment regulations and time frames will be reviewed with supervisors at Supervisory Meeting on January 11, 2017. Supervisors will be reminded that a safety plan must accompany all safety assessments where a determination of unsafe is made.</p>	<p><i>Plan approved 11/15/16</i></p>

Clark 11/15/16

				<p>including when a child is in placement.</p> <p>Safety Assessment protocol, including the need for safety plans with all determinations of an unsafe child, even if the child is placed, will be reviewed with all staff at staff meeting on November 18, 2016.</p> <p>A Safety Assessment refresher course will be held for direct service staff to review the Safety Assessment and Management Processes by January 31, 2017.</p> <p>CQI will continue to conduct random monthly case reviews and target these criteria as an area of focus.</p>	
3130.61 (c) (d)	<p>This is a repeat citation from the fourth provisional licensing period which occurred on April 19th and 20th 2016.</p> <p>In 1 out of 10 Placement cases reviewed, the child's mother did not sign the Child's Permanency Plan.</p> <p>In 1 out of the 10 Placement cases reviewed, there was no documentation that a mother and child were invited to participate in the development of the Family Service Plan, and in 1 out of 10 Placement cases reviewed the child's mother was not invited to participate in the development of the Child's Permanency Plan.</p>	<p>The county agency executive officers shall develop or revise the agency policy to ensure the case record includes documentation of the opportunity for participation for all applicable participants in the development and planning of the family service plan along with when applicable the associated child's permanency plan. All appropriate members shall have the opportunity to sign the plan and be in attendance at the scheduled planning meeting. All such contacts and invitations should be documented and maintained within the family case record.</p>	<p>Immediately, 10/6/16 and ongoing.</p>	<p>The agency has enhanced its internal training program through development of a "Foundation Curriculum". During this phase of training, new caseworkers will discuss with the Training Specialist, Family Service Plan and Child Permanency Plan protocols, including the importance of engagement with the family while developing family service plan goals.</p> <p>On July 15, 2015, the Agency updated its procedures for engagement of family during the Family Service Plan process. This included developing form letters for Caseworkers to use for inviting family to participate in the development of the Family Service Plan, as well as letters to request signatures from all parties. These procedures stress the importance of inviting all participants to be involved in</p>	<p><i>Plan approved 11/15/16</i></p>

Wade White

			<p>the goal development and signing the finalized plan.</p> <p>Supervisors were trained on SMART (Specific, Measurable, Achievable, Realistic, Time Oriented) goals and Family Service Plan development from CWRC staff during supervisor/management meeting in February 2016.</p> <p>Caseworkers began to use the Family Service Plan in CAPS on September 19, 2016 and will be developing SMART goals. Supervisors will discuss the importance of family engagement in the development of Family Service Plan goals with the caseworkers during supervision to assure appropriate goal development and services.</p> <p>Family Service Plan protocols were reviewed with all staff at staff meeting on October 14, 2016. Family Service Plan protocols were reviewed with supervisors during Supervisory meeting on September 14, 2016.</p> <p>Child Permanency Plan Protocols will be reviewed with all staff at Staff Meeting and Unit meetings by February 28, 2017. Staff will be reminded of the importance of family engagement in the development of the Child Permanency Plan goals.</p> <p>During 10 day supervision sessions, supervisors will assure FSP and CPP protocols are followed and all documents are signed by all subjects.</p>	
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				Supervisors will thoroughly review the signature pages to assure engagement of the family in the goal development. CQI will continue to conduct random monthly case reviews and target these criteria as an area of focus	
3490.58(a)(1) (2)	In 2 of the 10 CPS intake files reviewed, there was no documentation in the record that the family received written notification of the existence of the report.	The county agency executive officers shall ensure that written notification of the existence of the report and the type of abuse alleged is provided to all subjects within 72 hours of interviewing the subject regarding the report.	Immediately, 10/6/16 and ongoing	<p>The agency has enhanced its internal training program through development of a "Foundation Curriculum". During this phase of training new caseworkers review the referral investigative process with the Training Specialist.</p> <p>The Agency Screening Unit is now assisting in sending the initial 72 hour notification letters to all parties if whereabouts are known at the time the referral is received.</p> <p>If the whereabouts are not known, once the Caseworker determines the whereabouts of the parties, casework staff will send the notification letters. Casework staff will utilize the CPS checklist which will prompt them to assure that notification letters are sent to all subjects within 72 hours of the report.</p> <p>The Supervisor's signature will be added to the 72 hour notification letters to assure that supervisors are monitoring when letters are being sent by the Caseworker.</p> <p>CQI will continue to conduct random monthly case reviews and target these criteria as an area of focus.</p>	<p><i>plan approved 11/5/16</i></p>

TCB 11/9/16

THE APPLICANT MUST COMPLETE AND SIGN THE SIGNATURE LINE IN EACH OF THE COPIES OF THIS DOCUMENT. THE APPLICANT MUST SIGN THE DOCUMENT IN THE REGION OF ORIGIN.

[Handwritten Signature]

Administrator

SIGNATURE OF APPLICANT REPRESENTATIVE

11/2/16

717-846-8496

DATE REFERENCE NUMBER