

<b>ACF</b>  <b>Administration for Children and Families</b>	<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>  <b>Administration on Children, Youth and Families</b>	
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	<b>4. Key Words:</b> Title IV-B Child and Family Services Plan; Annual Progress and Services Report; Child Abuse Prevention and Treatment State Plan; Chafee Foster Care Independence Program; Education and Training Vouchers Program	

### **PROGRAM INSTRUCTION**

**TO:** State Agencies, Territories, and Insular Areas Administering or Supervising the Administration of Title IV-B, subparts 1 and 2, and Title IV-E of the Social Security Act (the Act); Organization Designated by the Governor to Apply for Child Abuse and Neglect Prevention and Treatment Programs State Grant Funds; State Independent Living and Education and Training Voucher Coordinators.

**SUBJECT:** June 30, 2014, submission of: (1) the Child and Family Services Plan (CFSP) Final Report for fiscal years (FYs) 2010-2014 (the "2010-2014 Final Report") and CAPTA update; (2) the CFSP for FYs 2015-2019 (the "2015-2019 CFSP") for the Stephanie Tubbs Jones Child Welfare Services (CWS), the Promoting Safe and Stable Families (PSSF) and Monthly Caseworker Visit Grant programs; and the Chafee Foster Care Independence Program (CFCIP) and the Education and Training Vouchers (ETV) Program; and (3) the CFS-101, Part I, Annual Budget Request, Part II, Annual Summary of Child and Family Services, and Part III, Annual Expenditure Report- Title IV-B, subparts 1 and 2, CFCIP, and ETV.

**LEGAL AND RELATED REFERENCES:** Title IV-B, subparts 1 and 2, sections 421-425, 428, 430-437, and title IV-E, section 477 of the Act; sections 106 and 108 of CAPTA (42 U.S.C. 5106a. and 5106d.), as amended by Public Law (P.L.) 111-320, the CAPTA Reauthorization Act of 2010; the Indian Child Welfare Act of 1978 (P.L. 95-608); the Indian Self-Determination and Education Assistance Act (P.L. 93-638); 45 CFR Parts 1355 and 1357; The Fostering Connections to Success and Increasing Adoptions Act of 2008 (P.L. 110-351); the Patient Protection and Affordable Care Act (P.L. 111-148); and the Child and Family Services Improvement and Innovation Act of 2011 (P.L. 112-34).

**PURPOSE:** This Program Instruction (PI) provides guidance to states, territories, and insular areas (hereafter "states," unless otherwise noted) on actions they are required to take to receive

their allotments for Federal Fiscal Year (FY)<sup>1</sup> 2015 (subject to the availability of appropriations) authorized under title IV-B, subparts 1 and 2, section 106 of CAPTA, CFCIP and ETV programs.

This PI summarizes the actions required in completion and submission of the (1) 2010- 2014 Final Report, (2) the new 2015- 2019 CFSP, and (3) the CFS-101, Parts I, II, and III. A separate PI addresses requirements for tribes, tribal consortia, and tribal organizations applying for funding under these programs.

## **INFORMATION: Organization of the Program Instruction**

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### **Section A. Background**

#### Child and Family Services Plan (CFSP)

States are required to develop a CFSP, a five-year strategic plan that sets forth the vision and the goals to be accomplished to strengthen the states' overall child welfare system. A primary purpose of the CFSP is to facilitate states' integration of the programs that serve children and families, including title IV-B, subparts 1 and 2 of the Act, and the CFCIP and ETV programs for older and/or former foster care youth, into a continuum of services for children and their families. The CFSP consolidates plans for these programs to help states comprehensively integrate the full array of child welfare services, from prevention and protection through permanency (45 CFR 1357.15(a)).

Since the CFSP process began in 1994, there have been four complete five-year cycles (FYs 1995 - 1999, FYs 2000 - 2004, FYs 2005 - 2009, and FYs 2010 - 2014). The next CFSP is due June 30, 2014 for FYs 2015 - 2019.

#### Final Report

The Final Report provides the final update on accomplishing the goals and objectives of the last CFSP. A final report is due for the 2010- 2014 CFSP on June 30, 2014. Completion of the Final Report satisfies the federal regulations at 45 CFR 1357.16 by providing updates on a state's

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<sup>1</sup>Unless otherwise noted, FY refers to Federal Fiscal Year.

annual progress since the last Annual Progress and Services Report (APSR) update and a final report for the 2010-2014 CFSP.

Please note that federal regulations at 45 CFR 1357 outline requirements for the CFSP, APSR and Final Report. Although these regulations refer to numerous dates and timelines that were useful at the introduction of the integrated plan concept, the dates have since passed. However, the required elements of the CFSP, APSR and Final Report continue to be applicable. Obsolete regulations and other variances between current law and regulations are listed at Attachment G.

## **Section B. Overview of the 2015 - 2019 Child and Family Services Plan and Integration with Child and Family Services Review Process**

By integrating into one five-year strategic plan all of the separate plan requirements for the title IV-B programs and the Chafee Foster Care Independence Programs authorized by section 477 of title IV-E of the Act, the CFSP provides states the opportunity to view their child welfare systems and federal funding sources holistically. In this way, states can effectively and collaboratively develop strategies to strengthen their overall child welfare system. The Child and Family Services Review (CFSR) process is specifically designed to meet the statutory requirement to provide federal oversight of states' compliance with title IV-B and IV-E plan requirements and to strengthen child welfare programs for improved child and family outcomes. As such, the two processes have always been linked, but integration has often been difficult in practice.

At the conclusion of Round 2 of the CFSRs, the Children's Bureau (CB) sought comments about the CFSR process. Among the comments received were a number of suggestions for the CFSP and CFSR to be part of one continual process. As a result, CB has determined that the submission of the 2015- 2019 CFSP provides an opportunity to more fully integrate the CFSP and the CFSR.

To integrate the CFSP and CFSR processes, in the 2015- 2019 CFSP, each state must:

- *Assess its performance on each of the seven child and family outcomes and the seven systemic factors that are part of the CFSR and that reflect title IV-B and IV-E state plan requirements (45 CFR 1355.34(b)) and (c)).* CB continues to focus its monitoring and improvement efforts on ensuring that states are making progress towards CFSR national standards, outcomes and agency capacity (45 CFR 1357.15(k)).
- *Focus its goals and objectives on improving state performance on CFSR outcomes related to safety, permanency, and well-being.* It is anticipated that carefully selected and well-designed goals and objectives in the 2015-2019 CFSP will serve as building blocks for any subsequent plans for improvement (45 CFR 1357.15(h) and (i)).

- *Incorporate Continuous Quality Improvement (CQI) principles, as outlined in ACYF-CB-IM-12-07<sup>2</sup>, issued August 27, 2012, in developing the 2015-2019 CFSP.* The 2015-2019 CFSP must be based on data, including information on target areas for improvement, service needs, and gaps in services (45 CFR 1357.15(d)(3)). To the extent available, the state must use its most recent data profile, national standards, data related to systemic capacity, its case record review data and other relevant data to construct the five-year plan and to measure progress. The 2015-2019 CFSP must include a summary of the data and information used to develop the plan (45 CFR 1355.34 and 1357.15(j) and (k)).
- *Develop the 2015-2019 CFSP with substantial ongoing meaningful involvement of stakeholders, tribes, and courts consistent with the CQI principles regarding data analysis, dissemination, feedback and adjustment.* In addition, CB Regional Offices (ROs) will participate in joint planning with the state in each step of the 2015- 2019 CFSP development and implementation process (45 CFR 1357.15(d) and (l)).
- *Use the 2010-2014 Final Report to summarize its efforts and results and consider them in continuing to improve title IV-B and CFCIP programs and services to children and families in the next five year plan* (45 CFR 1357.16(e and f)). The development of the 2015-2019 CFSP and subsequent APSRs should build upon open or recently completed program improvement plans (PIPs) to continue the improvements to the child welfare system in the state (45 CFR 1355.35(f)).

CB will continue to provide technical assistance to states throughout the 2015-2019 CFSP development and implementation process. CB ROs are available to provide guidance in this process.

### **Section C. 2010-2014 Final Report Requirements**

Each state must conduct a review of the progress made toward accomplishing the goals and objectives in the 2010-2014 CFSP. When conducting the final review, the state must involve the agencies, organizations, and individuals that are a part of the ongoing consultation, collaboration, and coordination process. The 2010-2014 Final Report must include data showing the progress made on the goals and objectives during the last year and a summary of accomplishments made for FYs 2010 through 2014.

#### **1. Assessment of Progress on Goals, Objectives and Service Array**

States are required to report the information identified below for each of the programs:

- The Stephanie Tubbs Jones Child Welfare Services Program (title IV-B, subpart 1);
- Services provided in the four areas under the Promoting Safe and Stable Families Program (title IV-B, subpart 2):
  - Family Preservation;
  - Family Support;

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<sup>2</sup> For ACYF-CB-IM-12-07, please see: <http://www.acf.hhs.gov/sites/default/files/cb/im1207.pdf>.

- Time-Limited Family Reunification; and
  - Adoption Promotion and Support Services; -CFCIP and ETV.
- Report on the state's assessment of the specific accomplishments and progress achieved during FYs 2010 to 2014 toward meeting each goal and objective in the 2010-2014 CFSP including improved outcomes for children and families and providing a more comprehensive, coordinated, and effective child and family services continuum (45 CFR 1357.16(a)(1)). Please also address any barriers or unexpected events that may have had an impact on the accomplishment of the 2010-2014 CFSP's goals and objectives. Cite relevant baseline data and information, data gathered in the CFSR, and other data, as applicable, to demonstrate the progress made during FYs 2010 - 2014.
  - Summarize how CFSR results, title IV-E and Adoption and Foster Care Analysis and Reporting System (AFCARS) reviews, and/or other program improvement plans affected the achievement of 2010-2014 CFSP goals and objectives.
  - Briefly describe the services provided during FYs 2010-2014, highlighting any changes or additions in services or program design and how the services assisted in achieving program purposes (45 CFR 1357.16(a)(4)).

For the state child and family services program as a whole, respond to the following:

- Identify and describe which populations the state determined were at the greatest risk of child maltreatment during FYs 2011-2014, how the state identified these populations and how services were targeted to those populations (section 432(a)(10) of the Act).
- Summarize the activities the state has undertaken during FYs 2011-2014 to reduce the length of time that children under age five are in foster care without a permanent family, and the results of these efforts (section 422(b)(18) of the Act). This requirement applies to all children under age five in foster care, regardless of the child's permanency plan, legal or placement status.
- Describe the activities the state has undertaken during FYs 2011-2014 to provide developmentally appropriate services to children under the age of five in foster care (section 422(b)(18) of the Act).

## **2. Collaboration**

- Summarize the activities that took place during FYs 2010- 2014 to coordinate and collaborate efforts across the entire spectrum of the child and family service delivery system. This section should also describe the stakeholder and/or partner involvement that took place in the review of progress made in the past fiscal year and during the last five years (45 CFR 1357.15(l) and 45 CFR 1357.16(a)).

- Report on how the state has demonstrated substantial, ongoing, and meaningful collaboration between the child welfare agency and the courts with regard to the development and implementation of the 2010-2014 CFSP and any CFSR or title IV-E PIPs (section 422(b)(13) of the Act).

### **3. Program Support**

- Summarize the state's training and technical assistance provided to counties and other local or regional entities that operate state programs and its impact on the achievement of 2010-2014 CFSP goals and objectives (45 CFR 1357.16(a)(5)).
- Summarize how the state's activities undertaken in FYs 2010-2014 in child and family services-related research, evaluation, management information systems, and/or quality assurance systems informed service delivery and contributed to achieving the goals and objectives of the 2010-2014 CFSP (45 CFR 1357.16(a)(5)).

### **4. Consultation and Coordination Between Tribes and States**

In accordance with section 422(b)(9) of the Act, states are required to include in the CFSP a description, developed in consultation with Indian tribes in the state, of the specific measures taken by the state to comply with the Indian Child Welfare Act (ICWA). States without federally-recognized tribes within their borders should still consult with tribal representatives.

For the 2010-2014 Final Report:

- Describe the process used to consult with tribes since the last APSR and during the last five years. Provide specific information on the name of tribes and tribal representatives with whom the state consulted in the last year. Please provide information on the outcomes or results of these consultations. (See 45 CFR 1357.15(l).)
- Citing available data and the source of that data, assess the level of compliance and the progress made to improve compliance with ICWA during the past year, as informed by consultation with tribes and over the last five years. Listed below are some components in ICWA that states must address in consultation with tribes and in the CFSP/APSR:
  - Notification of Indian parents and tribes of state proceedings involving Indian children and their right to intervene;
  - Placement preferences of Indian children in foster care, pre-adoptive, and adoptive homes;
  - Active efforts to prevent the breakup of the Indian family when parties seek to place a child in foster care or for adoption; and
  - Tribal right to intervene in state proceedings, or transfer proceedings to the jurisdiction of the tribe.

- Include information on any changes to laws, policies, or procedures, and/or a description of any trainings implemented to increase compliance with ICWA that occurred during the last year and during the last five years.
- State agencies and tribes must also exchange copies of their CFSP and their APSRs (45 CFR 1357.15(v)). Describe how the state will meet this requirement with the 2010-2014 Final Report.
- Provide information regarding consultations that occurred during the last year or during the last five years with Indian tribes in the state specifically as it relates to determining eligibility for benefits and services and ensuring fair and equitable treatment for Indian youth under the Chafee Foster Care Independence Program (CFCIP). Describe how the state negotiated in good faith with any tribe requesting to develop an agreement with the state to receive from the state a portion of the state's allotment to operate CFCIP and/or ETV (section 477(b)(3)(G) of the Act).

## **5. Foster and Adoptive Parent Recruitment**

Section 422(b)(7) of the Act requires that the state's CFSP provide for the diligent recruitment of foster and adoptive families that reflect the ethnic and racial diversity of children in the state for whom foster and adoptive homes are needed. For the 2010-2014 Final Report, provide a summary, with data as available, of the progress and accomplishments made with regard to the diligent recruitment of potential foster and adoptive families.

## **6. Adoption Incentive Payments**

States were required to specify in the 2010-2014 CFSP the services they expected to provide to children and families with the adoption incentive funds and the state's plans for timely expenditure of the funds. In the 2010-2014 Final Report, provide a description of the activities conducted as a result of receiving any adoption incentives. Address any issues or challenges the state has encountered in expending funds in a timely manner during the last five years. (See section 473A of the Act.)

## **7. Child Welfare Waiver Demonstration Activities (applicable states only)**

If the state has an approved child welfare waiver demonstration project under section 1130 of the Act, describe how it coordinated efforts to integrate the activities under the demonstration with the goals and objectives of the 2010-2014 CFSP. Describe how programs and activities funded by the flexible use of title IV-E dollars were coordinated with programs traditionally funded by Title IV-B.

## **8. Child Abuse Prevention and Treatment Act (CAPTA) State Plan Requirements and Update**

To be eligible to receive a FY 2012 CAPTA state grant, each state was required to submit a new CAPTA State Plan. States are no longer required to submit a new CAPTA State Plan every five

years but must report annually on the use of CAPTA funds, as required by Section 108(e) of CAPTA. This year, CAPTA updates will be submitted with the 2010-2014 Final Report.

For continued CAPTA funding in FY 2015, states must:

- Describe substantive changes, if any, to state law or regulations, including laws and regulations relating to the prevention of child abuse and neglect, that could affect the state's eligibility for the CAPTA state grant (section 106(b)(1)(C)(i) of CAPTA). The state must also include an explanation from the State Attorney General as to why the change would, or would not, affect eligibility. Note: States do not have to notify ACF of statutory changes or submit them for review if they are not substantive and would not affect eligibility.
- Describe any significant changes from the state's previously approved CAPTA plan in how the state proposes to use funds to support the 14 program areas enumerated in section 106(a) of CAPTA. (See section 106(b)(1)(C)(ii) of CAPTA).
- Describe how CAPTA state grant funds were used, alone or in combination with other federal funds, in support of the state's approved CAPTA plan to meet the purposes of the program since the submission of the last APSR (section 108(e) of CAPTA).
- Submit a copy of the annual report(s) from the citizen review panels and a copy of the state agency's most recent response(s) to the panels and state and local child protective services agencies, as required by section 106(c)(6) of CAPTA.

#### *Additional Information*

Please note that compliance with the eligibility requirements for a CAPTA state grant program is a prerequisite for eligibility to receive funding under the Children's Justice Act state grant program, authorized by section 107 of CAPTA.

Finally, to facilitate ongoing communication between CB and states on issues relating to CAPTA and child abuse and neglect, please submit the name, address, and email for the state CAPTA coordinator (also known as the State Liaison Officer).

### **9. Statistical and Supporting Information**

*The following must be reported in the 2010-2014 Final Report:*

CAPTA:

a. CAPTA Annual State Data Report Items: Each state receiving the CAPTA state grant must annually provide, to the maximum extent practicable, an Annual State Data Report. The complete list of data elements to be included in the report can be found in section 106(d) of CAPTA. Most information for this report is collected through state



participation in the National Child Abuse and Neglect Data System (NCANDS). The following items are to be included in the 2010-2014 Final Report submission.

*Information on Child Protective Service Workforce:* For child protective service personnel responsible for intake, screening, assessment, and investigation of child abuse and neglect reports in the state, report available information or data on the following:

- information on the education, qualifications, and training requirements established by the state for child protective service professionals, including requirements for entry and advancement in the profession, including advancement to supervisory positions;
- data on the education, qualifications, and training of such personnel;
- demographic information of the child protective service personnel; and
- information on caseload or workload requirements for such personnel, including requirements for average number and maximum number of cases per child protective service worker and supervisor (section 106(d)(10) of CAPTA).

If the state was unable last year and continues to be unable this year to provide all of the requested information relating to the child protective service workforce, please provide an explanation as to why that information is not currently available, and describe steps the state will take to be able to report the information in the future.

*Juvenile Justice Transfers:* Report the number of children under the care of the state child protection system who were transferred into the custody of the state juvenile justice system in FY 2013(specify if another time period is used). Describe the source of this information, how the state defines the reporting population, and any other relevant contextual information about the data. (See section 106(d)(14) of CAPTA).

#### Other Reporting Requirements:

##### b. Sources of Data on Child Maltreatment Deaths:

- Describe all sources of information relating to child maltreatment fatalities that the state agency currently uses to report data to NCANDS;
- If the state does not use information from the state's vital statistics department, child death review teams, law enforcement agencies and medical examiners' offices when reporting child maltreatment fatality data to NCANDS, explain why any of these sources are excluded; and
- If not currently using all sources of child maltreatment fatality data listed in the previous bullet, describe the steps the agency has taken and will take to expand the sources of information used to compile this information. (See section 422(b)(19) of the Act.)

To ensure that information in the 2010-2014 Final Report is consistent with related information reported directly to NCANDS, each state's contact for NCANDS should be

consulted in developing this response in the 2010-2014 Final Report. A list of NCANDS state contacts is provided in Attachment E.

c. Education and Training Vouchers: Identify the number of youth who received ETV awards from July 1, 2012 through June 30, 2013 (the 2012-2013 School Year) and July 1, 2013 through June 30, 2014 (the 2013-2014 School Year). States may estimate a total if they do not have the total number for the 2013-2014 School Year.

Report the number of youth who were new voucher recipients in each of the school years. To facilitate more consistent reporting, please use Attachment F for a format to report information on the ETVs awarded.

d. Inter-Country Adoptions: Report the number of children who were adopted from other countries and who entered into state custody in FY 2013 as a result of the disruption of a placement for adoption or the dissolution of an adoption, the agencies who handled the placement or the adoption, the plans for the child, and the reasons for the disruption or dissolution. (See section 422(b)(12) of the Act.)

e. Monthly Caseworker Visit Data: States are required to collect and report data on monthly caseworker visits with children in foster care (section 424(f) of the Act). Data for FY 2014 is to be reported separate from the 2010-2014 Final Report and the 2015-2019 CFSP and will be due for submission to CB by **December 15, 2014**. The statute established the following performance standards for caseworker visits in FY 2014:

- The total number of visits made by caseworkers on a monthly basis to children in foster care during a fiscal year must not be less than 90 percent of the total number of such visits that would occur if each child were visited once every month while in care.
- At least 50 percent of the total number of monthly visits made by caseworkers to children in foster care during a fiscal year must occur in the child's residence.

States are required to submit data for FY 2014 according to the requirements found in section 424(f) of the Act, as amended. Additional information on the requirement was provided in ACYF-CB-PI-12-01<sup>3</sup>, issued on January 6, 2012.

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<sup>3</sup> For ACYF-12-01, please see: <http://www.acf.hhs.gov/programs/cb/resource/pi1201>.

## Section D. 2015-2019 CFSP Requirements

The 2015-2019 CFSP continues states' opportunity to develop and implement a system of coordinated, integrated, culturally relevant, and family-focused services that reflect the **service principles** found in federal regulations at 45 CFR 1355.25:

- *The safety and well-being of children and of all family members is paramount. When safety can be assured, strengthening and preserving families is seen as the best way to promote the healthy development of children. One important way to keep children safe is to stop violence in the family including violence against their mothers.*
- *Services are focused on the family as a whole; service providers work with families as partners in identifying and meeting individual and family needs; family strengths are identified, enhanced, respected, and mobilized to help families solve the problems which compromise their functioning and well-being.*
- *Services promote the healthy development of children and youth, promote permanency for all children and help prepare youth emancipating from the foster care system for self-sufficiency and independent living.*
- *Services may focus on prevention, protection, or other short or long-term interventions to meet the needs of the family and the best interests and need of the individual(s) who may be placed in out-of-home care.*
- *Services are timely, flexible, coordinated, and accessible to families and individuals, principally delivered in the home or the community, and are delivered in a manner that is respectful of and builds on the strengths of the community and cultural groups.*
- *Services are organized as a continuum, designed to achieve measurable outcomes, and are linked to a wide variety of supports and services which can be crucial to meeting families' and children's needs, for example, housing, substance abuse treatment, mental health, health, education, job training, child care, and informal support networks.*
- *Most child and family services are community-based, involve community organizations, parents and residents in their design and delivery, and are accountable to the community and the client's needs.*
- *Services are intensive enough and of sufficient duration to keep children safe and meet family needs. The actual level of intensity and length of time needed to ensure safety and assist the family may vary greatly between preventive (family support) and crisis intervention services (family preservation), based on the changing needs of children and families at various times in their lives. A family or an individual does not need to be in crisis in order to receive services.*

The process of coordination and collaboration implemented during the previous plan development, and continued annually for the APSR, should be continued and strengthened in the development of the 2015-2019 CFSP. The state should use information and data gathered through the 2010-2014 CFSP, subsequent APSRs, CAPTA, the CFSR process, data profiles, and case reviews to inform the development of the 2015-2019 CFSP vision, goals, objectives, funding, and service decisions (45 CFR 1357.16(f)).

The following programs are coordinated by the submission of the 2015-2019 CFSP:

- The Stephanie Tubbs Jones Child Welfare Services Program (title IV-B, subpart 1);
- Services provided in the four areas under the Promoting Safe and Stable Families Program (title IV-B, subpart 2):
  - Family Preservation;
  - Family Support;
  - Time-Limited Family Reunification; and
  - Adoption Promotion and Support Services;
- Monthly Caseworker Visit Funds;
- CFCIP and ETV;
- Adoption Incentive Funds;
- Child Welfare Waiver Demonstrations approved under section 1130 of the Act, as appropriate; and
- Training activities in support of the CFSP goals and objectives, including training funded by titles IV-B and IV-E;

Please note that while there is no requirement to submit a new five-year plan for the CAPTA state grant, federal law requires states, to the maximum extent practicable, to coordinate their CAPTA state grant plan with their title IV-B plans (section 106(b)(2)(A) of CAPTA). Therefore, in developing the 2015-2019 CFSP, states should consider how activities funded by the CAPTA state grant support the achievement of the state's CFSP goals and objectives and incorporate reference to these activities, as appropriate.

**The 2015-2019 CFSP must contain all of the information described below.**

### 1. General Information

#### *State agency administering the programs*

Identify the name of the state agency that will administer the title IV-B programs under the plan. Describe the organization, its function, and the organizational unit responsible for the plan. Except as provided by statute, the same agency is required to administer or supervise the administration of all programs under titles IV-B, IV-E, and XX of the Act. Please include organizational charts (45 CFR 1357.15(e)(1) and (2)).

#### *Vision Statement*

Provide a vision statement that articulates the state's philosophy in providing child and family services and developing or improving a coordinated service-delivery system. The vision should

reflect the service principles cited above, which appear in federal regulations at 45 CFR 1355.25 (45 CFR 1357.15(g)).

### *Collaboration*

- Describe how state has engaged and will continue to engage in substantial, ongoing and meaningful collaboration with stakeholders, tribes, and courts in the development and implementation of the 2015-2019 CFSP and, if applicable, any state CFSR PIP or title IV-E PIP. Meaningful collaboration means that the state agency and the stakeholders, tribes, and courts identify and work toward shared goals and activities, assess outcomes, and develop strategic plans to increase the safety, permanency, and well-being of children in the child welfare system (45 CFR 1357.15(l)).
- The description should specify how stakeholders, tribes, and courts were involved in key aspects of the 2015-2019 CFSP development such as: 1) the review of data, 2) assessment of agency strengths and areas needing improvement, and 3) the selection of goals and objectives for improvement for the 2015-2019 CFSP. The description must also specify how stakeholders, tribes, and courts will be involved throughout the five year period in the implementation of the goals and objectives and in the monitoring and reporting of progress (45 CFR 1357.15(l)(4)).

## 2. Assessment of Performance

In order to assess state performance on child and family outcomes and agency systemic factors, the state must provide relevant and reliable data on its performance on each of the seven CFSR child and family outcomes and each of the seven CFSR systemic factors. (See 45 CFR 1355.34(b) for the seven CFSR outcomes and 1355.34(c) for the seven CFSR systemic factors.) To the extent available, the state must use its most recent data profile, national standards, data related to systemic capacity, its case record review data and other relevant data for this assessment. States are encouraged to include data that shows performance over time and must indicate the sources and time period(s) for the data provided. If the state does not have sufficient, accurate, timely data to assess performance for an outcome, the state must note these concerns in this section and include further information as applicable in Quality Assurance (this section below) and Goals (in section D3).

The state must identify strengths and concerns related to the state's performance on each outcome and each systemic factor. States are encouraged to include an analysis of data regarding significant areas of concern with particular focus on those areas that may inform state decisions about goals, objectives, interventions and target populations.

### Child And Family Outcomes

#### *Safety Outcomes 1 and 2 (1355.34 (b)(1)(i))*

Safety Outcomes include: (A) children are first and foremost, protected from abuse and neglect; and (B) children are safely maintained in their own homes whenever possible and appropriate.

- For each of the two Safety Outcomes, the state must include in the 2015-2019 CFSP available data demonstrating the state's performance. Data must include state

- performance on the two federal safety measures, relevant case record review data, and key available data from the state information system (such as data on timeliness of investigation).
- Based on these data and input from stakeholders, tribes and courts; the state must include in the 2015-2019 CFSP a brief assessment of strengths and concerns regarding Safety Outcomes 1 and 2.

*Permanency Outcomes 1 and 2 (1355.34 (b)(1)(ii))*

Permanency Outcomes include: (A) children have permanency and stability in their living situations; and (B) the continuity of family relationships is preserved for children.

- For each of the two Permanency Outcomes, the state must include in the 2015-2019 CFSP available data demonstrating the state's performance. Data must include state performance on the federal permanency measures and relevant available case record review data,
- Based on these data and input from stakeholders, tribes and courts; the state must include in the 2015-2019 CFSP a brief assessment of strengths and concerns regarding Permanency Outcomes 1 and 2.

*Well-being Outcomes 1, 2 and 3 (1355.34(b)(1)(iii))*

Well-being Outcomes include: (A) families have enhanced capacity to provide for their children's needs; (B) children receive appropriate services to meet their educational needs; and (C) children receive adequate services to meet their physical and mental health needs.

- For each of the three Well-being Outcomes, the state must include in the 2015-2019 CFSP available data demonstrating the state's performance. Data must include relevant available case record review data and relevant data from the state information system (such as information on caseworker visits with parents and children).
- Based on these data and input from stakeholders, tribes and courts; the state must include in the 2015-2019 CFSP a brief assessment of strengths and concerns regarding Well-being Outcomes 1, 2, and 3.

Systemic Factors

*Information System (45 CFR 1355.34(c)(1))*

The 2015-2019 CFSP must include:

- Available data and information that demonstrates the functioning of the state's operational information system that readily identifies the status, demographic characteristics, location, and goals for the placement of every child who is (or within the immediately preceding 12 months, has been) in foster care.
- Based on these data and input from stakeholders, tribes and courts; the state must include in the 2015-2019 CFSP a brief assessment of strengths and concerns regarding this systemic factor.

*Case Review System (45 CFR 1355.34(c)(2))*

The 2015-2019 CFSP must include:

- Available data and information that demonstrates the functioning of the case review systemic factor.
- Based on these data and input from stakeholders, tribes and courts; the state must include in the 2015-2019 CFSP a brief assessment of strengths and concerns regarding this systemic factor.

*Quality Assurance System (45 CFR 1355.34(c)(3))*

As part of last year's APSR, states were required to assess their current QA/CQI system based upon the information shared in ACYF-CB-IM-12-07, issued August 27, 2013. In the IM, CB advised states to focus on the following:

- Foundational administrative structure;
- Quality data collection;
- Case record review data and process;
- Analysis and dissemination of quality data; and
- Feedback to stakeholders and decision makers and adjustment of programs and process.

For the 2015-2019 CFSP, the state should review the 2014 APSR assessment of the state's QA/CQI system and CB's CQI status letter to the state concerning how the state CQI system could be enhanced. The state must provide an updated assessment and describe strengths, concerns, and enhancements to the QA/CQI system.

*Staff Training (45 CFR 1355.34 (c)(4))*

To the extent not already addressed in Implementation Support (in section D3) and the Training Plan (in section D10) the 2015-2019 CFSP must include:

- Available data and information that demonstrates the functioning of the systemic factor regarding staff training.
- Based on this data and input from stakeholders, tribes and courts; the state must include in the 2015-2019 CFSP a brief assessment of strengths and concerns regarding this systemic factor

*Service Array (45 CFR 1355.34(c)(5))*

To the extent not already addressed in Service Description (in section D4), the 2015-2019 CFSP must include:

- Available data and information that demonstrates the functioning of the service array systemic factor.
- Based on this data and input from stakeholders, tribes and courts; the state must include in the 2015-2019 CFSP a brief assessment of strengths and concerns regarding this systemic factor.

*Agency Responsiveness to the Community (45 CFR 1355(c)(6))*

To the extent not already covered in Collaboration (in section D1) and Service Coordination (in section D4), the 2015-2019 CFSP must include:

- Available data and information that demonstrates the functioning of the systemic factor regarding agency responsiveness to the community.

- Based on these data and input from stakeholders, tribes and courts; the state must include in the 2015-2019 CFSP a brief assessment of strengths and concerns regarding this systemic factor.

*Foster and Adoptive Parent Licensing, Recruitment, and Retention (45 CFR 1355.34 (c)(7))*

To the extent not already addressed in the Foster and Adoptive Parent Diligent Recruitment Plan in section D10, the 2015-2019 CFSP must include:

- Available data and information that demonstrates the functioning of the licensing and recruitment systemic factor.
- Based on these data and input from stakeholders, tribes and courts; the state must include in the 2015-2019 CFSP a brief assessment of strengths and concerns regarding this systemic factor.

### 3. Plan for Improvement

The 2015-2019 CFSP must address the state's plan for improving its program, services, and outcomes for children and families over the five year period.

*Goals (45 CFR 1357.15(h))*

- Specify the goals that the state child welfare agency seeks to accomplish during the five-year period of the 2015-2019 CFSP. The goals are to be based on the vision statement; the assessment of CFSR outcomes and systemic factors (in section D2) and other reported data (refer to section C9); discussion with stakeholders, tribes, and courts; and joint planning with CB.
- Identify several broad goals that address priority concerns and focus on a few significant areas of improvement to be addressed during the five-year period. In addition, the state is encouraged to include a goal for improvement of its CQI system if the child welfare agency does not have a comprehensive CQI system as described in ACYF-CB-IM 12-07, issued August 27, 2013 or does not have accurate and complete information to assess its performance on outcomes or systemic factors. (Refer to section D2).
- Express goals in terms of improved outcomes for safety, permanency, and well-being of children and families, improved systemic capacity and in terms of a more comprehensive, coordinated, and effective child and family service delivery system.
- For each goal selected, include a rationale for its selection, including data and analysis that supports the decision.

*Objectives (45 CFR 1357.15(i))*

- Identify realistic, specific, quantifiable, and measurable objectives that will be undertaken to achieve each goal. Each objective must describe the interventions to be implemented to accomplish the goal.
- For each objective, identify the outcomes for children, youth, and/or their families or elements of service delivery such as systemic capacity expected to be improved by implementing the selected intervention.



- Include a rationale for selection of each of the interventions, including the data and analysis that supports the decision and the evidence, research or experience that shows that the intervention is likely to achieve the identified goals.
- Ensure that the objectives selected are designed to make progress in expanding and strengthening the range of existing services, developing new types of services, covering additional political subdivisions, and reaching additional children in need of services.

*Measures of progress (45 CFR 1357.15(j))*

- For each goal, identify the measures to be used and the amount of progress to be made. Examples of measures include improvements stated in terms of national standards for safety and permanency, case record review items, or other available data identified through joint planning. Data used to measure progress must be valid and reliable.
- For each objective, include both interim benchmarks and a timetable for achieving the objective over the five-year period. These benchmarks should contain sufficient detail to support reporting in subsequent APSRs on the progress the state is making in implementing the improvements. Benchmarks may be stated in terms of implementation milestones, such as key activities completed or process measures. The state is encouraged to identify interim targets for improvement of outcome measures.

*Staff Training, Technical Assistance and Evaluation (45 CFR 1357.15(t))*

- As detailed in section D10 (Training Plan), the 2015-2019 CFSP must include a staff development and training plan in support of the goals and objectives of the CFSP. Explain how the training activities identified in the training plan are designed to support the goals and objectives in the plan.
- Describe technical assistance activities that will be undertaken and how they will support the goals and objectives of the plan.
- Describe any evaluation and research activities underway or planned with which the state agency is involved or participating and how they support and are related to the goals and objectives in the plan.

*Implementation Supports*

To promote successful implementation of its goals and objectives, all states are encouraged to: 1) identify in the 2015-2019 CFSP the supports needed to implement each goal and objective; and 2) a plan for ensuring the supports are or will be put in place. Examples of implementation supports include: staffing, training and coaching, financing, data systems, policies, physical space, equipment, and memoranda of understanding with other agencies.

#### 4. Services

*Child and Family Services Continuum (45 CFR 1357.15(n))*

Describe the publicly funded child and family services continuum, including child abuse and neglect prevention, intervention, and treatment services and foster care; family preservation services; family support services; and services to support reunification, adoption, kinship care, independent living, and services for other permanent living arrangements.

*Service Coordination (45 CFR 1357.15(m))*

- Explain how the services will be linked to, coordinated with, or integrated into other services in the child and family services continuum and how services under the plan will be coordinated over the five-year period with services or benefits under other federal or federally assisted programs serving the same populations to achieve the goals and objectives in the plan.
- Describe who participates in the coordination process and provide examples of how the process led or will lead to additional coordination of services.
- Discuss the approach to include, and the involvement of, stakeholders including families, youth, tribes, other federally funded programs (e.g., Temporary Assistance for Needy Families, Medicaid, Child Care, Head Start, Supplemental Nutrition Assistance Program, and Community-Based Child Abuse Prevention programs, etc.); and state, local, tribal and community-based public and private providers for programs such as substance abuse domestic violence, behavioral health, schools, developmental disability, private child welfare services, etc.

*Service Description (45 CFR 1357.15(o))*

- Describe the services the state offers under each category in title IV-B, subpart 2: family preservation, family support, time-limited family reunification, and adoption promotion and support services. The description must address services currently available to families and children; the extent to which each service is available and being provided in different geographic areas and to different types of families.
- Provide an assessment of the strengths and gaps in service, including mismatches between available services and family needs as identified through available data, including the CFSR results, and the consultation process. The state may cross-reference Service Array (in section D2) rather than including data and an analysis of strengths and concerns in this section.
- Indicate the specific percentages of title IV-B, subpart 2, funds the state will expend on actual service delivery of family preservation, community-based family support, time-limited family reunification and adoption promotion and support services, and on planning and service coordination, with a rationale for the decision. The state must provide an especially strong rationale if the percentage provided for any one of the four service categories is below 20 percent. The amount allocated to each of the service categories should include only funds for service delivery. Report separately the amount to be allocated to planning and service coordination. Provide the estimated expenditures for the described services on the CFS-101.

*Service Decision-Making process for Family Support Services (45 CFR 1357.15(r))*

Explain how agencies and organizations were selected for funding to provide family support services and how these agencies are community-based.

*Populations at Greatest Risk of Maltreatment (section 432(a)(10) of the Act)*

Identify and describe which populations are at the greatest risk of maltreatment, how the state identifies these populations and how services will be targeted to those populations over the next five years.

*Services for Children Under the Age of Five (section 422(b)(18) of the Act)*

- Describe the activities the state has undertaken and plans to undertake during the period of the 2015-2019 CFSP to reduce the length of time that young children under age five are in foster care without a permanent family. *(Note: CB understands this requirement to apply to all children under age 5 in foster care regardless of the child's permanency plan, legal status or placement status.)*
- Describe the state's plan to provide developmentally appropriate services to this population over the next five years.

*Services for Children Adopted from Other Countries (section 422(b)(11) of the Act)*

- Describe the activities that the state has undertaken to support the families of children adopted from other countries.
- Describe the activities that the state plans to take over the next five years to support children adopted from other countries, including the provision of adoption and post-adoption supports.

5. Consultation and Coordination Between States and Tribes

As referenced throughout this PI, states are expected to consult, collaborate and coordinate with all federally recognized tribes within their jurisdiction on all aspects of the development and oversight of the 2015-2019 CFSP. Federal law and regulations also separately identify several key child welfare issues about which the state must consult and coordinate with tribes and then report on the outcome of these discussions. These issues include state compliance with ICWA; the arrangements for providing services in relation to permanency planning for tribal children, whether in the care of the state or tribe; and the provision of independent living services under the CFCIP. States without federally-recognized tribes within their borders should still consult with tribal representatives.

In the 2015-2019 CFSP, states must address the following:

- Describe the process used to gather input from tribes for the development of the 2015-2019 CFSP, including the steps taken by the state to reach out to all federally recognized tribes in the state. Provide specific information on the name of tribes and tribal representatives with whom the state has consulted. Please provide information on the outcomes or results of these consultations. States may meet with tribes as a group or individually. (See 45 CFR 1357.15(l).)
- Provide a description of the state's plan for ongoing coordination and collaboration with tribes in the implementation and assessment of the CFSP and monitoring and improvement of the state's compliance with the ICWA. Describe any barriers to this coordination and the state's plans to address these barriers.
- Provide a description of the understanding, gathered from discussions with tribes, as to who is responsible for providing the child welfare services and protections for tribal children delineated at section 422(b)(8) of the Act, whether they are under state or tribal

jurisdiction. These services and protections include operation of a case review system (as defined in section 475(5) of the Act) for children in foster care; a preplacement preventive services program for children at risk of entering foster care to remain safely with their families; and a service program for children in foster care to facilitate reunification with their families, when safe and appropriate, or to place a child in an adoptive home, legal guardianship or other planned, permanent living arrangement. In describing roles with respect to the case review system, please discuss whether and how the state and tribe have addressed the requirement to obtain credit reports for tribal children ages 16 and older in foster care, as required by section 475(5)(I) of the Act, and any challenges that have been encountered in this process. (See 45 CFR 1357.15(q).)

- Identify sources of data to assess the state's ongoing compliance with ICWA, including input obtained through tribal consultation, assess the state's level of compliance with the ICWA. (See section 422(b)(9) of the Act.) Some components of ICWA that states must address in consultation with tribes include:
  - Notification of Indian parents and tribes of state proceedings involving Indian children and their right to intervene;
  - Placement preferences of Indian children in foster care, pre-adoptive, and adoptive homes;
  - Active efforts to prevent the breakup of the Indian family when parties seek to place a child in foster care or for adoption; and
  - Tribal right to intervene in state proceedings, or transfer proceedings to the jurisdiction of the tribe.
- Describe the specific steps the state will take during the next five years to improve or maintain compliance with ICWA based on the discussion with tribes. Include information on any planned changes to laws, policies, procedures, communications strategies, trainings or other activities to improve compliance with ICWA.
- Provide information regarding discussions with Indian tribes in the state specifically as it relates to the CFCIP. This instruction is further delineated in section D6 of this PI.
- State agencies and tribes must also exchange copies of their 2015-2019 CFSP and their APSRs (45 CFR 1357.15(v)). Describe how the state will meet this requirement for the 2015-2019 CFSP and the plan for exchanging future APSRs.

In carrying out continued collaborations and coordination with tribes on child welfare programs, states should be aware that section 479B of the Act allows federally-recognized tribes, tribal consortia, and tribal organizations to apply to ACF to receive, at tribal option, title IV-E funds directly for foster care, adoption assistance, and for guardianship assistance programs. A tribe may also seek to enter into an agreement with the state to administer all or part of the title IV-E program on behalf of Indian children under the authority of the tribe. States are reminded that section 471(a)(32) requires states to negotiate in good faith with any federally recognized tribe, tribal organization or tribal consortium in the state that requests to develop a IV-E agreement with the state. In addition, section 477(j) of the Act creates an option for tribes, with an

approved title IV-E plan or a title IV-E tribal/state agreement, to receive directly from ACF a portion of the state's CFCIP and/or ETV allotments to provide services to tribal foster/former foster youth.

The opportunity to operate a title IV-E, CFCIP, and/or ETV program is not time limited. A tribe has the discretion to determine whether or when it wants to develop its own title IV-E, CFCIP, and/or ETV programs. States remain responsible for serving resident Indian children who are not otherwise being served by an Indian tribe under an agreement with the state or under a direct title IV-E, CFCIP, and/or ETV plan (section 301(d)(2) of P.L. 110-351).

#### 6. Chafee Foster Care Independence Program (CFCIP)

##### *Background*

The Chafee Foster Care Independence Program, including the Education and Training Voucher Program, provides supports and services to youth who are likely to age out of foster care and to those young adults ages 18 – 21 who have left foster care. As outlined in section 477(a)(1 – 7) of the Act, there are seven broad program purposes to CFCIP:

- Help youth likely to remain in foster care until age 18 transition to self-sufficiency by providing services;
- Help youth likely to remain in foster care until age 18 receive the education, training, and services necessary to obtain employment;
- Help youth likely to remain in foster care until age 18 prepare for and enter post-secondary training and educational institutions;
- Provide personal and emotional support to youth aging out of foster care through mentors and the promotion of interactions with dedicated adults;
- Provide financial, housing, counseling, employment, education, and other appropriate support and services to former foster care recipients between 18 and 21 years of age to complement their own efforts to achieve self-sufficiency and to assure that program participants recognize and accept their personal responsibility for preparing for and then making the transition into adulthood;
- Make available vouchers for education and training, including postsecondary education, to youth who have aged out of foster care; and
- Provide services to youth who, after attaining 16 years of age, have left foster care for kinship guardianship or adoption.

Since the 2010-2014 CFSP, there have been a number of important developments and changes in federal laws and programs relating to the services and supports for youth/young adults in transition from foster care. These developments include:

- On October 1, 2010, states began to collect and report information on independent living services and outcomes related to youth in transition as part of the National Youth in Transition Database (NYTD). (See 45 CFR 1356.80 et seq.)
- Since October 1, 2010, states have had the option to amend their title IV-E plan to operate a title IV-E foster care, adoption assistance, and kinship guardianship assistance programs for young adults ages 18 to 21 (section 475(8) of the Act.) As of January 2014, 19 states have been approved for this option.<sup>4</sup>
- As required by amendments to the title IV-E case review system requirements, child welfare agencies are now responsible for assisting youth in developing a personalized transition plan that includes specific options on housing, health insurance, the importance of designating a health care proxy, education, local opportunities for mentors and continuing support services, and work force supports and employment services (section 475(5)(H) of the Act).
- Child welfare agencies must also check the credit reports of youth aged 16 and older in foster care, providing youth copies of the reports and assisting them in interpreting the reports and resolving any inaccuracies (section 475(5)(I) of the Act).

In addition, research has added some significant information about how services are provided. As part of ACF's multi-site evaluation of CFCIP, select independent living programs were reviewed. In final selection, four programs, typical of independent living programs across the nation, were evaluated between 2001 and 2010.<sup>5</sup> The evaluation suggests that the use of generic, low dosage, "light touch," classroom-based instruction of independent living skills (and other interventions) may not be producing the outcomes intended. The evaluation also found that few independent living programs are guided by a logic model or informed by evidence-based practice.

Based on the changing landscape of services and supports to youth, increased data, and research now available to inform development of services for youth in transition to adulthood, the 2015-2019 CFSP presents an opportunity for states to develop a state plan for the five-year period that better aligns services and support available in the state to the diverse needs of youth/young adults. In developing the CFCIP portion of the 2015-2019 CFSP, CB expects states to:

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<sup>4</sup> In addition, we know several states have begun or continued state-funded extended foster care programs.

<sup>5</sup> Please see: [http://www.acf.hhs.gov/programs/opre/resource-library/search?topic\[2872\]=2872](http://www.acf.hhs.gov/programs/opre/resource-library/search?topic[2872]=2872) for more information.

- Engage a diverse group of youth presently in care as well as former foster youth, as critical stakeholders in the development of the state plan. The National Resource Center for Youth Development has developed several “Toolkits” for youth engagement. Please see resources at: <http://www.nrcyd.ou.edu/learning-center/publications/Youth%20Leadership%20Toolkit/All>.
- Review its existing policies and procedures relating to youth in transition out of foster care and the array of services the state has provided over the past five years, including those contracted out, to determine how those services meet the needs of the youth and young adults served by CFCIP.
- Use data to inform an assessment of strengths and gaps in the state’s array of services for youth in transition from foster care. States report services data to NYTD, and states may want to examine which youth have received services over multiple years and examine patterns of use, youth characteristics, foster care history, and/or progressions in educational levels.<sup>6</sup> States may also want to examine their data to determine which and how many services are provided to specific subgroups of youth or young adults to improve and better target services. Some questions to consider include:
  - Of the youth who have been identified as receiving special education, how many have received educational, employment/vocational, or academic support services?
  - For youth in foster care with a permanency goal of emancipation and who also have been reported as receiving services, how many received financial, career, supervised independent living, or academic support services?
  - Are services provided to youth remaining in foster care different in type and frequency to those of youth no longer in foster care?
  - Do service types and frequency differ for tribal youth and non-tribal youth?

***Instructions for CFCIP Portion of 2015-2019 CFSP***

In the 2015-2019 CFSP, states are required to address each of the following. To the extent that items have been addressed in other portions of the plan, the state may cross-reference to those sections.

***Agency Administering CFCIP (section 477(b)(2) of the Act)***

Identify the state agency or agencies that will administer, supervise, or oversee the CFCIP. Describe how the agency that administers the program provides oversight to the programs or agencies that directly provide CFCIP services and supports.

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<sup>6</sup> States are reminded that information related to NYTD can be viewed in “snapshot” format on the NYTD portal. While the “snap shot” only provides an overview of the NYTD data, it can be a resource to talk with youth and other stakeholders about services and outcomes.

### *Description of Program Design and Delivery*

- Describe how the state designed, intends to deliver, and strengthen programs to achieve the purposes of the CFCIP over the next five years (section 477(b)(2)(A) of the Act).
- Describe how the state has involved youth/young adults in the development of the plan for CFCIP.
- Describe how the state is both informing stakeholders, tribes, and courts; and involving them in the analysis of the results of the NYTD data collection and how it is using these data and any other available data in consultation with youth and other stakeholders to improve service delivery.
- Provide information of the state's plan to continue to collect high-quality data through NYTD over the next five years.

### *Serving Youth Across the State*

- Describe how the state has ensured and will continue to ensure that all political subdivisions in the state are served by the program, though not necessarily in a uniform manner (section 477(b)(2)(B) of the Act).
- Provide relevant data from NYTD or other sources that addresses how services vary by region or county.

### *Serving Youth of Various Ages and States of Achieving Independence*

- Describe how youth of various ages and at various stages of achieving independence are to be served (section 477(b)(2)(C) of the Act.) Please describe any state or other administrative barriers to serving youth/ young adults.
- In particular, describe how the state is serving: (1) youth under age 16; (2) youth ages 16 to 18; (3) youth ages 18 through 20 in foster care; (4) former foster youth ages 18 through 20; and (4) youth who, after attaining 16 years of age, have left foster care for kinship guardianship or adoption.
- Identify any assessments or other tools the state uses to determine which youth are likely to remain in foster care and/or to evaluate young peoples' stage of development and how these assessments inform the provision of services.
- Identify any state statutory and/or administrative barriers that impede the state's ability serve a broad range of youth and how these barriers can be addressed.

States must also note and address the following requirements specific to youth ages 18 through 20:

- States are required to certify (by signing the Certification in Attachment C) that no more than 30 percent of their allotment of federal CFCIP funds will be expended for room and board for youth who left foster care after the age of 18 years of age but have not yet attained 21 years of age (section 477(b)(3)(B) of the Act). In the 2015-2019 CFSP, specify the state's definition of "room and board" (see also Child Welfare Policy Manual section 3.1G). Describe the approach the state is using to make room and board available to youth ages 18 through 20 who are not in foster care.



- For states that extended or plan to extend title IV-E foster care assistance to young people ages 18 – 21, address how implementation of this program option has changed or will change the way in which CFCIP services are targeted to support the transition to self-sufficiency (including changes in the degree to which CFCIP funds are used for room and board).
- If the state extended title IV-E foster care assistance over age 18, the state must provide available data on participation and discuss how it affects or may drive continuous quality improvement in the delivery of CFCIP services. The state may want to consider the following questions:
  - How many young adults remain in foster care at their 18<sup>th</sup> birthday and under what program conditions (e.g., to complete high school, participate in postsecondary education)?;
  - In what type of placements settings are young adults living in after the age of 18 and how are they appropriate to their developmental needs?;
  - What services and supports do young adults 18 through 20 in employment settings (e.g., those who work 80 hours a month or are in a program designed to remove barriers to employment) receive?;
  - What services are in place for special needs populations (i.e., young adults who are pregnant and parenting; young adults with histories of substance abuse, mental health, and/or trafficking; youth with criminal histories; young adults with disabilities) who are 18 or older and receive title IV-E foster care assistance?;
  - Under what circumstances do young adults leave the extended foster care before the higher age elected program and what supports are available during this transition?; and
  - How are the youth’s educational goals supported?

#### *Collaboration with Other Private and Public Agencies*

- Discuss how the state involves the public and private sectors in helping adolescents in foster care achieve independence (section 477(b)(2)(D) of the Act). Please include information on any campaigns to raise awareness on the needs of youth/young adults in foster care.
- Discuss efforts to coordinate the state’s CFCIP with “other federal and state programs for youth (especially transitional living programs funded under Part B of the Juvenile Justice and Delinquency Prevention Act of 1974,) abstinence programs, local housing programs, programs for disabled youth (especially sheltered workshops), and school-to-work programs offered by high schools or local workforce agencies” in accordance with section 477(b)(3)(F) of the Act. This discussion should include plans to continue to coordinate services with youth shelters and other programs serving youth/ young adults at-risk of homelessness.
- Additionally, states should discuss how the state’s CFCIP coordinates with the state Medicaid agency to implement the provisions in the Patient Protection and Affordable Care Act (ACA)(P.L. 111-148) that requires mandatory medical coverage to individuals

who are under the age of 26, were in foster care under the responsibility of the title IV-E agency at age 18 or a higher age if the agency so offers for title IV-E foster care assistance, and were enrolled in Medicaid or under a waiver of the plan while in foster care (known as the former foster youth provision). In addition, states have the option to provide Medicaid to individuals under this eligibility group who were in foster care and enrolled in Medicaid in any state at the relevant point in time.

- Discuss how the child welfare agency collaborated with governmental or other community entities to promote a safe transition to independence by reducing the risk that youth and young adults in the child welfare system will be victims of human trafficking.

*Determining Eligibility for Benefits and Services (section 477(b)(2)(E) of the Act)*

Address how the state uses objective criteria to determine eligibility for benefits and services under the programs, and for ensuring fair and equitable treatment of benefit recipients.

Please Note: States may not deny eligibility for independent living services to a youth who otherwise meets the eligibility criteria but who is temporarily residing out of state, and that states may not terminate ongoing independent living assistance solely due to the fact that a youth is temporarily residing out of state.

*Cooperation in National Evaluations*

Provide a statement that indicates that the state agency will cooperate in any national evaluations of the effects of the programs in achieving the purposes of CFCIP.

***Education and Training Vouchers (ETV) Program***

Section 477(a)(6) makes available vouchers for education and training, including postsecondary training and education to youth who have aged out of foster care or who, after attaining age 16, have left foster care for adoption or kinship guardianship.

In the 2015-2019 CFSP, states must:

- Describe the methods the state uses to operate the ETV program efficiently.
- Describe the methods the state will use to: (1) ensure that the total amount of educational assistance to a youth under this and any other federal assistance program does not exceed the total cost of attendance (as defined in section 472 of the Higher Education Act of 1965); and (2) to avoid duplication of benefits under this and any other federal or federally assisted benefit program. (See sections 477(b)(3)(J) and (i)(5) of the Act, and Attachment C of this PI.)

In order to use data to improve and strengthen the ETV program and to increase program implementation, states should use the 2015-2019 CFSP to meet with various constituents and stakeholders, specific to ETV, to establish goals and outcomes for the ETV program, in combination with other state resources (e.g. tuition waivers), and how those goals are to measured.

In order to support the ability to provide a national picture of the use of ETVs, the 2015-2019 CFSP should contain information on the methodology to provide to CB an unduplicated number of ETVs awarded each school year (July 1<sup>st</sup> to June 30<sup>th</sup>). If the state is currently unable to provide this number as requested, technical assistance should be requested and the steps should be outlined to be able to report this number each and every year. (Please see Attachment F on how states will continue to report this information).

*Consultation with Tribes (section 477(b)(3)(G))*

States must consult with and coordinate with each Indian tribe in the state and ensure that benefits and services under the program will be available to Indian children in the state on the same basis as to other children in the state.

In carrying out tribal consultation, states should note that tribes with an approved title IV-E plan or a title IV-E tribal/state agreement have the option to receive directly from ACF a portion of the state's CFCIP and/or ETV allotments to provide services to tribal foster/ former foster youth (section 477(j) of the Act).

Section 477(b)(3)(G) of the Act also requires states to certify that the state will negotiate in good faith with any tribe that does not receive a CFCIP and/or ETV allotment directly from ACF for a fiscal year and requests to develop an agreement to administer, supervise, or oversee the CFCIP or an ETV program with respect to eligible Indian children and receive an appropriate portion of the state's allotment for such administration or supervision.

- Describe the results of the state's consultation with Indian tribes as it relates to determining eligibility for CFCIP/ETV benefits and services and ensuring fair and equitable treatment for Indian youth in care. Specifically:
  1. Describe how each Indian tribe in the state has been consulted about the programs to be carried out under the CFCIP.
  2. Describe the efforts to coordinate the programs with such tribes.
  3. Discuss how the state ensures that benefits and services under the programs are made available to Indian children in the state on the same basis as to other children in the state.
  4. Report the CFCIP benefits and services currently available and provided for Indian children and youth.
  5. Report on whether any tribe requested to develop an agreement to administer, supervise, or oversee the CFCIP or an ETV program with respect to eligible Indian children and to receive an appropriate portion of the state's allotment for such administration or supervision. Describe the outcome of that negotiation and provide an explanation if the state and tribe were unable to come to an agreement.

### *CFCIP Program Improvement Efforts*

- Describe the state's plan to consult with and involve youth in the CFCIP and related agency efforts (e.g., CFSR) over the next five years.
- Describe the state's plans to continuously involve youth in assessment, improvement, and evaluation of CFCIP services and outcomes for youth over the next five years.

### *CFCIP Training*

States must provide information on specific training planned for FY 2015 through 2019 in support of the goals and objectives of the states' CFCIP. CFCIP training may be incorporated into the training information discussed in section D2 or D10 for the 2015-2019 CFSP, but should be identified as pertaining to CFCIP.

## 7. Monthly Caseworker Visit Formula Grants and Standards for Caseworker Visits

In FY 2015 and thereafter, states must ensure the total number of monthly caseworker visits is not less than 95 percent of the total visits that would be made if each child were visited once per month. In addition, at least 50 percent of the total number of monthly visits made by caseworkers to children in foster care must occur in the child's residence (section 424(f) of the Act). (See ACYF-CB-PI-12-01, issued January 6, 2012, for more information on monthly caseworker visit performance standards and data requirements.)

Monthly Caseworker Visit Grants are provided to states to improve the quality of caseworker visits with an emphasis on improving caseworker decision-making on the safety, permanency, and well-being of foster children and caseworker recruitment, retention and training (section 436(b)(4)(B)(i) of the Act).

In the 2015-2019 CFSP:

- Describe the state's standards for the content and frequency of caseworker visits for children who are in foster care under the responsibility of the state, which, at a minimum, ensure that the children are visited on a monthly basis and that caseworker visits are well-planned and focused on issues pertinent to case planning and service delivery to ensure the safety, permanency and well-being of the children (section 422(b)(17) of the Act).
- Describe how the state plans to use the Monthly Caseworker Visit Grant over the next five year to improve the quality of caseworker visits, to meet state and federal standards for caseworker visits, and to improve caseworker recruitment, retention and training. Note that Monthly Caseworker Visit Grant funds may not be used to supplant funding provided to the state under the title IV-E program (section 436(b)(4)(B)(ii) of the Act).

## 8. Adoption Incentive Payments (section 473A of the Act)

To facilitate, efficient spending of any Adoption Incentives funds, states must address their plans for use of these funds in the 2015-2019 CFSP:

- Describe the services the state expects to provide to children and families using Adoption Incentives funds (section 473A(f) of the Act); and
- Describe the state's plan to ensure timely expenditure of the funds in accordance with section 473A(e) of the Act.

## 9. Child Welfare Waiver Demonstration Activities (applicable States only)

If the state has an approved child welfare demonstration project under section 1130 of the Act, the demonstration's goals and activities should be integrated into the CFSP to the extent that they represent the state's vision for its child welfare system as a whole. The state should also describe how programs and activities funded by the flexible use of title IV-E dollars will be coordinated with programs traditionally funded by title IV-B.

## 10. Targeted Plans within the CFSP

States are required to submit the following four plans as discreet sections of their 2015-2019 CFSP; Foster and Adoptive Parent Diligent Recruitment Plan; Health Care Oversight and Coordination Plan; Disaster Plan; and Training Plan.

### *Foster and Adoptive Parent Diligent Recruitment Plan*

Section 422(b)(7) of the Act requires that the state provide for the diligent recruitment of foster and adoptive families that reflect the ethnic and racial diversity of children in the state for whom foster and adoptive homes are needed. For the 2015-2019 CFSP, the Foster and Adoptive Parent Recruitment Plan should reflect the activities to be conducted over the next five years to ensure that there are foster and adoptive homes that meet the needs of the infants, children, youth, and young adults (including those over the age of 18 who are in foster care) served by the child welfare agency.

CB expects that a comprehensive recruitment plan will include:

- A description of the characteristics of children for whom foster and adoptive homes are needed;
- Specific strategies to reach out to all parts of the community;
- Diverse methods of disseminating both general information about being a foster/adoptive parent and child specific information;
- Strategies for assuring that all prospective foster/ adoptive parents have access to agencies that license/approve foster/adoptive parents, including location and hours of services so that the agencies can be accessed by all members of the community;
- Strategies for training staff to work with diverse communities including cultural, racial, and socio-economic variations;
- Strategies for dealing with linguistic barriers;
- Non-discriminatory fee structures; and

- Procedures for a timely search for prospective parents for a child needing an adoptive placement, including the use of exchanges and other interagency efforts, provided that such procedures ensure that placement of a child in an appropriate household is not delayed by the search for a same race or ethnic placement.

In future APSRs, the state will describe the progress and accomplishments in implementing the state's Foster and Adoptive Parent Recruitment Plan submitted as part of the 2015-2019 CFSP.

States are encouraged to utilize the resources and information developed by the National Resource Center for Diligent Recruitment at AdoptUSKids (<http://www.adoptuskids.org/about-us/national-resource-center-for-diligent-recruitment>), including the new Diligent Recruitment Navigator: <http://www.adoptuskids.org/nrcdr/diligent-recruitment-navigator>.

#### *Health Care Oversight and Coordination Plan*

Section 422(b)(15)(A) of the Act requires states to develop a plan for the ongoing oversight and coordination of health care services for children in foster care. States must develop the plan in coordination with the state title XIX (Medicaid) agency, and in consultation with pediatricians and other experts in health care, and experts in and recipients of child welfare services.

The Health Care Oversight and Coordination Plan must include an outline of all of the items listed below, enumerated in statute at section 422(b)(15)(A)(i)-(vii) of the Act:

- A schedule for initial and follow-up health screenings that meet reasonable standards of medical practice;
- How health needs identified through screenings will be monitored and treated, including emotional trauma associated with a child's maltreatment and removal from home;
- How medical information will be updated and appropriately shared, which may include developing and implementing an electronic health record;
- Steps to ensure continuity of health care services, which may include establishing a medical home for every child in care;
- The oversight of prescription medicines, including protocols for the appropriate use and monitoring of psychotropic medications;
- How the state actively consults with and involves physicians or other appropriate medical or non-medical professionals in assessing the health and well-being of children in foster care and in determining appropriate medical treatment for the children; and
- Steps to ensure that the components of the transition plan development process required under section 475(5)(H) of the Act that relate to the health care needs of youth aging out of foster care, including the requirements to include options for health insurance, information about a health care power of attorney, health care proxy, or other similar document recognized under state law, and to provide the child with the option to execute such a document, are met.

For the 2015-2019 CFSP submission, states must provide a new Health Care Oversight and Coordination Plan. The new plan should reflect lessons learned since development of the prior plan and continue to strengthen activities to improve the health care and oversight of children and youth in foster care over the next five years.

In developing their Health Care Coordination and Oversight Plans and in developing health services for children and youth in foster care, states may find it helpful to reference the following bulletins and letters issued by HHS:

- ACYF-CB-IM-12-03, issued April 11, 2012, Promoting the Safe, Appropriate, and Effective Use of Psychotropic Medication for Children in Foster Care.
- CMS/CMCS Informational Bulletin on Prevention and Early Identification of Mental Health and Substance Use Conditions (March 27, 2013): <http://www.medicaid.gov/federal-policy-guidance/downloads/CIB-03-27-2013.pdf>.
- Joint CMS/CMCS-SAMHSA Informational Bulletin on Coverage of Behavioral Health Services for Children, Youth, and Young Adults with Significant Mental Health Conditions (May 7, 2013): <http://www.medicaid.gov/federal-policy-guidance/downloads/CIB-05-07-2013.pdf>
- Tri-Agency Letter on Trauma-Informed Treatment (July 11, 2013): <http://www.medicaid.gov/Federal-Policy-Guidance/Downloads/SMD-13-07-11.pdf>.
- Tri-Agency Letter on Appropriate Use of Psychotropic Medications among Children in Foster Care (November 23, 2011): <http://www.medicaid.gov/Federal-Policy-Guidance/downloads/SMD-11-23-11.pdf>.

#### *Disaster Plan*

Section 422(b)(16) of the Act requires that states have in place procedures explaining how the state programs assisted under title IV-B, subparts 1 and 2, and title IV-E, would respond to a disaster, in accordance with criteria established by the Secretary. These procedures, enumerated in section 422(b)(16)(A)-(E) of the Act, should describe how a state would:

- Identify, locate, and continue availability of services for children under state care or supervision who are displaced or adversely affected by a disaster;
- Respond, as appropriate, to new child welfare cases in areas adversely affected by a disaster, and provide services in those cases;
- Remain in communication with caseworkers and other essential child welfare personnel who are displaced because of a disaster;
- Preserve essential program records; and
- Coordinate services and share information with other states.

A Disaster Plan must be submitted as part of the 2015-2019 CFSP. In developing the 2015-2019 Disaster Plan, states should review the 2010-2014 Disaster Plan, and reflect on how the plan was used in any emergency or disaster situations in the past five years to determine if changes are needed.

Several resources have been developed to support the planning and preparedness of states to respond to a disaster, including:

- “Post-Disaster Reunification of Children: A Nationwide Approach” developed by the Federal Emergency Management Agency (FEMA) for helpful information on disaster planning. The document is located here: <http://www.fema.gov/media-library-data/1384376663394-eef4a1b4269de14faff40390e4e2f2d3/Post+Disaster+Reunification+of+Children+-+A+Nationwide+Approach.pdf>.
- “Children and Youth Task Force in Disasters: Guidelines for Development.” This document is located here: [https://www.acf.hhs.gov/sites/default/files/ohsepr/childrens\\_task\\_force\\_development\\_web.pdf](https://www.acf.hhs.gov/sites/default/files/ohsepr/childrens_task_force_development_web.pdf).
- “Coping with Disasters and Strengthening Systems: A Framework for Child Welfare Agencies.” This document is located here: <http://muskie.usm.maine.edu/helpkids/rcpdfs/copingwithdisasters.pdf>.

### *Training Plan*

The 2015-2019 CFSP must include a staff development and training plan in support of the goals and objectives in the 2015-2019 CFSP that addresses both of the title IV-B programs covered by the plan. This training plan also must include all training activities and costs funded under title IV-E programs as required by 45 CFR 1356.60(b)(2) and 1357.15(t). Training must be an ongoing activity and must include content from various disciplines and knowledge bases relevant to child and family services policies, programs, and practices. Training content must also support the cross-system coordination and consultation basic to the development of the CFSP.

Federal regulations at 45 CFR 235.63 through 235.66(a) describe the conditions under which federal matching funds are allowable as training. Among the conditions to be considered are who is being trained (including its specific relevance to the identified administrative activities allowable under Title IV-E), the scope and duration of the training, and the sources of non-federal matching. Certain costs for title IV-E agency staff participating in title IV-E trainings (i.e. trainees) of any duration are now entitled to federal matching at the 75 percent rate as specified in an approved cost allocation plan (section 474(a)(3) of the Act). Federal requirements governing the cost sharing for training activities among all benefiting programs and funding sources are discussed generally in OMB Cost Principles in federal regulations at 2 CFR Part 225, and more specifically in the Children’s Bureau’s Child Welfare Policy Manual at section 8.1H. Federal regulations pertaining to training are at 45 CFR 1356.60(b), 45 CFR 1357.15(t)(1) and 45 CFR 235.63 - 235.66(a).

P.L. 110-351 amended section 474(a)(3)(B) of the Act to create new trainee groups under which title IV-E agencies may claim the costs of short-term training of: relative guardians provided the title IV-E agency has opted in its title IV-E plan to provide kinship guardianship assistance payments to relatives; staff members of state/tribe-licensed or state/tribe-approved child welfare agencies providing services to children receiving title IV-E assistance; staff members of child abuse and neglect courts personnel; agency attorneys, attorneys representing children or parent; guardians ad litem, or other court-appointed special advocates representing children in proceedings of such courts, in ways that increase the ability of such current or prospective parents, guardians, staff members, institutions, attorneys, and advocates to provide support and assistance to foster and adopted children and children living with relative guardians, whether



incurred directly by the state or by contract. The federal financial participation (FFP) rate of federal reimbursement for allowable costs in such training is 75 percent; however, this rate is not available to cover the costs of any salary or fringe benefits for the categories of individuals specified in section 474(a)(3)(B) of the Act (e.g., professional partners working for agencies other than the title IV-E agency) who may participate in allowable title IV-E short-term trainings. If the state plans to claim FFP for providing training to any of these persons, the state's training plan must identify whether and how the agency will train persons in these new trainee groups consistent with the policies and regulations cited above.

In addition, each title IV-E state agency seeking to provide allowable training to individuals in the new trainee groups must also review its approved Public Assistance Cost Allocation Plan (PACAP) and any training contracts to assure that the costs of such training are properly identified, measured and allocated. To the extent that changes are necessary, a PACAP amendment must be submitted to HHS Division of Cost Allocation before filing such title IV-E claims.

The training plan for the 2015-2019 CFSP must include the information below:

- A description of the initial in-service training program for new or reassigned employees that includes a description of the content and scope of the classroom and work experience components of the training, as well as the duration of the initial in-service training period and the specific supports provided during this period.
- For all types of training (e.g., training for individuals preparing for employment, initial in-service training, ongoing in-service training, foster/adoptive/guardianship provider training, and the additional categories of short-term training authorized in section 474(a)(3)(B) of the Act) include the following information in the training plan:
  - a brief, one-paragraph syllabus of the training activity;
  - indication of the specifically allowable title IV-E administrative functions the training activity addresses;
  - indication of the setting/venue for the training activity;
  - indication of the duration category of the training activity (i.e., short-term, long-term, part-time, full-time);
  - indication of the proposed provider of the training activity;
  - specification of the approximate number of days/hours of the training activity;
  - indication of the audience to receive the training (see discussion above expanding the list of eligible trainees);
  - description of estimated total cost; and
  - cost allocation methodology.

## **Section E. Financial Information**

### **1. Payment Limitations – Title IV-B, Subpart 1**

- States may not spend more title IV-B, subpart 1, funds for child care, foster care maintenance and adoption assistance payments in FY 2015 than the state expended for those purposes in FY 2005 (section 424(c) of the Act). The CFSP submission must include information on the amount of FY 2005 title IV-B, subpart 1, funds that the state expended for child care, foster care maintenance, and adoption assistance payments for comparison purposes. States are also advised to retain this information in their files for comparison with expenditure amounts in future fiscal years.
- The amount of state expenditures of non-federal funds for foster care maintenance payments that may be used as match for the FY 2015 title IV-B, subpart 1 award may not exceed the amount of such non-federal expenditures applied as state match for title IV-B, subpart 1 for the FY 2005 grant (section 424(d) of the Act). The CFSP submission must include information on the amount of non-federal funds that were expended by the state for foster care maintenance payments and used as part of the title IV-B, subpart 1 state match for FY 2005. States are also advised to retain this information in their files for comparison with expenditure amounts in future fiscal years.
- States may spend no more than ten percent of title IV-B, subpart 1 federal funds for administrative costs (section 424(e) of the Act). States must provide the estimated expenditures for administrative costs, if any, on the CFS-101, Parts I and II.

### **2. Payment Limitations – Title IV-B, Subpart 2**

- States are required to spend a significant portion of their title IV-B, subpart 2 PSSF grant for each of the four service categories of PSSF: family preservation, community-based family support, time-limited family reunification, and adoption promotion and support services. For each service category with a percentage of funds that does not approximate 20 percent of the grant total, the state must provide in the narrative portion of the APSR a rationale for the disproportion. The amount allocated to each of the service categories should only include funds for service delivery. States should report separately the amount to be allocated to planning and service coordination. States must provide the estimated expenditures for the described services on the CFS-101, Part II.
- States may spend no more than ten percent of federal funds under title IV-B, subpart 2 for administrative costs (section 434(d) of the Act). This limitation applies to both the PSSF program and the Monthly Caseworker Visit grant. States must provide the estimated expenditures for administrative costs, if any, on the CFS-101, Parts I and II.
- States must provide the FY 2012 state and local share expenditure amounts for the purposes of title IV-B, subpart 2 for comparison with the state's 1992 base year

amount, as required to meet the non-supplantation requirements in section 432(a)(7)(A) of the Act.

### **3. FY 2014 Funding—Revised CFS-101 Budget Request**

- If the state's final FY 2014 allotment for any of the programs addressed in the APSR (see Attachment A) is greater than the amount indicated on its previously submitted and approved CFS-101 for FY 2014, and the state wishes to receive that higher amount of funding, it must submit a revised FY 2014 budget form reflecting the higher level of funding (CFS-101, Part I). A revised CFS-101 is not required if the final allocation is less than the amount previously approved on the CFS-101 for FY 2014.
- Unneeded portions of FY 2014 state allocations of title IV-B, CFCIP, and ETV funds may be re-allotted to other states so that the total appropriation remains available for program purposes (sections 423(e), 433(d) and 477(d)(4) of the Act). Therefore, if the state intends to release or apply for funds for reallocation for the title IV-B, subpart 2, the CFCIP, or the ETV program, please note the amounts you are releasing or requesting on the appropriate lines of a revised FY 2014 CFS-101. (See form instructions in Attachment B for more details.) ACF will re-allocate the funds in accordance with the prescribed formulas. Funds will be re-allocated before the end of the fiscal year and must be expended by September 30, 2015.

### **4. FY 2015 Budget Request—CFS-101, Parts 1 and II**

- Complete Part I of the CFS-101 form to request title IV-B, subpart 1 (CWS) and title IV-B, subpart 2 (PSSF and Monthly Caseworker Visit funds), CAPTA, CFCIP, and ETV funds. Use the FY 2014 allocation tables in Attachment A as the basis for estimating FY 2015 budget requests.
- Complete Part II of the CFS-101 to include the estimated amount of funds to be spent in each program area by source, the estimated number of individuals and families to be served, and the geographic service area within which the services are to be provided.

### **5. FY 2012 Title IV-B Expenditure Report—CFS-101, Part III**

Complete Part III of the CFS-101 to report the actual amount of FY 2012<sup>7</sup> funds expended in each program area of title IV-B funding by source, the number of individuals and families served, and the geographic service area within which the services were

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<sup>7</sup> Federal funds for these programs are awarded to states on a yearly basis, but may be spent over a two-year period. For example the FY 2012 grant allocation had an expenditure period from October 1, 2011 to September 30, 2013. Therefore, any fiscal year 2012 funds must be obligated during that two-year period of time and subsequently reported on the CFS-101 form, Part III.

provided. The state must track and report annually its actual title IV-B expenditures, including administrative costs for the most recent preceding fiscal year funds for which a final Financial Status Report (SF-425) has come due. Therefore, states must now report FY 2011 information (FY 2011 final financial status reports (SF-425) were due on December 29, 2013) for the title IV-B programs on the form CFS-101, Part III. At state option, complete this form to show actual FY 2012 expenditures for the CFCIP and ETV programs, as well.

## **6. Financial Status Reports Standard Form (SF) 425**

All grantees must report expenditures under title IV-B, subparts 1 and 2, CAPTA, and CFCIP on the Financial Status Report, SF-425. A separate SF-425 must be submitted for each program and the federal funds awarded under it for each fiscal year. Submission requirements for each program are listed below under the appropriate heading. A negative grant award will recoup unobligated and/or unliquidated funds reported on the final SF-425 for the title IV-B programs, CAPTA, CFCIP and ETV programs.

States are required to submit an electronic SF-425 for the programs listed above through the ACF Online Data Collection (OLDC) system. Because reports will be submitted electronically through OLDC, paper copies do not need to be submitted. For more information on gaining access to and using the OLDC submission process, please contact your ACF RO Grants Management Specialist or at the OLDC helpline at 1-866-577-0771. (See ACF Grants Management Action Transmittal OA-ACF-AT-01-05.)

### *Title IV-B, subpart 1*

States are required to submit the SF-425 fiscal report for expenditures under title IV-B, subpart 1 at the end of each 12 months (October 1 through September 30) of the two-year expenditure period. Both reports are due 90 days after the end of the fiscal year (December 29). The SF-425 fiscal report covering the first 12-month budget period is the interim report and the report covering the entire grant period is the final report. The required 25 percent state match must be reported on the interim and final fiscal reports. (A states that has been notified of the need to provide a higher percentage match for a specific fiscal year due to a determination that the state has failed to meet its established target for the percentage of children in foster care who were visited each and every calendar month, must report that higher match on the final fiscal form [section 424(f)(1)(B) and 424(f)(2)(B) of the Act].) Funds under title IV-B, subpart 1 must be expended by September 30 of the fiscal year following the fiscal year in which the funds were awarded (e.g., for FY 2015 grants, funds must be obligated by September 30, 2016, and liquidated by December 29, 2016).

### *Title IV-B, subpart 2 – PSSF*

States are required to submit the SF-425 fiscal report for expenditures under the title IV-B, subpart 2 PSSF program at the end of each 12 months (October 1 through September 30) of the two-year expenditure period. Both reports are due 90 days after the end of the

fiscal year (December 29). The SF-425 fiscal report covering the first 12-month budget period is the interim report and the report covering the entire grant period is the final report. The required 25 percent state match must be reported on the interim and final fiscal reports. Funds under title IV-B, subpart 2 (PSSF) must be expended by September 30 of the fiscal year following the fiscal year in which the funds were awarded (e.g., for FY 2015, funds must be obligated by September 30, 2016, and liquidated by December 29, 2016).

Since the discretionary funds under PSSF are to be expended for the same purposes as the mandatory funds, no separate reporting is required to distinguish between the expenditure of the two amounts. Grantees are to report the cumulative amount on the financial status report (SF-425). Funds reported as unobligated on the final financial status report will be recouped from the discretionary amount first.

#### *Title IV-B, subpart 2 – Monthly Caseworker Visit Funds*

States are required to submit the SF-425 fiscal report for expenditures under the title IV-B, subpart 2 Monthly Caseworker Visit program at the end of each 12 months (October 1 through September 30) of the two-year expenditure period. (These reports are to be separate from the SF-425 reports for the PSSF program.)

States are to submit the SF-425 report at the end of each 12 months of the two-year expenditure period. Both reports are due 90 days after the end of each Federal fiscal year (December 29). The SF-425 fiscal report covering the first 12-month budget period is the interim report and the report covering the entire grant period is the final report. Funds for these years must be expended by September 30 of the fiscal year following the fiscal year in which the funds were awarded (e.g., for FY 2015, funds must be obligated by September 30, 2016 and liquidated by December 29, 2016). The required 25 percent state match must be reported on the interim and final fiscal reports.

#### *CAPTA*

Funds under CAPTA must be expended within five years (e.g., for the FY 2015 award, funds must be expended by the state by September 30, 2019). States are required to submit the SF-425 fiscal report for CAPTA at the end of each 12 months (October 1 through September 30) of the five-year expenditure period. The SF-425 fiscal report covering each 12-month budget period is an interim report and the report covering the entire grant period is the final report. Both the interim and the final reports are due 90 days after the end of each 12-month period (December 29). There is no state match requirement for this program.

#### *CFCIP and ETV*

Funds under CFCIP and ETV must be expended within two years. States are required to submit separate SF-425 fiscal reports for the CFCIP and ETV programs. States are required to submit the SF-425 fiscal report for expenditures under the CFCIP and ETV

programs at the end of each 12 months (October 1 through September 30) of the two-year expenditure period. Reports are due 90 days after the end of each fiscal year (December 29). The SF-425 fiscal report covering the first 12-month budget period is the interim report and the report covering the entire grant period is the final report. The required 20 percent state match must be reported on the interim and final fiscal reports. Funds under CFCIP and ETV must be expended by September 30 of the fiscal year following the fiscal year in which the funds were awarded (e.g., for FY 2015, funds must be obligated by September 30, 2016, and liquidated by December 29, 2016).

## **Section F. Instructions for States, Puerto Rico and the District of Columbia**

Consistent with Action Transmittal No. OGM-AT-13-01, issued September 25, 2013 by the ACF Office of Grants Management, as of October 1, 2013, all applications, plans and financial reports for mandatory grants must now be submitted electronically. **ACF intends to use the Online Data Collection (OLDC) system to accommodate online electronic reporting by all grantees.** The OLDC system has long been used to collect financial reports by grantees, but it will now be used to facilitate online submission of plans, applications and reports for mandatory grants, including the CFSP and APSR submissions. CB will provide additional information on how to submit applications/plans through OLDC prior to the due date for submissions.

While the mode of transmission will change to OLDC (in lieu of e-mail or compact disc, etc.), we are requesting that the documents be submitted in the following formats/components to facilitate review and posting on the CB website. Unless otherwise noted, all documents must be submitted in the format of a Word/Excel document or as a PDF that was created in Word/Excel and then saved as a PDF (but not a scanned PDF). Please do not embed scanned PDF files or documents in the submissions, as we are unable to post these documents on the internet. Please do clearly indicate the content of each document submitted.

- Submit the 2010-2014 Final Report and the 2015-2019 CFSP as two separate electronic documents by June 30, 2014.
- Submit the Health Care Oversight and Coordination Plan, the Disaster Plan, and the Foster and Adoptive Parent Diligent Recruitment Plan each as a separate document.
- Submit updates or changes to the CAPTA State Plan (or if the state chooses, a new CAPTA State Plan) as a separate document.
- Please also include a link to the location of where the 2010-2014 Final Report, the 2015-2019 CFSP, and other plans are located on the state's websites. Please provide a name, email, and telephone number of the state contact for the documents.

- **Submit the CFS-101 forms in the format of an Excel worksheet, in addition to a PDF copy of the signed CFS-101 forms.**

Submit as an **Excel worksheet**:

- CFS-101, Part I for FY 2015;
- CFS-101, Part II with planned expenditures for the use of FY 2015 funds;
- CFS-101, Part III with estimated and actual expenditures of FY 2012 grants for the title IV-B, and, at state option, the CFCIP and ETV programs.

In addition, submit electronically in PDF format copies of the CFS-101, Parts I and III, **signed** by the appropriate official.

- If a state wishes to revise its previously approved funding request for the FY 2014 grants, either by releasing funds for reallocation or by requesting more funds than originally requested and approved, then the state must submit a revised CFS-101 Part I for FY 2014 in excel and as a signed PDF indicating:
  1. the amount of funds that the state does not expect to utilize from its FY 2014 allotment during the upcoming year to carry out the title IV-B, CFCIP and/or ETV program activities; and/or
  2. the amount of funds the state is requesting if additional funds become available for the title IV-B, CFCIP and/or ETV program (if different from earlier requests).
- Submit in PDF format a copy of the **assurances and certifications** necessary for plan approval for each program, signed by the appropriate state official. All required certifications and assurances are found at Attachment C of this PI.

It is important that CFSP/APSR submissions address all requirements outlined in this PI. Missing or incomplete information will result in the withholding of funds for the program(s) affected until such time as the information is complete and approval can be granted by CB. Requests for assistance or questions encountered in preparing any of the documents should be directed to the appropriate CB RO State Specialist.

### **Section G. Submittal Rule for Insular Areas**

The Virgin Islands, Guam, American Samoa, and the Northern Mariana Islands may each submit consolidated grant applications in accordance with 45 CFR Part 97. These jurisdictions do not need to submit a new 2015-2019 CFSP as described in this PI if they choose to have their title IV-B, subparts 1 and/or 2 (including the monthly caseworker visit funds) and/or CAPTA allotments included in a consolidated grant, and may expend these funds under authority of another program that is available for consolidation. If an Insular Area chooses to consolidate its application for title IV-B, subparts 1 and/or 2, and/or CAPTA, it must notify its CB RO in writing of its intent by June 30, 2014.

An insular area that chooses to submit a 2015-2019 CFSP in lieu of receiving a consolidated grant may do so and must follow the guidance included under Section D. The 2015-2019 CFSP must be submitted to the OLDC system by June 30, 2014.

**Paperwork Reduction Act:**

Under the Paperwork Reduction Act of 1995 (P.L. 104-13), an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB Control Number. The Control Number for this OMB approved information collection is 0980-0047, approved through October 31, 2014.

**Inquiries To:** CB Regional Program Managers

/s/

Mark Greenberg  
Acting Commissioner

Attachment A:

Fiscal Year 2014 Allotment Title IV-B Subpart 1 Stephanie Tubbs Jones Child Welfare Services  
Fiscal Year 2014 Allotment Title IV-B Subpart 2 Promoting Safe and Stable Families  
Fiscal Year 2014 Allotment for Title IV-B, Subpart 2 Monthly Caseworker Visit Funds  
Fiscal Year 2014 Allotment for CAPTA  
Fiscal Year 2014 Allotment for Chafee Foster Care Independence Program  
Fiscal Year 2014 Allotment for Education and Training Vouchers

Attachment B:

CFS-101 Part I: Annual Budget Request for Title IV-B, subparts 1 and 2, CAPTA, Chafee Foster Care Independence (CFCIP) and Education and Training Voucher (ETV) Program Instructions  
CFS-101 Part I: Annual Budget Request for Title IV-B, subparts 1 and 2, CAPTA, Chafee Foster Care Independence (CFCIP) and Education and Training Voucher (ETV) Program Form  
CFS-101, Part II: Annual Summary of Child and Family Services Instructions  
CFS-101, Part II: Annual Summary of Child and Family Services Form  
CFS-101, Part III: Annual Expenditures for Title IV-B, subparts 1 and 2, CAPTA, Chafee Foster Care Independence (CFCIP) and Education and Training Voucher (ETV) Instructions  
CFS-101, Part III: Annual Expenditures for Title IV-B, subparts 1 and 2, CAPTA, Chafee Foster Care Independence (CFCIP) and Education and Training Voucher (ETV) Form

Attachment C:

Assurance and Certifications

Attachment D:

CB Regional Program Managers



Attachment E:  
NCANDS State Contact List

Attachment F:  
Annual Reporting of Education and Training Vouchers Awarded

Attachment G:  
Current Variances in Title IV-B Provisions of Law and Regulation

**FISCAL YEAR 2014 ALLOTMENT FOR STATES, TERRITORIES AND INSULARE AREAS**  
**TITLE IV-B SUBPART I**  
**STEPHANIE TUBBS JONES CHILD WELAFRE SERVICES**

<b>STATE</b>	<b>ALLOTMENT</b>
Alabama	\$4,659,297
Alaska	\$194,356
Arizona	\$5,642,766
Arkansas	\$3,007,841
California	\$30,793,211
Colorado	\$4,113,141
Connecticut	\$1,819,313
Delaware	\$804,816
District of Columbia	\$327,771
Florida	\$14,803,039
Georgia	\$9,928,542
Hawaii	\$1,086,174
Idaho	\$1,806,168
Illinois	\$10,238,445
Indiana	\$6,506,901
Iowa	\$2,741,795
Kansas	\$2,652,076
Kentucky	\$4,281,248
Louisiana	\$4,231,108
Maine	\$1,069,359
Maryland	\$3,752,750
Massachusetts	\$3,725,612
Michigan	\$9,019,652
Minnesota	\$4,182,426
Mississippi	\$3,241,117
Missouri	\$5,413,443
Montana	\$641,831
Nebraska	\$1,649,765
Nevada	\$2,562,950
New Hampshire	\$968,113
New Jersey	\$5,256,844
New Mexico	\$1,547,482
New York	\$11,851,451
North Carolina	\$9,094,131
North Dakota	\$440,569
Ohio	\$10,362,280
Oklahoma	\$1,357,429
Oregon	\$3,293,671
Pennsylvania	\$9,776,551
Rhode Island	\$830,860
South Carolina	\$4,600,623
South Dakota	\$421,778
Tennessee	\$5,942,558
Texas	\$25,305,943
Utah	\$3,638,318
Vermont	\$540,242
Virginia	\$5,920,018
Washington	\$5,124,630

**FISCAL YEAR 2014 ALLOTMENT FOR STATES, TERRITORIES AND INSULAR AREAS**  
**TITLE IV-B SUBPART I**  
**STEPHANIE TUBBS JONES CHILD WELAFRE SERVICES**

<b>STATE</b>	<b>ALLOTMENT</b>
West Virginia	\$1,705,367
Wisconsin	\$4,813,028
Wyoming	\$426,738
<b>STATE TOTAL</b>	<hr/> <b>\$258,115,537</b>

<b>TERRITORIES/INSULAR AREAS</b>	<b>ALLOTMENT</b>
American Samoa	\$181,487
Guam	\$323,023
Northern Mariana Islands	\$150,265
Puerto Rico	\$3,435,479
Virgin Islands	\$199,865
<b>TERRITORIES/INSULAR AREAS TOTAL</b>	<hr/> <b>\$4,290,119</b>

<b>CHILD WELFARE SERVICES TOTAL</b>	<hr/> <hr/> <b>\$262,405,656</b>
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**FISCAL YEAR 2014 ALLOTMENT FOR STATES, TERRITORIES AND INSULAR AREAS**  
**TITLE IV-B SUBPART II**  
**PROMOTING SAFE AND STABLE FAMILIES PROGRAM**

<b>STATE</b>	<b>ALLOTMENT</b>
Alabama	5,793,524
Alaska	558,082
Arizona	7,491,848
Arkansas	3,180,540
California	31,122,298
Colorado	3,368,542
Connecticut	2,026,356
Delaware	922,174
District of Columbia	736,097
Florida	17,585,681
Georgia	12,108,547
Hawaii	946,084
Idaho	1,549,335
Illinois	11,889,984
Indiana	5,910,166
Iowa	2,341,333
Kansas	1,929,694
Kentucky	4,687,678
Louisiana	5,891,801
Maine	1,284,813
Maryland	4,041,040
Massachusetts	4,572,314
Michigan	10,306,387
Minnesota	3,235,761
Mississippi	4,186,125
Missouri	6,130,852
Montana	734,423
Nebraska	1,202,444
Nevada	2,213,524
New Hampshire	674,315
New Jersey	4,922,118
New Mexico	2,834,553
New York	16,834,808
North Carolina	10,044,744
North Dakota	388,066
Ohio	10,845,052
Oklahoma	4,002,502
Oregon	4,172,207
Pennsylvania	10,222,778
Rhode Island	874,748
South Carolina	5,435,372
South Dakota	697,529
Tennessee	7,756,414
Texas	31,297,672
Utah	2,045,077
Vermont	460,995
Virginia	5,568,262

**FISCAL YEAR 2014 ALLOTMENT FOR STATES, TERRITORIES AND INSULAR AREAS**  
**TITLE IV-B SUBPART II**  
**PROMOTING SAFE AND STABLE FAMILIES PROGRAM**

<b>STATE</b>	<b>ALLOTMENT</b>
Washington	6,218,287
West Virginia	1,917,381
Wisconsin	5,085,326
Wyoming	239,293
<b>STATE TOTAL</b>	<hr/> <b>290,484,946</b>

<b>TERRITORIES/INSULAR AREAS</b>	<b>ALLOTMENT</b>
American Samoa	192,615
Guam	348,279
Northern Mariana Islands	158,277
Puerto Rico	3,771,415
Virgin Islands	212,828
	<hr/> <b>4,683,414</b>

<b>PROMOTING SAFE AND STABLE FAMILIES TOAL</b>	<hr/> <b>295,168,360</b> <hr/>
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**FISCAL YEAR 2014 ALLOTMENT FOR STATES, TERRITORIES  
AND INSULAR AREAS  
MONTHLY CASE WORKER VISIT PROGRAM**

<b>STATE</b>	<b>ALLOTMENT</b>
Alabama	\$364,659
Alaska	\$35,127
Arizona	\$471,556
Arkansas	\$200,191
California	\$1,958,915
Colorado	\$212,025
Connecticut	\$127,544
Delaware	\$58,044
District of Columbia	\$46,332
Florida	\$1,106,887
Georgia	\$762,142
Hawaii	\$59,549
Idaho	\$97,519
Illinois	\$748,386
Indiana	\$372,001
Iowa	\$147,369
Kansas	\$121,460
Kentucky	\$295,054
Louisiana	\$370,845
Maine	\$80,869
Maryland	\$254,353
Massachusetts	\$287,793
Michigan	\$648,710
Minnesota	\$203,667
Mississippi	\$263,485
Missouri	\$385,891
Montana	\$46,226
Nebraska	\$75,685
Nevada	\$139,325
New Hampshire	\$42,443
New Jersey	\$309,810
New Mexico	\$178,414
New York	\$1,059,625
North Carolina	\$632,241
North Dakota	\$24,426
Ohio	\$682,615
Oklahoma	\$251,927
Oregon	\$262,609
Pennsylvania	\$643,447
Rhode Island	\$55,059
South Carolina	\$342,116
South Dakota	\$43,904
Tennessee	\$488,208
Texas	\$1,969,954
Utah	\$128,722

**FISCAL YEAR 2014 ALLOTMENT FOR STATES, TERRITORIES  
AND INSULAR AREAS  
MONTHLY CASE WORKER VISIT PROGRAM**

<b>STATE</b>	<b>ALLOTMENT</b>
Vermont	\$29,016
Virginia	\$350,480
Washington	\$391,395
West Virginia	\$120,685
Wisconsin	\$320,083
Wyoming	\$15,062
<b>STATE TOTAL</b>	<b>\$18,283,850</b>

<b>TERRITORIES AND INSULAR AREAS</b>	<b>ALLOTMENT</b>
American Samoa	\$7,814
Guam	\$17,734
Northern Mariana Islands	\$5,625
Puerto Rico	\$235,875
Virgin Islands	\$9,102
	<b>\$276,150</b>

<b>TERRITORIES AND INSULAR AREAS TOTAL</b>	<b>\$18,560,000</b>
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**FISCAL YEAR 2014 FOR STATES,TERRITORIES AND INSULAR AREAS  
CHILD ABUSE PREVENTION AND TREATMENT ACT STATE GRANT**

<b>STATE</b>	<b>ALLOTMENT</b>
ALABAMA	\$389,796
ALASKA	\$106,542
ARIZONA	\$539,834
ARKANSAS	\$264,828
CALIFORNIA	\$2,842,348
COLORADO	\$422,117
CONNECTICUT	\$289,813
DELAWARE	\$111,966
District of Columbia	\$83,085
FLORIDA	\$1,259,550
GEORGIA	\$802,501
HAWAII	\$141,570
IDAHO	\$178,935
ILLINOIS	\$975,923
INDIANA	\$530,945
IOWA	\$268,477
KANSAS	\$268,884
Kentucky	\$357,712
LOUISIANA	\$387,800
MAINE	\$130,360
MARYLAND	\$456,097
MASSACHUSETTS	\$473,508
MICHIGAN	\$735,048
MINNESOTA	\$435,652
MISSISSIPPI	\$275,240
MISSOURI	\$474,126
MONTANA	\$117,082
NEBRASKA	\$190,041
NEVADA	\$250,535
NEW HAMPSHIRE	\$133,057
NEW JERSEY	\$662,372
NEW MEXICO	\$205,464
NEW YORK	\$1,338,325
NORTH CAROLINA	\$740,987
NORTH DAKOTA	\$96,723
OHIO	\$854,963
OKLAHOMA	\$333,263
OREGON	\$310,081
PENNSYLVANIA	\$877,843
RHODE ISLAND	\$115,418
SOUTH CAROLINA	\$376,330
SOUTH DAKOTA	\$111,700
TENNESSEE	\$501,492
TEXAS	\$2,161,028
UTAH	\$318,345
VERMONT	\$87,458
VIRGINIA	\$611,105
WASHINGTON	\$528,977
WEST VIRGINIA	\$166,057



**FISCAL YEAR 2014 FOR STATES, TERRITORIES AND INSULAR AREAS  
CHILD ABUSE PREVENTION AND TREATMENT ACT STATE GRANT**

<b>STATE</b>	<b>ALLOTMENT</b>
WISCONSIN	\$448,166
WYOMING	\$90,945
<b>STATE TOTAL</b>	<b>\$24,830,414</b>

<b>TERRITORIES/INSULAR AREAS</b>	<b>TERRITORIES/INSULAR AREAS ALLOTMENT</b>
AMERICAN SAMOA	\$57,091
GUAM	\$65,809
NORTHERN MARIANA ISLANDS	\$55,182
PUERTO RICO	\$243,337
VIRGIN ISLANDS	\$58,167
<b>TERRITORIES/INSULAR AREAS TOTAL</b>	<b>\$479,586</b>

<b>CHILD ABUSE PREVENTION AND TREATMENT ACT STATE GRANT</b>	<b>\$25,310,000</b>
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# FISCAL YEAR 2014 ALLOTMENT FOR STATES AND TRIBES CHAFEE INDEPENDENT LIVING PROGRAM

STATE	ALLOTMENT
Alabama	\$1,520,830
Alaska	\$629,873
Arizona	\$4,488,464
Arkansas	\$1,237,405
California	\$18,101,906
Colorado	\$2,001,653
Connecticut	\$1,521,496
Delaware	\$500,000
District of Columbia	\$1,091,992
Florida	\$6,514,125
Georgia	\$2,557,835
Hawaii	\$500,000
Idaho	\$500,000
Illinois	\$5,547,477
Indiana	\$3,779,233
Iowa	\$2,088,015
Kansas	\$1,979,506
Kentucky	\$2,327,093
Louisiana	\$1,358,131
Maine	\$565,888
Maryland	\$1,628,531
Massachusetts	\$2,841,594
Michigan	\$4,842,248
Minnesota	\$1,812,591
Mississippi	\$1,219,731
Missouri	\$3,327,087
Montana	\$645,878
Nebraska	\$1,697,019
Nevada	\$1,582,516
New Hampshire	\$500,000
New Jersey	\$2,297,848
New Mexico	\$639,542
New York	\$11,585,958
North Carolina	\$2,821,255
North Dakota	\$500,000
Ohio	\$3,960,293
Oklahoma	\$3,045,661
Oregon	\$2,856,890
Pennsylvania	\$4,833,578
Puerto Rico	\$1,437,136
Rhode Island	\$569,185
South Carolina	\$1,038,005
South Dakota	\$500,000
Tennessee	\$2,660,201
Texas	\$9,874,222
Utah	\$922,301
Vermont	\$500,000
Virginia	\$1,526,832
Washington	\$3,188,311

# FISCAL YEAR 2014 ALLOTMENT FOR STATES AND TRIBES CHAFEE INDEPENDENT LIVING PROGRAM

STATE	ALLOTMENT
West Virginia	\$1,521,163
Wisconsin	\$2,128,694
Wyoming	\$500,000
<b>STATE TOTAL</b>	<b>\$137,815,192</b>

TRIBES	ALLOTMENT	TRIBAL FOSTER CARE POPULATION
KS Prairie Band of Potawatomi	\$21,814	66
NE Santee Sioux Nation	\$8,871	27
OR Confederated Tribe of Warm Springs	\$39,389	120
WA Port Gamble S'Klallam Tribe	\$14,734	44
<b>TRIBAL TOTAL</b>	<b>\$84,808</b>	

**CHAFEE INDEPENDANT LIVING PROGRAM TOTAL** \$137,900,000

**FISCAL YEAR 2014 FOR STATES AND TRIBES  
CHAFEE EDUCATION AND TRAINING VOUCHER PROGRAM**

<b>STATE</b>	<b>ALLOTMENT</b>
Alabama	\$489,398
Alaska	\$202,691
Arizona	\$1,444,375
Arkansas	\$398,193
California	\$5,825,141
Colorado	\$644,126
Connecticut	\$489,613
Delaware	\$85,733
District of Columbia	\$166,423
Florida	\$2,096,227
Georgia	\$823,104
Hawaii	\$115,777
Idaho	\$132,409
Illinois	\$1,785,162
Indiana	\$1,216,146
Iowa	\$671,917
Kansas	\$636,999
Kentucky	\$748,852
Louisiana	\$433,924
Maine	\$162,239
Maryland	\$524,057
Massachusetts	\$914,417
Michigan	\$1,558,221
Minnesota	\$583,287
Mississippi	\$392,506
Missouri	\$1,070,646
Montana	\$207,841
Nebraska	\$548,950
Nevada	\$509,249
New Hampshire	\$82,407
New Jersey	\$734,795
New Mexico	\$205,803
New York	\$2,567,062
North Carolina	\$907,871
North Dakota	\$118,996
Ohio	\$1,274,410
Oklahoma	\$980,085
Oregon	\$919,339
Pennsylvania	\$1,555,431
Puerto Rico	\$462,466
Rhode Island	\$183,162
South Carolina	\$334,027
South Dakota	\$150,114
Tennessee	\$856,045
Texas	\$3,177,496
Utah	\$296,794
Vermont	\$104,618
Virginia	\$491,330
Washington	\$1,025,990
West Virginia	\$489,506

**FISCAL YEAR 2014 FOR STATES AND TRIBES  
CHAFEE EDUCATION AND TRAINING VOUCHER PROGRAM**

STATE	ALLOTMENT
Wisconsin	\$685,008
Wyoming	\$103,331
<b>STATE TOTAL</b>	<b>\$42,583,709</b>

TRIBAL	ALLOTMENT	TRIBAL FOSTER CARE POPULATION
KS Prairie Band of Potawatomi	\$7,020	66
OR Confederated Tribe of Warm Springs	\$12,675	120
WA Port Gamble S'Klallam Tribe	\$4,741	44
<b>TRIBE TOTAL</b>	<b>\$24,436</b>	

**EDUCATION AND TRAINING PROGRAM TOTAL      \$42,608,145**

**CFS-101, Part I: Annual Budget Request for Title IV-B, Subpart 1 & 2 Funds, CAPTA, CFCIP, and ETV Instructions**

Note: While the information on the programs are consolidated into one Child and Family Services Plan (CFSP), eligibility and expenditure reports for the individual programs are separate. Funding will not be delayed for one program due to potential eligibility issues in another program.

Complete separate forms for each fiscal year.

1. **State or ITO:** Enter the name of the State or Indian Tribal Organization (ITO).
2. **EIN:** Indicate the Employer Identification Number (EIN).
3. **Address:** Enter the address of the State or ITO Agency.
4. **Submission:** Indicate if this is a NEW submission for the upcoming Fiscal Year, or a REVISION of the budget request for the current year.
5. **Total estimated title IV-B, subpart 1 funds:** Specify the estimated amount of title IV-B, subpart 1 Federal funds that the State or ITO expects to spend during the fiscal year on the Stephanie Tubbs Jones Child Welfare Services (CWS) Program. The previous Federal Fiscal Year's (FFY) final allotment as provided in the annual Program Instruction on the Annual Progress and Services Report (APSR) or CFSP is to be used as the estimated amount for the State's/Tribe's request.<sup>1</sup> A 25% match is required and the State or Tribe's match amount should be reflected on the SF-425 report.
  - a) Specify the estimated amount of title IV-B, subpart 1 CWS funds entered on line 5 to be spent on administration (not to exceed 10% of the total title IV-B, subpart 1 estimated allotment).
6. **Total estimated title IV-B, subpart 2 funds:** Specify the total estimated amount of title IV-B, subpart 2 Federal funds that the State or ITO expects to spend during the fiscal year on the Promoting Safe and Stable Families (PSSF) Program. The previous Federal Fiscal Year's (FFY) final allotment as provided in the annual Program Instruction on the APSR or CFSP is to be used as the estimated amount for the State's/Tribe's request. A 25% match is required and the State or Tribe's match amount should be reflected on the SF-425 report. Tribes are not required to complete items 6 a-f.
  - a) Specify the estimated amount of title IV-B, subpart 2 PSSF funds to be spent during the fiscal year for Family Preservation Services (a strong rationale must be provided in the APSR or CFSP if amount is less than 20% of line 6).

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<sup>1</sup> The tentative allotments for title IV-B, subpart 1 and 2, CFCIP, and ETV are based on the premise that all States and Indian Tribes will apply for and receive the funds available to them. In the event that not all States or Indian Tribes apply for or receive their tentative allocations, those funds will be redistributed among eligible States and Indian Tribes, where permitted by statute. States requesting additional funds in anticipation of such a redistribution should submit information on the proposed use of such additional funds to the appropriate Children's Bureau Regional Office in the State's/Tribe's APSR or CFSP.

When States or Tribes that have not applied for funds available to them in past fiscal year(s) decide to do so, depending upon the total amount of funds appropriated by Congress for the next fiscal year, there may be a reduction in the final distribution of funds.

b) Specify the estimated amount of title IV-B, subpart 2 PSSF funds to be spent during the fiscal year for Family Support Services (a strong rationale must be provided in the APSR or CFSP if amount is less than 20% of line 6).

c) Specify the estimated amount of title IV-B, subpart 2 PSSF funds to be spent during the fiscal year for Time-Limited Family Reunification Services (a strong rationale must be provided in the APSR or CFSP if amount is less than 20% of line 6).

d) Specify the estimated amount of title IV-B, subpart 2 PSSF funds to be spent during the fiscal year for Adoption Promotion and Support Services (a strong rationale must be provided in the APSR or CFSP if amount is less than 20% of line 6).

e) Specify the estimated amount of title IV-B, subpart 2 PSSF funds to be spent during the fiscal year for other service related activities (e.g. planning).

f) Specify the estimated amount of title IV-B, subpart 2 PSSF funds to be spent on administration. (For STATES only, not to exceed 10% of the total title IV-B, subpart 2 estimated allotment.)

**7. Monthly Caseworker Visit title IV-B, subpart 2 funds (for STATES only):** Specify the estimated amount of title IV-B, subpart 2 Monthly Caseworker Visitation (MCV) Federal Funds the State expects to spend during the fiscal year.

a) Specify the estimated amount of title IV-B, subpart 2 MCV funds entered on line 7a to be spent on administration (not to exceed 10% of the total title IV-B, subpart 2 MCV estimated allotment).

**8. Re-allotment of Title IV-B, subparts 1 & 2 funds for State and ITO:** The Administration for Children and Families (ACF) is able to re-allot unneeded portions of State and Tribal allocations of title IV-B, subparts 1& 2 funds to other States and eligible Indian Tribes so that the total appropriation remains available for program purposes. In order for a State or ITO to be awarded a portion of these funds, or for funds to be released, ACF must have on file a request from the State or Indian Tribe for additional funds, or the release of funds.

a) Indicate the amount of Federal funds of CWS, PSSF and/or MCV ( for States only) that the State or Tribe does not expect to utilize.

b) Indicate the amount of Federal funds of CWS, PSSF and/or MCV (for States only) that the State or Tribe is requesting, if additional funds become available.

**9. Child Abuse Prevention and Treatment Act (CAPTA) (for STATES only):** Indicate the State's estimated CAPTA State Grant allocation as provided in the annual Program Instruction on the APSR. Supplemental funds may be available for distribution if there are States that are not awarded grant funds or there are unobligated funds available for redistribution. No matching funds are required for this grant.

**10. Estimated Title IV-E Chafee Foster Care Independence Program (CFCIP) Funds:**

Indicate the estimated amount of CFCIP funds that the State or Tribe expects to spend on independent living activities as provided in the APSR or CFSP Program Instruction.

- a) At State or Tribe option, indicate the estimated amount of the funds entered on line 10 a to be spent for room and board for eligible youth (not to exceed 30% of total estimated CFCIP allotment.)

**11. Estimated Title IV-E Funds Allotted under Section 477 for the Education and Training Vouchers (ETV) Program:** Indicate the estimated amount of ETV funds that the State or Tribe expects to spend on ETV as provided in the APSR or CFSR Program Instruction.

**12. Re-allotment of CFCIP and/or ETV Funds for States or Tribes:** The Administration for Children and Families (ACF) is able to re-allot unneeded portions of State or Tribe allocations of CFCIP and ETV funds to other States or Tribes so that the total appropriation remains available for program purposes. In order for a State or Tribe to be awarded portions of these funds, or for funds to be released, ACF must have on file a request from the State or Tribe for additional funds, or the release of funds.

- a) Indicate the amount of funds that the State or Tribe will **not** utilize from its allotment to carry out the CFCIP activities.
- b) Indicate the amount of funds that the State or Tribe will **not** utilize from its allotment to carry out the ETV program activities.
- c) Indicate the amount of funds the State or Tribe is requesting if additional funds become available for the CFCIP program. A 20% State or Tribe match is required. The State or Tribe match amount must be reflected on the SF-425 report.
- d) Indicate the amount of funds the State or Tribe is requesting if additional funds become available for the ETV program. A 20% State or Tribe match is required. The State or tribe match amount must be reflected on the SF-425 report.

**13. Certification:** This report must be signed and dated in the spaces provided. The signature and title of the official of the State agency, or Indian Tribal Organization, with authority to administer or supervise the administration of title IV-B, subparts 1 and 2 programs and, for States only, the CAPTA and CFCIP programs, must be included.

By signing this form the State/Tribal official assures that the State/Tribe will meet all applicable match requirements.



**CFS-101, Part I: Annual Budget Request for Title IV-B, Subpart 1 & 2 Funds, CAPTA, CFCIP, and ETV**

Fiscal Year 2015, October 1, 2014 through September 30, 2015

<b>1. State or Indian Tribal Organization (ITO):</b>	<b>2. EIN:</b>
<b>3. Address:</b>	<b>4. Submission:</b> [ ] New [ ] Revision
<b>5. Total estimated title IV-B Subpart 1, Child Welfare Services (CWS) Funds</b>	\$
a) Total administration (not to exceed 10% of title IV-B Subpart 1 estimated allotment)	\$
<b>6. Total estimated title IV-B Subpart 2, Provides Safe and Stable Families (PSSF) Funds. This amount should equal the sum of lines a - f.</b>	\$
a) Total Family Preservation Services	\$
b) Total Family Support Services	\$
c) Total Time-Limited Family Reunification Services	\$
d) Total Adoption Promotion and Support Services	\$
e) Total for Other Service Related Activities (e.g. planning)	\$
f) Total administration (FOR STATES ONLY: not to exceed 10% of title IV-Bsubpart 2 estimated allotment)	\$
<b>7. Total estimated Monthly Caseworker Visit (MCV) Funds (FOR STATES ONLY)</b>	\$
a) Total administration (FOR STATES ONLY: not to exceed 10% of estimated MCV allotment)	\$
<b>8. Re-allotment of title IV-B subparts 1 &amp; 2 funds for States and Indian Tribal Organizations:</b>	
a) Indicate the amount of the State's/Tribe's allotment that will not be required to carry out the following programs: CWS \$ _____, PSSF \$ _____, and/or MCV(States only)\$ _____.	
b) If additional funds become available to States and ITOs, specify the amount of additional funds the States or Tribes requesting: CWS \$ _____, PSSF \$ _____, and/or MCV(States only)\$ _____.	
<b>9. Child Abuse Prevention and Treatment Act (CAPTA) State Grant (no State match required): Estimated Amount plus additional allocation, as available. (FOR STATES ONLY)</b>	\$
<b>10. Estimated Chafee Foster Care Independence Program (CFCIP) funds</b>	\$
a) Indicate the amount of State's or Tribe's allotment to be spent on room and board for eligible youth (not to exceed 30% of CFCIP allotment)	\$
<b>11. Estimated Education and Training Voucher (ETV) funds</b>	\$
<b>12. Re-allotment of CFCIP and ETV Program Funds:</b>	
a) Indicate the amount of the State's or Tribe's allotment that will not be required to carry out CFCIP Program	\$
b) Indicate the amount of the State's or Tribe's allotment that will not be required to carry out ETV Program	\$
c) If additional funds become available to States or Tribes, specify the amount of additional funds the State or Tribe is requesting for CFCIP Program	\$
d) If additional funds become available to States or Tribes, specify the amount of additional funds the State or Tribe is requesting for ETV Program	\$
<b>13. Certification by State Agency and/or Indian Tribal Organization.</b> The State agency or Indian Tribe submits the above estimates and request for funds under title IV-B, subpart 1 and/or 2, of the Social Security Act, CAPTA State Grant, CFCIP and ETV programs, and agrees that expenditures will be made in accordance with the Child and Family Services Plan, which has been jointly developed with, and approved by, the Children's Bureau.	
<b>Signature and Title of State/Tribal Agency Official</b>	<b>Signature and Title of Central Office Official</b>

## CFS-101, PART II

U.S. Department of Health and Human Services  
Administration for Children and Families

Attachment B  
OMB Approval #0980-0047  
Approved through October 31, 2014

### CFS-101, PART II: Annual Estimated Expenditure Summary of Child and Family Services Instructions

This form summarizes the State Agency's and eligible Indian Tribal Organization's (ITO) estimated expenditures on Child and Family Services programs, including the Child Abuse Treatment and Prevention Act (CAPTA) programs and the Chafee Foster Care Independence Program (CFCIP) including Education and Training Vouchers (ETV) for the next Federal fiscal year. This information is an integral part of the Child and Family Services Plan and should be discussed by the ACF Regional Office, State Agency Representatives, and Tribes. States and Tribes should list estimated expenditures and other information in the category that best fits their programs.

For each of the services/activities listed, indicate in the appropriate columns the estimated expenditures by program, the estimated number of clients to be served, the population to be served and the geographic area to be served.

#### Services/Activities:

**1. Prevention and Support Services (Family Support):** Community-based services which promote the safety and well-being of children and families and are designed to increase the strength and stability of families (including adoptive, foster, and extended families); to increase parents' confidence and competence in their parenting abilities; to afford children a safe, stable, and supportive family environment; to strengthen parental relationships and promote healthy marriages; and to enhance child development, including through mentoring. These services may include respite care for parents and other caregivers; early developmental screening of children to assess the needs of these children and assistance in obtaining specific services to meet their needs; mentoring, tutoring, and health education for youth; a range of center-based activities (informal interactions in drop-in centers, parent support groups); services designed to increase parenting skills; and counseling and home visiting activities.

**2. Protective Services:** Services designed to prevent or remedy the abuse, neglect, or exploitation of children. Services include investigation and emergency medical services, emergency shelter, legal action, developing case plans, counseling, assessment/evaluation of family circumstances, arranging alternative living arrangements, preparing for foster placement, if needed, and case management and referral to service providers.

**3. Crisis Intervention (Family Preservation):** Services for children and families designed to help families (including adoptive and extended families) at risk or in crisis. The types of services within this category include:

- Pre-placement preventive services programs, such as intensive family preservation programs, designed to help children at risk of foster care placement remain with their families, where possible;
- Service programs designed to help children, where appropriate, return to families from which they have been removed; or be placed for adoption, with a legal guardian, or, if

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adoption or legal guardianship is determined not to be appropriate for a child, in some other planned, permanent living arrangement;

- Service programs designed to provide follow-up care to families to whom a child has been returned after a foster care placement;
- Respite care of children to provide temporary relief for parents and other caregivers (including foster parents);
- Services designed to improve parenting skills (by reinforcing parents' confidence in their strengths, and helping them to identify where improvement is needed and to obtain assistance in improving those skills) with respect to matters such as child development, family budgeting, coping with stress, health, and nutrition;
- Infant safe haven programs to provide a way for a parent to safely relinquish a newborn infant at a safe haven designated pursuant to a State law; and
- Case management services designed to stabilize families in crisis such as transportation, assistance with housing and utility payments, and access to adequate health care.

**4. Time-Limited Family Reunification Services:** Services and activities that are provided to a child who is removed from the child's home and placed in a foster family home or a child care institution, and to the parents or primary caregiver of such a child, in order to facilitate the reunification of the child safely and appropriately within a timely fashion, but only during the 15-month period that begins on the date that the child, pursuant to section 475(5)(F) of the Social Security Act (the Act), is considered to have entered foster care. The services and activities are the following:

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

**5. Adoption Promotion and Support Services:** Services and activities designed to encourage more adoptions out of the foster care system, when adoptions promote the best interests of children, including such activities as pre- and post-adoptive services and activities designed to expedite the adoption process and support adoptive families.

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**6. Other Service Related Activities:** Planning, service coordination, preparation or follow-up to service delivery such as the recording of progress notes or other activities, other than direct services or administration, supporting the delivery of services under the program etc.

**7. Foster Care Maintenance:** Expenditures for “room and board” for children/youth in foster care.

a) Foster Family and Relative Foster Care: Payments to cover food, clothing, shelter, daily supervision, school supplies, a child's personal incidentals, liability insurance with respect to a child, and reasonable travel to the child's home for visitation and reasonable travel for the child to remain in the school in which the child is enrolled at the placement in foster care as well as the cost of providing these services.

b) Group/Institutional Care: This includes the reasonable costs of administration and the operation of institutional/group home care that are required to provide food, clothing, shelter, daily supervision, school supplies, a child's personal incidentals, liability insurance with respect to a child, and reasonable travel to the child's home for visitation; the cost of reasonable travel for the child to remain in the same school he or she was attending prior to placement in foster care and the cost of the items themselves.

**8. Adoption Subsidy Payments:** Funds provided to adoptive parents on a recurring and non-recurring basis to assist in the support of special needs children.

**9. Guardianship Assistance Payments:** Funds provided to kinship legal guardians on a recurring and non-recurring basis to assist in the support of children formerly in foster care placed in their care.

**10. Independent Living Services:** Services designed to help youth expected to remain in foster care until the age of 18, youth who after age 16 leave foster care for kinship guardianship or adoption and former foster care recipients between 18 and 21 years of age, make the transition to self-sufficiency. Services may include: education, career exploration, vocational training, job placement and retention, training in daily living skills, training in budgeting and financial management skills, substance abuse prevention, and preventive health activities.

States and Tribes are allowed to expend up to 30 percent of their allotments under the Chafee Foster Care Independence Program for room and board (including rental deposits, utilities and other expenses that may be included with rent) for children who have left foster care because they have attained 18 years of age, and who have not yet attained 21 years of age.

**11. Education and Training Vouchers:** Include the amount of funds the State or Tribe plans to utilize for the Education and Training Vouchers (ETV) program in this line item

**12. Administrative Costs:** Include the amount of funds the State or Tribe plans to utilize for administrative costs.

- For States and Tribes, administrative costs under title IV-B, subpart 1 may not be more than ten percent of title IV-B, subpart 1 expenditures. Allowable costs for title IV-B, subpart 1 may

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include procurement, payroll processing, personnel functions, management, maintenance and operation of space and property, data processing and computer services, accounting, budgeting, auditing, and travel expenses. Applicable costs exclude administrative costs related to the provision of services by caseworkers or the oversight of programs funded under Title IV-B, subpart 1 (Section 422(c)(1) of the Act).

- For States only, administrative costs under title IV-B, subpart 2 (including Monthly Caseworker Visit grants) may not be more than ten percent of title IV-B, subpart 2 expenditures. Allowable costs for title IV-B, subpart 2 may include, but are not limited to procurement, payroll processing, personnel functions, management, maintenance and operation of space and property, data processing and computer services, accounting, budgeting, and auditing. Allowable costs may also include indirect costs allocable in accordance with the agency's approved cost allocation plan (45 CFR 1357.32(h)).

**13. Staff and External Partners Training:** Includes the cost of short and long-term training to increase the ability of staff and external partners (other than foster/adoptive parents (see #14 & #15 below)) to provide assistance and support to children and families, but does NOT include the costs specifically related to supporting the monthly caseworker visit requirement (see #17 below).

**14. Foster Parent Training and Recruitment:** Includes the cost of short-term training to increase foster parent's ability to provide assistance and support to foster and adoptive children, and those costs associated with/resulting from the recruitment of potential foster parents.

**15. Adoptive Parent Training and Recruitment:** Includes the cost of short-term training to increase adoptive parent's ability to provide assistance and support to foster and adoptive children, and those costs associated with/from the recruitment of potential adoptive parents.

**16. Child Care Related to Employment/Training:** Includes licensed day care purchased for the purpose of supporting the employment of one or both of the parents.

**17. Monthly Caseworker Visits:** Includes costs related to supporting monthly caseworker visits with children who are in foster care under the responsibility of the State, with a primary emphasis on activities designed to improve caseworker retention, recruitment and ability to access the benefits of technology.

**18. Total:** The total amount of funds estimated for the year (equal to the sum of lines 1 through 18) for each column.

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### Estimated Expenditures:

**1. Federal Funds (columns a - g):** Indicate for each service/activity the amount to be expended from the Federal program indicated in columns (a) through (g). Note: Column (g) [Title IV-E] amounts generally are reportable only for the services and activities described in rows (7) through (17). As applicable and appropriate, States and Tribes operating title IV-E waiver demonstrations should also indicate in column (g) the extent to which any title IV-E funding will be expended on child welfare services and activities described in rows (1) through (6). Unless approved to operate a title IV-E waiver demonstration, states and tribes may not normally spend title IV-E funds for these purposes.

**2. State, Local, and Donated Funds (column h):** Indicate the estimated amount of State, local, and donated funds to be expended, even if they are not used to match Federal funds

**3. Estimated Number to be Served (column i):** Estimate, as accurately as possible, the number of individuals and families to be served by service/activity with the total estimated funding indicated.

**4. Population to be Served (column j):** Indicate the population that has been targeted for the designated services. Targeting may include a range of vulnerable populations such as:

- Children at imminent risk of placement;
- All children in foster care;
- Families with children returning home following placement;
- All eligible children, eligible children under 21 years, or eligible children requiring treatment;
- Families with a child abuse or neglect investigation;
- Children in contracted care; or
- Families in crisis.

**5. Geographic Area to be Served (column k):** Indicate **both** the number and type of areas identified within the State where services are to be provided for each program. Areas may include specific regions, counties, cities, reservations, communities, census tracts, or neighborhoods. For example, if the State is operating family preservation programs in six counties, indicate by noting "6 counties"; if the State is operating 12 community-based family support programs, indicate by noting "12 communities".

# **CFS-101 Part II: Annual Estimated Expenditure Summary of Child and Family Services**

State or Indian Tribal Organization ( ITO)

For FFY OCTOBER 1, 2014 TO SEPTEMBER 30, 2015

SERVICES/ACTIVITIES	TITLE IV-B			(d) CAPTA*	(e) CFCIP	(f) ETV	(g) TITLE IV- E**	(h) STATE, LOCAL, & DONATED FUNDS	(i) NUMBER TO BE SERVED		(j) POPULATION TO BE SERVED	(k) GEOG. AREA TO BE SERVED
	(a) Subpart I- CWS	(b) Subpart II- PSSF	(c) Subpart II- MCV *						Individuals	Families		
1.) PREVENTION & SUPPORT SERVICES (FAMILY SUPPORT)												
2.) PROTECTIVE SERVICES												
3.) CRISIS INTERVENTION (FAMILY PRESERVATION)												
4.) TIME-LIMITED FAMILY REUNIFICATION SERVICES												
5.) ADOPTION PROMOTION AND SUPPORT SERVICES												
6.) FOR OTHER SERVICE RELATED ACTIVITIES (e.g. planning)												
7.) FOSTER CARE MAINTENANCE:												
(a) FOSTER FAMILY & RELATIVE FOSTER CARE												
(b) GROUP/INST CARE												
8.) ADOPTION SUBSIDY PMTS.												
9.) GUARDIANSHIP ASSIST. PMTS.												
10.) INDEPENDENT LIVING SERVICES												
11.) EDUCATION AND TRAINING VOUCHERS												
12.) ADMINISTRATIVE COSTS												
13.) STAFF & EXTERNAL PARTNERS TRAINING												
14.) FOSTER PARENT RECRUITMENT & TRAINING												
15.) ADOPTIVE PARENT RECRUITMENT & TRAINING												
16.) CHILD CARE RELATED TO EMPLOYMENT/TRAINING												
17.) CASEWORKER RETENTION, RECRUITMENT & TRAINING												
18.) TOTAL												

\* These columns are for States only; Indian Tribes are not required to include information on these programs.

\*\* Only states or tribes operating an approved title IV-E waiver demonstration may enter information for rows 1-6 in column (g), indicating planned use of title IV-E funds for these purposes.

## CFS-101, Part III

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### CFS-101, Part III: Expenditures for Title IV-B, Subparts 1 and 2, Chafee Foster Care Independence (CFCIP) and Education and Training Voucher (ETV) Programs

Note: Federal funds for the most of the programs identified above are awarded to States or Tribes on a yearly basis, but may be spent over a two-year period ending on September 30 of the year following the year in which they were awarded. For example, the FY 2012 grant allocation has an expenditure period from October 1, 2011 to September 30, 2012. Therefore, any fiscal year 2012 funds must be obligated during that two-year period of time and subsequently reported on this form.

Most figures in the "estimate" column can be found in a State's/Tribe's previously approved CFS 101, Part I for the fiscal year being reported on.

1. **State or ITO:** Enter the name of the State or Indian Tribal Organization (ITO).
2. **EIN:** Indicate the Employer Identification Number (EIN).
3. **Address:** Enter the address of the State or ITO Agency.
4. **Submission:** Indicate if this is a new or revised expenditure report.
5. **Total title IV-B, subpart 1 funds:** Indicate the estimated expenditures, and actual expenditures of title IV-B, subpart 1 Federal funds for the designated fiscal year for Child Welfare Services. (The estimated expenditure total should equal the amount of the grant awarded for the designated fiscal year.) Indicate as accurately as possible, the number of individuals and the number of families served, the population served, and the geographic area where services were provided. The required 25% match should not be reflected on this form.
  - a) Specify the estimated allotment and actual expenditures of title IV-B, subpart 1 funds for administration. Note that administrative costs may not exceed 10% of the title IV-B, subpart 1 total expenditures.
6. **Total title IV-B, subpart 2 Promoting Safe and Stable Families (PSSF) funds:** Indicate the estimated expenditures, actual expenditures of title IV-B, subpart 2 funds for the designated fiscal year for Promoting Safe and Stable Families services. (The estimated expenditure total should equal the amount of the grant awarded for the designated fiscal year.) The required 25% match should not be reflected on this form. Indicate as accurately as possible, the number of individuals and the number of families served,<sup>1</sup> the population served,<sup>2</sup> and the geographic area

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<sup>1</sup> Report, as accurately as possible, the number of clients served per service/activity for the amount of funds expended. Indicate the number of individuals **and** the number of families served as labeled in the column.

<sup>2</sup> Indicate the population that has received the designated services. This may include a range of vulnerable populations such as children at imminent risk of placement, all children in foster care, families with children returning home following placement, all eligible children, eligible children under 21 years, or eligible children



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where services were provided.<sup>3</sup> States must also complete lines 6 a – f; for Tribes this is optional.

a) Indicate the estimated allotment and actual expenditures of title IV-B, subpart 2 PSSF funds for the designated fiscal year for Family Preservation Services. Note that these funds may be spent over a two-year period ending on September 30 of the fiscal year following the year in which they were awarded.

b) Indicate the estimated and actual expenditures of title IV-B, subpart 2 PSSF funds allotted for the designated fiscal year for Family Support Services. Note that these funds may be spent over a two-year period ending on September 30 of the fiscal year following the year in which they were awarded.

c) Indicate the estimated and actual expenditures of title IV-B, subpart 2 PSSF funds allotted for the designated fiscal year for Time-Limited Family Reunification Services. Note that these funds may be spent over a two-year period ending on September 30 of the fiscal year following the year in which they were awarded.

d) Indicate the estimated and actual expenditures of title IV-B, subpart 2 PSSF funds allotted for the designated fiscal year for Adoption Promotion and Support Services. Note that these funds may be spent over a two-year period ending on September 30 of the year following that in which they were awarded.

e) Indicate the estimated and actual expenditures of title IV-B, subpart 2 PSSF funds allotted for the designated fiscal year for other service related activities (e.g. planning). Note that these funds may be spent over a two-year period ending on September 30 of the fiscal year following the year in which they were awarded.

f) Indicate the estimated and actual expenditures of title IV-B, subpart 2 PSSF funds allotted for the designated fiscal year for administrative costs. Note that these funds may be spent over a two-year period ending on September 30 of the fiscal year following the year in which they were awarded. Beginning in FFY 2008, States' administrative costs may not exceed 10% of the total Federal expenditures for title IV-B, subpart 2. (This limitation does not apply to Tribes.)

#### **7. Total title IV-B subpart 2, Monthly Caseworker Visit (MCV) Funds (States only):**

Indicate the estimated and actual expenditures allotted for the designated fiscal year. Note that with the exception of FY 2006 grants, these funds may be spent over a two-year period ending on September 30 of the fiscal year following the year in which they were awarded.

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requiring treatment, families with a child abuse or neglect investigation, children in contracted care, and/or families in crisis.

<sup>3</sup> Indicate the number **and** type of areas identified within the State where services are to be provided for each program. Areas may include specific regions, counties, cities, reservations, communities, census tracts, or neighborhoods.

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a). Indicate the estimated and actual expenditures of title IV-B, subpart 2 Monthly Caseworker Visit funds allotted for the designated fiscal year (States only). Note that these funds may be spent over a two-year period ending on September 30 of the fiscal year following the year in which they were awarded. Beginning in FFY 2008 total administrative costs may not exceed 10% of the total expenditures for MCV.

**8. Chafee Foster Care Independence Program (CFCIP) Funds:** Indicate the estimated and actual expenditures of CFCIP funds allotted for the designated fiscal year for independent living activities as provided in the APSR or CFSP Program Instruction.

a) Indicate the estimated and actual expenditures of the State's or Tribe's allotment for the designated fiscal year for room and board for eligible youth (not to exceed 30% of CFCIP funds). Note that these funds may be spent over a two-year period ending on September 30 of the fiscal year following they year in which they were awarded. Indicate as accurately as possible, the number of clients served, the population served, and the geographic area where services were provided.

**9. Total funds allotted under Section 477 for the Education and Training Vouchers (ETV) Program:** Indicate the estimated and actual expenditures of Education and Training Voucher funds allotted for the designated fiscal year as provided in the annual Program Instruction on the APSR or CFSP. Indicate as accurately as possible, the number of clients served, the population served, and the geographic area where services were provided.

**10. Certification:** This report must be signed and dated in the spaces provided. The signature and title must be included of the official of the State agency, or Indian Tribal Organization, with authority to administer or supervise the administration of title IV-B, subparts 1 and 2 programs and, for States only, MCV and CAPTA programs.

By signing this form the State/Tribal official certifies that all figures provided here are accurate.

\* Title IV-B, subpart 2 includes both the Promoting Safe and Stable Families Program and the Monthly Caseworker Visit Program.

**CFS-101, PART III: Annual Expenditures for Title IV-B, Subparts 1 and 2, Chafee Foster Care Independence (CFCIP) and Education And Training Voucher (ETV) : Fiscal Year 2012: October 1, 2011 through September 30, 2012**

1. State or Indian Tribal Organization (ITO):		2. EIN:		3. Address:		
4. Submission: <input type="checkbox"/> New <input type="checkbox"/> Revision						
<i>Description of Funds</i>	<i>Estimated Expenditures</i>	<i>Actual Expenditures</i>	<i>Number served</i>		<i>Population served</i>	<i>Geographic area served</i>
			<i>Individuals</i>	<i>Families</i>		
5. Total title IV-B, subpart 1 funds	\$	\$				
a) Total Administrative Costs (not to exceed 10% of title IV-B, subpart 1 total allotment)	\$	\$				
6. Total title IV-B, subpart 2 funds (This amount should equal the sum of lines a - f.)	\$	\$				
a) Family Preservation Services	\$	\$				
b) Family Support Services	\$	\$				
c) Time-Limited Family Reunification Services	\$	\$				
d) Adoption Promotion and Support Services	\$	\$				
e) Other Service Related Activities (e.g. planning)	\$	\$				
f) Administrative Costs (FOR STATES: not to exceed 10% of total title IV-B, subpart 2 allotment after October 1, 2007)	\$	\$				
7. Total Monthly Caseworker Visit Funds (STATE ONLY)	\$	\$				
a) Administrative Costs (not to exceed 10% of MCV allotment)	\$	\$				
8. Total Chafee Foster Care Independence Program (CFCIP) funds	\$	\$				
a) Indicate the amount of allotment spent on room and board for eligible youth (not to exceed 30% of CFCIP allotment)	\$	\$				
9. Total Education and Training Voucher (ETV) funds	\$	\$				
10. Certification by State Agency or Indian Tribal Organization (ITO). The State agency or ITO agrees that expenditures were made in accordance with the Child and Family Services Plan, which has been jointly developed with, and approved by, the Children's Bureau.						
<i>Signature and Title of State/Tribal Agency Official</i>		<i>Date</i>	<i>Signature and Title of Central Office Official</i>		<i>Date</i>	

## **Attachment C - States**

### **Title IV-B, subpart 1 Assurances**

The assurances listed below are in 45 CFR 1357.15(c) and title IV-B, subpart 1, sections 422(b)(8), 422(b)(10), and 422 (b)(14) of the Social Security Act (Act). These assurances will remain in effect during the period of the current five-year Child and Family Services Plan (CFSP).

1. The State assures that it is operating, to the satisfaction of the Secretary:
  - a. A statewide information system from which can be readily determined the status, demographic characteristics, location, and goals for the placement of every child who is (or, within the immediately preceding 12 months, has been) in foster care;
  - b. A case review system (as defined in section 475(5) of the Act) for each child receiving foster care under the supervision of the State/Tribe;
  - c. A service program designed to help children:
    - i. Where safe and appropriate, return to families from which they have been removed; or
    - ii. Be placed for adoption, with a legal guardian, or, if adoption or legal guardianship is determined not to be appropriate for a child, in some other planned, permanent living arrangement which may include a residential educational program; and
  - d. A preplacement preventative services program designed to help children at risk of foster care placement remain safely with their families.
2. The State assures that it has in effect policies and administrative and judicial procedures for children abandoned at or shortly after birth (including policies and procedures providing for legal representation of the children) which enable permanent decisions to be made expeditiously with respect to the placement of the children.
3. The State assures that it shall make effective use of cross-jurisdictional resources (including through contracts for the purchase of services), and shall eliminate legal barriers, to facilitate timely adoptive or permanent placements for waiting children.
4. The State assures that not more than 10 percent of the expenditures of the State with respect to activities funded from amounts provided under this subpart will be for administrative costs.
5. The State assures that it will participate in any evaluations the Secretary of HHS may require.
6. The State assures that it shall administer the Child and Family Services Plan in accordance with methods determined by the Secretary to be proper and efficient.

Effective Date and Official Signature

I hereby certify that the State complies with the requirements of the above assurances.

Certified by: \_\_\_\_\_

Title: \_\_\_\_\_

Agency: \_\_\_\_\_

Dated: \_\_\_\_\_

Reviewed by: \_\_\_\_\_

(ACF Regional Representative)

Dated: \_\_\_\_\_

## **Title IV-B, subpart 2 Assurances**

The assurances listed below are in 45 CFR 1357.15(c) and title IV-B, subpart 2, sections 432(a)(2)(C), 432(a)(4), 432 (a)(5), 432(a)(7) and 432(a)(9) of the Social Security Act (Act). These assurances will remain in effect during the period of the current five-year CFSP.

1. The State assures that after the end of each of the first four fiscal years covered by a set of goals, it will perform an interim review of progress toward accomplishment of the goals, and on the basis of the interim review will revise the statement of goals in the plan, if necessary, to reflect changed circumstances.
2. The State assures that after the end of the last fiscal year covered by a set of goals, it will perform a final review of progress toward accomplishments of the goals, and on the basis of the final review:
  - a. Will prepare, transmit to the Secretary, and make available to the public a final report on progress toward accomplishment of the goals; and
  - b. Will develop (in consultation with the entities required to be consulted pursuant to subsection 432(b)) and add to the plan a statement of the goals intended to be accomplished by the end of the 5<sup>th</sup> succeeding fiscal year.
3. The State assures that it will annually prepare, furnish to the Secretary, and make available to the public a description (including separate descriptions with respect to family preservation services, community-based family support services, time limited family reunification services, and adoption promotion and support services) of:
  - a. The service programs to be made available under the plan in the immediately succeeding fiscal year;
  - b. The populations which the programs will serve; and
  - c. The geographic areas in the State in which the services will be available.
4. The State assures that it will perform the annual activities in the 432(a)(5)(A) in the first fiscal year under the plan, at the time the State submits its initial plan, and in each succeeding fiscal year, by the end of the third quarter of the immediately preceding fiscal year.
5. The State assures that Federal funds provided under subpart 2 will not be used to supplant Federal or non-Federal funds for existing services and activities which promote the purposes of subpart 2.
6. The State will furnish reports to the Secretary, at such times, in such format, and containing such information as the Secretary may require, that demonstrate the State's compliance with the prohibition contained in 432(a)(7)(A) of the Act.

7. The State assures that in administering and conducting service programs under the subpart 2 plan, the safety of the children to be served shall be of paramount concern.
8. The State assures that it will participate in any evaluations the Secretary of HHS may require.
9. The State assures that it shall administer the Child and Family Services Plan in accordance with methods determined by the Secretary to be proper and efficient.
10. The State assures that not more than 10 percent of expenditures under the plan for any fiscal year with respect to which the State is eligible for payment under section 434 of the Act for the fiscal year shall be for administrative costs, and that the remaining expenditures shall be for programs of family preservation services, community based support services, time limited family reunification services, and adoption promotion and support services, with significant portions of such expenditures for each such program.

Effective Date and Official Signature

I hereby certify that the State complies with the requirements of the above assurances.

Certified by: \_\_\_\_\_

Title: \_\_\_\_\_

Agency: \_\_\_\_\_

Dated: \_\_\_\_\_

Reviewed by: \_\_\_\_\_

(ACF Regional Representative)

Dated: \_\_\_\_\_

## **Title IV-E, Section 477 Certifications**

### **Certifications for the Chafee Foster Care Independence Program**

As Chief Executive Officer of the State of \_\_\_\_\_, I certify that the State has in effect and is operating a Statewide or areawide program pursuant to section 477(b) relating to the Foster Care Independence Program and that the following provisions to effectively implement the Chafee Foster Care Independence Program are in place:

1. The State will provide assistance and services to youth who have left foster care because they have attained 18 years of age, and have not attained 21 years of age [Section 477(b)(3)(A)];
2. Not more than 30 percent of the amounts paid to the State from its allotment for a fiscal year will be expended for room and board for youth who have left foster care because they have attained 18 years of age, and have not attained 21 years of age [Section 477(b)(3)(B)];
3. None of the amounts paid to the State from its allotment will be expended for room or board for any child who has not attained 18 years of age [Section 477(b)(3)(C)];
4. The State has consulted widely with public and private organizations in developing the plan and has given all interested members of the public at least 30 days to submit comments on the plan [Section 477(b)(3)(E)];
5. The State will make every effort to coordinate the State programs receiving funds provided from an allotment made to the State with other Federal, State and Tribal programs for youth (especially transitional living youth projects funded under part B of title III of the Juvenile Justice and Delinquency Prevention Act of 1974); abstinence education programs, local housing programs, programs for disabled youth (especially sheltered workshops), and school-to-work programs offered by high schools or local workforce agencies [Section 477(b)(3)(F)];
6. Adolescents participating in the program under this section will participate directly in designing their own program activities that prepare them for independent living and the adolescents will be required to accept personal responsibility for living up to their part of the program [Section 477(b)(3)(H)]; and
7. The State has established and will enforce standards and procedures to prevent fraud and abuse in the programs carried out under the plan [Section 477(b)(3)(I)].
8. The State will use training funds provided under the program of Federal payments for foster care and adoption assistance to provide training to help foster parents, adoptive parents, workers in group homes, and case managers understand and address the issues confronting adolescents preparing for independent living, and will, to the extent possible, coordinate such training with the independent living program conducted for adolescents [Section 477(b)(3)(D)];
9. The State has consulted each Tribe in the State about the programs to be carried out under the plan; there have been efforts to coordinate the programs with such Tribes; and benefits and services under the programs will be made available to Indian youth in the State/Tribe on the same basis as to other youth in the State; and that the State negotiates in good faith with any Indian tribe, tribal organization, or tribal consortium in the State



that does not receive an allotment under 477(j)(4) for a fiscal year and that requests to develop an agreement with the State to administer, supervise, or oversee the programs to be carried out under the plan with respect to the Indian children who are eligible for such programs and who are under the authority of the tribe, organization, or consortium and to receive from the State an appropriated portion of the State allotment for the cost of such administration, supervision or oversight [Section 477(b)(3)(G)];

10. The State will ensure that an adolescent participating in this program is provided with education about the importance of designating another individual to make health care treatment decisions on behalf of the adolescent if the adolescent becomes unable to participate in such decisions and the adolescent does not have or does not want, a relative who would otherwise be authorized under State law to make such decisions, whether a health care power of attorney, health care proxy or other similar document is recognized under State law, and how to execute such document if the adolescent wants to do so [Section 477(b)(3)(K)].

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Signature of Chief Executive Officer

---

Date

**State Chief Executive Officer's Certification  
for the  
Education and Training Voucher Program  
Chafee Foster Care Independence Program**

As Chief Executive Officer of the State of \_\_\_\_\_, I certify that the State has in effect and is operating a Statewide program relating to the Chafee Foster Care Independence Program:

1. The State will comply with the conditions specified in subsection 477(i).
2. The State has described methods it will use to:
  - ensure that the total amount of educational assistance to a youth under this and any other Federal assistance program does not exceed the total cost of attendance; and
  - avoid duplication of benefits under this and any other Federal assistance program, as defined in section 477(b)(3)(J).

\_\_\_\_\_  
**Signature of Chief Executive Officer**

\_\_\_\_\_  
**Date**

## CB Regional Program Managers

I	<b>Region I - Boston</b> Bob Cavanaugh <a href="mailto:bob.cavanaugh@acf.hhs.gov">bob.cavanaugh@acf.hhs.gov</a> JFK Federal Building, Rm. 2000 Boston, MA 02203 (617) 565-1020 <b>States:</b> Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont	VI	<b>Region VI - Dallas</b> Janis Brown <a href="mailto:janis.brown@acf.hhs.gov">janis.brown@acf.hhs.gov</a> 1301 Young Street, Suite 945 Dallas, TX 75202-5433 (214) 767-8466 <b>States:</b> Arkansas, Louisiana, New Mexico, Oklahoma, Texas
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IV	<b>Region IV - Atlanta</b> Paul Kirisitz, Acting <a href="mailto:paul.kirisitz@acf.hhs.gov">paul.kirisitz@acf.hhs.gov</a> Portals Building 8 <sup>th</sup> Floor, Suite 8110 West 1250 Maryland Avenue Washington, DC 20224 (202) 205-6733 <b>States:</b> Alabama, Mississippi, Florida, North Carolina, Georgia, South Carolina, Kentucky, Tennessee	IX	<b>Region IX - San Francisco</b> Douglas Southard <a href="mailto:douglas.southard@acf.hhs.gov">douglas.southard@acf.hhs.gov</a> 90 7 <sup>th</sup> Street - 9 <sup>th</sup> Floor San Francisco, CA 94103 (415) 437-8425 <b>States and Territories:</b> Arizona, California, Hawaii, Nevada, Outer Pacific—American Samoa Commonwealth of the Northern Marianas, Federated States of Micronesia (Chuuk, Pohnpei, Yap) Guam, Marshall Islands, Palau
V	<b>Region V - Chicago</b> Angela Green <a href="mailto:angela.green@acf.hhs.gov">angela.green@acf.hhs.gov</a> 233 N. Michigan Avenue Suite 400 Chicago, IL 60601 (312) 353-9672 <b>States:</b> Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin	X	<b>Region X - Seattle</b> Tina Minor <a href="mailto:tina.minor@acf.hhs.gov">tina.minor@acf.hhs.gov</a> 2201 Sixth Avenue, Suite 300, MS-70 Seattle, WA 98121 (206) 615-3657 <b>States:</b> Alaska, Idaho, Oregon, Washington

## NCANDS State Contact

Attachment E

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**NCANDS State Contact****Attachment E**

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Annual Reporting of Education and Training Vouchers Awarded

Name of State:

	Total ETVs Awarded	Number of New ETVs
<u>Final Number:</u> <b>2012-2013 School Year</b> (July 1, 2012 to June 30, 2013)		
<b>2013-2014 School Year*</b> (July 1, 2013 to June 30, 2014)		

Comments:

\*in some cases this might be an estimated number since the APSR is due June 30, 2014.

## **Attachment G - States**

### **Current Variances in Title IV-B Provisions of Law And Regulation**

#### **I. Title IV-B Requirements in Statute but not Regulations<sup>\*</sup>**

##### **A. Title IV-B, subpart 1.**

###### **1. Program Name Changed to Stephanie Tubbs Jones Child Welfare Services Program.**

This change occurred when the Child Welfare Services program was amended by the Fostering Connections to Success and Increasing Adoptions Act of 2008 (Public Law 110-351).

###### **2. Authorization for Funding.**

The Child and Family Services Improvement Act of 2006 (Public Law 109-288) removed section 420 of the Social Security Act (Act) as well as the permanent authorization in section 421 of the Act, which changed title IV-B subpart 1 from a permanent authorization to a five-year authorization. This change supersedes the allocation regulated in 45 CFR 1357.30(b). In addition, instead of spending funds according to a definition of “child welfare services” in former section 425(a)(1) of the Act and 45 CFR 1357.10(c), funds must now be spent in accordance with the new program purpose added by Public Law 109-288 which can be found at 421 of the Act.

###### **3. Assurance Regarding Use of Cross-Jurisdictional Resources.**

The Safe and Timely Interstate Placement of Foster Children Act of 2006 (Public Law 109-239) requires that State plans for child welfare services contain assurances that the State will make effective use of cross-jurisdictional resources to facilitate timely adoptive or permanent placements for children.

###### **4. Description of Activities for Children Adopted from Overseas.**

The Intercountry Adoption Act of 2000 (Public Law 106-279) added section 422(b)(11) to title IV-B, which states that the plan for Child Welfare Services must contain a description of activities that the State has undertaken for children adopted from other countries, including the provision of adoption and post-adoption services.

###### **5. Information on Children Adopted from Other Countries Who Enter State Care.**

Public Law 106-279 added section 422 (b)(12) of the Act to title IV-B. This provision requires that State plans for child welfare services provide that the State will collect and report information on children who are adopted from other countries and who enter State custody as a result of the disruption of an adoptive placement, or the dissolution of a finalized adoption. Such information must include the reasons for disruption or

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<sup>\*</sup> This section describes new requirements in title IV-B of the Social Security Act that are relevant to the Child and Family Services Plan and the Annual Progress and Services Report. This appendix may not include all amendments to title IV-B requirements.

dissolution, the agencies who handled the placement or adoption, the plans for the child, and the number of children to whom this pertains.

#### **6. Assurance Regarding Administrative Costs.**

Public Law 109-288 added a new section 422(b)(14) of the Act to title IV-B subpart 1, requiring grantees to assure that not more than 10 percent of expenditures related to activities funded from IV-B, subpart 1 will be used for administrative costs. Public Law 109-288 also added a definition of “administrative costs” at section 422(c)(1) of the Act.

#### **7. Consultation with Medical Professionals.**

Section 422(b)(15) of title IV-B, subpart 1 has been amended three separate times since 2008 (Public Laws 112-34, 111-148 and 110-351). Under the provision, title IV-B agencies must coordinate with other agencies, pediatricians and other experts in health care and child welfare services to develop a plan for the ongoing oversight and coordination of health care services for children in foster care. The plan must include a strategy to identify and respond to the health care needs of children in foster care placements, including mental health and dental health care needs and shall include an outline of:

- a schedule initial and follow-up health screenings,
- how the health needs identified through the screenings will be monitored and treated, including emotional trauma associated with a child’s maltreatment and removal from home,
- how medical information for children in care will be updated and appropriately shared, which may include development and implementation of an electronic health record,
- steps to ensure continuity of care, which may include establishment of a medical home for every child in foster care,
- oversight of prescription medicines and protocols for the appropriate use and monitoring of psychotropic medications, as part of its current oversight of prescription medicines (sections 422(b)(15)(A)(ii) and (v) of the Act),
- how the title IV-B agency actively consults with and involves medical and non-medical professionals in assessing the health and well-being of children in care and determining the appropriate medical treatment, and
- steps to ensure that the health care needs of children aging out of foster care in accordance with section 475(5)(H) of the Act, including options for health insurance, information about a health care power of attorney, health care proxy, or other similar document recognized under State law, and to providing the child with the option to execute such a document.

#### **8. Disaster Response Procedures.**

Public Law 109-288 added a new section 422(b)(16) of the Act requiring grantees to provide a description and plan of their disaster response procedures.

#### **9. Caseworker Visits.**

Public Law 109-288 added a new section 422(b)(17) to title IV-B, subpart 1 requiring that State and Tribal title IV-B agencies describe the standards for content and frequency



of caseworker visits for children in foster care. It also added sections 424(e)(1) and (2) to the Act, setting out caseworker visit standards and penalties for failing to meet such standards for states.

Public Law 112-34 redesignated sections 424(e)(1) and (2) of the Act as section 424(f) and revised the monthly caseworker visit data standards, requiring state title IV-B agencies to meet certain percentage standards regarding total number of monthly caseworker visits; caseworker visits that occur in the child's residence; and provided penalties for failing to meet these standards by reducing FFP.

#### **10. Collaboration with State Courts.**

The Deficit Reduction Act of 2005 (Public Law 109-171) added section 422(b)(13) to the Act to require that grantees demonstrate substantial, ongoing, and meaningful collaboration with State courts in the development and implementation of the title IV-B plan.

#### **11. Use of Funds.**

Public Law 109-288 amended section 424(c) and (d) of the Act to prohibit State title IV-B agencies from using more than the amount of non-Federal funds it spent in FY 2005 on foster care maintenance payments as match for the title IV-B, subpart 1, program, and prohibited States from spending title IV-B subpart 1 funds on child care, foster care maintenance or adoption assistance payments in excess of the amount of funds they spent on these activities in FY 2005. The statutory prohibition supersedes the regulatory provisions at 45 CFR 1357.30(e)(2), (e)(3) and (g). Section 424(c) and (d) does not apply to Tribal IV-B agencies.

#### **12. Case review system.**

##### *Credit Reports for Youth in Foster Care*

Section 422(b)(8) of the Act requires title IV-B agencies to comply with case review system in section 475 of the Act. Public Law 112-34 amends the case review system definition to require that each child age 16 and older in foster care receives a copy of any consumer credit report each year until discharged from foster care, and must be assisted in interpreting the credit report and resolving any inaccuracies (section 475(5)(I) of the Act).

##### *Educational Stability Case Plan Requirement*

Public Law 112-34 requires titles IV-B/IV-E agencies to meet the educational stability case plan requirement at the time of each placement change, not just at initial placement into foster care as was the original requirement under Public Law 110-351 (section 475(1)(G) of the Act).

#### **13. Children under 5.**

Public Law 112-34 added section 422(b)(18) to the Act requiring State and Tribal title IV-B agencies to describe in their title IV-B plan:

- A description of the activities undertaken by the State to reduce the length of time that young children under the age of five are in foster care without a permanent family; and
- A description of the activities the State undertakes to address the developmental needs of children under the age of five who receive services under the title IV-B or IV-E programs.

#### **14. Child Maltreatment Deaths.**

State title IV-B agencies must describe the sources used to compile information on child maltreatment deaths and, if applicable, why certain sources of information from the State vital statistics department, child death review teams, law enforcement agencies or offices of medical examiners or coroners are excluded and how the agency will include the information (section 422(b)(19) of the Act).

#### **15. Diligent Recruitment**

Public Law 103-382 amended section 422(b) of the Act to require that title IV-B agencies provide for the diligent recruitment of potential foster and adoptive families that reflect the ethnic and racial diversity of children for whom foster and adoptive homes are needed.

### **B. Title IV-B, subpart 2.**

#### **1. Program Name Changed to Promoting Safe and Stable Families.**

This change occurred when the original Family Preservation and Family Support program was expanded by Public Law 105-89. Funding was also increased at that time and also with the program reauthorization in 2001 (section 430(a) of the Act).

#### **2. Addition of Language to subpart 2 Definitions of the Service Categories re: Infant Safe-Haven Programs, Strengthening Parental Relationships, and Promotion of Healthy Marriages.**

Public Law 107-133 amended the definition of Family Preservation Services in Section 431(a)(1)(F) of the Act to allow grantees to support infant safe haven programs to allow a parent to safely relinquish a newborn infant. The law also added to the definition of Family Support Services. Specifically, grantees may support services to strengthen parental relationships and promote healthy marriages (section 431(a)(2) of the Act). The definitions for family preservation and family support services in the regulations at 45 CFR 1357.10 should be read in conjunction with these statutory definitions.

#### **3. Addition of Service Categories of Time-Limited Reunification Services and Adoption Promotion and Support.**

The 1997 reauthorization of the title IV-B, subpart 2 program (Public Law 105-89) affirmed the use of Federal funds for community-based family support services and family preservation services. It also required grantees to spend a portion of funds for time-limited family reunification services and adoption support services. The two latter categories allow grantees to fund services that facilitate the reunification of children in foster care with their families in a timely and safe manner, and encourage more adoptions

out of the foster care system, expedite the adoption process, and support adoptive families as necessary to allow them to make a lifetime commitment to their children (sections 431(a)(7) and (8) of the Act). In general, requirements in the regulations related to family preservation and support mean all four allowable service categories.

#### **4. Revised Definitions.**

##### *Expanded Definition of Non-Federal Funds for Non- Supplantation Provision.*

Public Law 105-89 added a definition of non-Federal funds for purposes of the title IV-B, subpart 2 non-supplantation requirement at section 432(a)(7)(A) of the Act. Non-federal funds are defined as State funds, or at State option, State and local funds. This means that a State may consider the amount of both local and State funds spent on Promoting Safe and Stable Families Program services in determining which funds may not be supplanted by Federal funds. This statutory definition of non-Federal funds in Section 431(a)(9) of the Act supersedes the regulatory definition in 45 CFR 1357.32(f).

##### *Family support services.*

Public Law 112-34 amended the definition of family support services to add mentoring as an allowable purpose (section 431(a)(2) of the Act).

##### *Time limited reunification services.*

Public Law 112-34 amended the definition of time limited reunification services to allow peer-to-peer mentoring and support groups for parents and primary caregivers, as well as services and activities to facilitate access to and visitation of children with parents and siblings (sections 431(a)(7) of the Act);

##### *Indian Tribe and Tribal organization.*

Public Law 112-34 amended the definitions of “Indian Tribe” and “Tribal organization” to conform to the definitions used in the Indian Self-Determination and Education Assistance Act. This makes the definitions of “Indian Tribe” and “Tribal organization” consistent across the title IV-B, subparts 1 and 2 programs (sections 431(a)(5) and (6) of the Act).

#### **5. Expenditure Reports.**

Public Law 109-288 amended sections 432(a)(8)(B) and (c) in subpart 2 of the Act to require that States and Tribes submit their planned child and family services expenditures for the next fiscal year, as well as actual expenditures for the preceding fiscal year along with numbers of families and children served, the population served and geographic areas served by agency. These amended sections add to the regulatory provision in 45 CFR 1357.15(n)(3)(iv) and 1357.16(b).

#### **6. Secretarial Authority to Exempt Tribes on Administrative Cost and Significant Portion Limitations.**

Public Law 109-288 amended section 432(b)(2) of the Act by permitting the Secretary to exempt Indian Tribes from the two requirements in sec 432(a)(4) of the Act only: 1) limiting 10 percent of its total expenditures of each fiscal year’s total title IV-B, subpart 2

funds for administrative costs; and 2) spending a significant portion of funds on each of the four service categories. This supersedes the Secretary's authority to waive other State plan requirements as stated in 45 CFR 1357.50(f)(2). ACF is exercising the statutory authority to waive the two provisions; however, Tribes are now required to assure that subpart 2 funds will not be used to supplant Federal or non-Federal funds expended under subpart 2.

**7. Re-allotments of Title IV-B, subpart 2 Funds.**

The Promoting Safe and Stable Families Amendments of 2001 (Public Law 107-133) added Section 433(d) of the Act to allow the Secretary to re-allot unneeded portions of title IV-B, subpart 2 allocations to other grantees, so that the total appropriation remains available for program purposes. The grantee must certify that grant funds are not needed before they can be re-allotted.

**8. Title IV-B, subpart 2, Limitation on Administrative Costs.**

Public Law 109-288 added section 434(d) to the Act prohibiting States from expending more than 10 percent of its total Federal and State expenditures of each fiscal year's total title IV-B, subpart 2, funds on administrative costs.

**9. Monthly Caseworker Visit Standards and Use of Funds**

Public Law 112-34 revised the purpose for the use of title IV-B, subpart 2 formula grants provided to States for monthly caseworker visits. States must use monthly caseworker visit funding to improve the quality of caseworker visits with an emphasis on improving caseworker decision-making on the safety, permanency, and well-being of foster children and caseworker recruitment, retention and training (section 436(b)(4)(B)(i) of the Act).

**10. Risk of maltreatment.**

Public Law 112-34 added section 432(a)(10) to the Act requiring the State or Tribal IV-B to identify and describe which populations are at the greatest risk of maltreatment, how the State/Tribe identified these populations, and how services are targeted to those populations.

**C. Federal Program Name Changes.**

Since the regulations were issued, a number of Federal programs referenced in the regulations have undergone significant changes, including name changes. States should note the following name changes in meeting the consultation requirements in 45 CFR 1357.15(l)(3)(viii):

1. "Part H programs" are now programs under Part C of the Individuals with Disabilities Education Assistance (IDEA) Act
2. "Title IV-A" is also known as the Temporary Assistance for Needy Families program (TANF)
3. The "child care and development block grant (CCDBG)" is also known as the Child Care Development Fund (CCDF)

4. "Community-Based Family Resource Programs" are now known as either Title II programs under the Child Abuse Prevention and Treatment Act (CAPTA) or Community-Based Grants for the Prevention of Child Abuse.
5. The Food Stamp Program is now known as the Supplemental Nutrition Assistance Program (SNAP).

## **II. Obsolete Title IV-B Provisions Still in Regulation<sup>†</sup>**

### **A. References to Dates and Submission Timeframes that Have Passed.**

1. The regulations at 45 CFR 1357.15 refer to numerous timelines that have passed. This is because the regulation was based on the initial Family Preservation and Family Support legislation. With the exception of the obsolete requirements listed below, **the required elements of the APSRs and CFSPs apply on an annual or five-year cycle as applicable, regardless of the dates listed.**

#### **2. Phase-in Expired.**

At 45 CFR 1357.15(a)(4), there is reference to the phase-in of the requirements for a consolidated CFSP by June 30, 1997. The phase-in period has expired and consolidation of the CFSP is now required. See also similar references for phasing in consolidation of the CFSP with expired dates in 45 CFR 1357.15 (b)(2), (3), (5), (7), (k)(1) 1357.16(a)(7), and 1357.16(b) (4), (c), (e) and (f).

### **B. Assurances.**

#### **1. Title IV-B, subpart 1 Reference to Child Care Standards Removed.**

Public Law 109-288 removed the provisions in section 422(b)(3) of the Act that required States and Tribes to assure that day care facility standards and requirements correspond with the child care standards imposed under title XX. Therefore, the regulatory provision at 45 CFR 1357.15(c)(4) is obsolete.

#### **2. Title IV-B, subpart 1 Training and Use of Professional Staff and Volunteers Provisions Removed.**

Public Law 109-288 removed the assurance in section 422(b)(4) of the Act requiring States and Tribes to assure they will have a plan for the training and use of paid paraprofessional staff and for the use of partially paid or unpaid volunteers in providing services and assisting any advisory committees established by the State or Tribe. Therefore, the regulatory provision at 45 CFR 1357.15(c)(3) regarding training and use of professional staff and volunteers is obsolete.

#### **3. References to Title IV-B, subpart 1 Assurances in Section 422(b)(9) of the Act.**

The regulation at 45 CFR 1357.15(q) requires the CFSP to explain how services will help meet permanency provisions for children and families at section 422(b)(9) of the Act, but

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<sup>†</sup> This section describes obsolete requirements in the regulations at 45 CFR 1357 that are relevant to the Child and Family Services Plan and the Annual Progress and Services Report. This appendix may not include all obsolete requirements.

the actual section of the Act that addresses this issue is now located at section 422(b)(8) of the Act.

**C. Other Obsolete Provisions.**

**1. CFSP Requirement that a Significant Portion of Funds are Used for Family Support and Family Preservation Services.**

At 45 CFR 1357.15(s), the regulation requires that States use a significant portion of funds for family preservation and family support services. The requirement for significant portion previously required States to provide a strong rationale if they planned to expend less than 25% of their title IV-B, subpart 2 funds for either family preservation or family support. As a result of the expansion of title IV-B, subpart 2 to include two new services, the significant portion requirement changed to 20%. The significant portion requirement applies to all 4 services including time limited family reunification services and adoption promotion and support services. Program Instructions on the APSR (beginning with ACYF-CB-PI-98-03) provide guidance to States on how to determine the significant portion requirement.

**2. Authority for Requirements and Funding Formerly under Section 427 of the Act.**

The obsolete regulation is 45 CFR 1357.25. Section 427 was added to title IV-B by the Adoption Assistance and Child Welfare Act of 1980 (Public Law 96-272). The section offered incentive funds to States and Indian Tribes if they provided certain protections for children in foster care. Public Law 103-432 then repealed section 427 of the Act effective for fiscal years beginning after April 1, 1996. Public Law 110-351 added a new section 427 of the Act to authorize family connection grants.

**3. Title IV-B, subpart 1 Funding Authorization.**

Public Law 109-288 removed section 420 of the Act as well as the permanent authorization in section 421 of the Act, which changed title IV-B subpart 1 from a permanent authorization to a five-year authorization. This change supersedes the allocation regulated in 45 CFR 1357.30(b). In addition, instead of spending funds according to a definition of “child welfare services” in former section 425(a)(1) of the Act and 45 CFR 1357.10(c), funds must be spent in accordance with the new program purposes in section 421 of the Act, added by Public Law 109-288.

**4. CAPTA**

In the past, States were required to consolidate the plan for the CAPTA State grant into the CFSP. However, Public Law 111-320 removed the requirement that States must prepare and submit a CAPTA plan every five years. Instead, the State must submit a CAPTA plan to the Department of Health and Human Services (HHS) that will remain in effect for the duration of the State’s participation in the grant program. States are no longer required to include the CAPTA State plan in future five-year CFSP submissions. However, to facilitate coordination between the CAPTA State plan and title IV-B, the State must continue to submit a description of how the State is using CAPTA funds with the APSR. This requirement supersedes the regulatory requirements in 45 CFR 1357.15(a)(2)(ii).

**5. Expanded Definition of Non-Federal Funds for Non-Supplantation Provision.**

Public Law 105-89 added a definition of non-Federal funds for purposes of the title IV-B, subpart 2 non-supplantation requirement at 432(a)(7)(A) of the Act. Non-federal funds are defined as State funds, or at State option, State and local funds in section 431(a)(9) of the Act. This means that a State may consider the amount of both local and State funds spent on Promoting Safe and Stable Families Program services in determining which funds may not be supplanted by Federal funds. This statutory definition of non-Federal funds at section 431(a)(9) of the Act supersedes the regulatory definition in 45 CFR 1357.32(f).

**6. Redesignation of Payments and Allotments.**

Public Law 109-288 amended provisions for payments and allotments by redesignating section 421 of the Act as section 423 of the Act and section 423 of the Act as section 424 of the Act. Throughout the regulatory provisions found at 45 CFR 1357, statutory references to section 421 of the Act should be references to section 423 of the Act. Statutory references to section 423 of the Act should be read as section 424 of the Act.