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| <h1>ACF</h1> <p>Administration for Children and Families</p> | U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration on Children, Youth and Families | |
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PROGRAM INSTRUCTION

TO: State Agencies, Territories, and Insular Areas Administering or Supervising the Administration of Title IV-B, subparts 1 and 2 of the Social Security Act, and Title IV-E of 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, 2011 submission of the Annual Progress and Services Report (APSR) required under Title IV-B of the Social Security Act (the Act) for the Stephanie Tubbs Jones Child Welfare Services (CWS) and Promoting Safe and Stable Families (PSSF) Programs, the Child Abuse Prevention and Treatment Act (CAPTA) State Grant Program; and the Chafee Foster Care Independence Program (CFCIP) and the Education and Training Vouchers (ETV) Program; and 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: The Fostering Connections to Success and Increasing Adoptions Act of 2008 (Public Law (P.L.) 110-351); Title IV-B, subparts 1 and 2, sections 421-425, 428, 430-438, and Title IV-E, section 477 of the Act; section 106 of CAPTA(42 U.S.C. 5106a.), as amended by 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; and the Patient Protection and Affordable Care Act (P.L. 111-148).

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 fiscal year (FY) 2012 (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 APSR, new CAPTA State plan and the CFS-101, Part I, II, and III.

We note that the title IV-B programs are required to be reauthorized periodically by the Congress. The Child and Family Services Improvement Act of 2006 last reauthorized funding for these programs for five years for FYs 2007 – 2011. Therefore, the programs are due to be reauthorized again prior to the award of grants for FY 2012. The guidance provided in this PI assumes that the programs will be extended without significant changes. Should new legislation be enacted that would affect the steps that States must take to receive funding for FY 2012, additional guidance will be provided.

INFORMATION: Organization of the Program Instruction:

- Section A. Background
- Section B. Submittal Rule for Insular Areas
- Section C. Instructions for States, Puerto Rico and the District of Columbia
- Section D. Child Abuse Prevention and Treatment Act State Plan Requirements
- Section E. Chafee Foster Care Independence and Education and Training Vouchers Programs
- Section F. Statistical and Supporting Information
- Section G. Financial Information
- Attachments

Section A. Background

Child and Family Services Plan (CFSP)

Every five years, States are required to develop a CFSP, a five-year strategic plan that sets forth the vision and the goals to be accomplished in order 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 consolidated these plans to help States plan comprehensively for the full array of child welfare services, from prevention and protection through permanency (45 CFR 1357.15(a)). In the past, States have also been required to consolidate the plan for the CAPTA State grant into the CFSP. However, a recent change in law eliminated the requirement to develop a five-year plan for CAPTA. Revised State plan requirements for CAPTA are addressed below.

The most recent CFSP, which was submitted on June 30, 2009, provided States' plans for their child welfare programs for FYs 2010 through 2014.

Annual Progress and Services Report (APSR)

The APSR provides an annual update on the progress made toward accomplishing the goals and objectives in the CFSP. Completion of the APSR satisfies the Federal regulations at 45 CFR

1357.16 by providing updates on a State's annual progress for the previous fiscal year and planned activities for the upcoming fiscal year.

In order for States and Territories to receive FY 2012 funds for title IV-B, CFCIP and ETV programs, the APSR must be submitted electronically to Children's Bureau (CB) Regional Offices (ROs) by June 30, 2011. In addition, a signed CFS-101, Annual Budget Request for title IV-B, subparts 1 and 2, CAPTA, CFCIP and ETV programs must be mailed or a signed .pdf file emailed to the ROs. (See addresses at Attachment C.) The ROs will be working with States to ensure that the information provided adequately addresses the requirements. Upon approval, the RO will forward the State's request for funding to the Central Office. The RO will not forward the CFS-101 to the CB Central Office for funding until all requirements for the APSR are met. The CFS-101, Parts I, II, and III, is located in Attachment B.

It is important that 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 ACF. If there are questions in preparing the APSR, please contact the CB Regional Office State Specialist.

Plans and activities included in the APSR must meet the provisions of 45 CFR 1357, title IV-B, subparts 1 and 2, title IV-E, and section 477 of the Act. These programs provide a critical source of funding for ensuring the safety, permanency, and well-being of children.

In preparing the APSR, each State must conduct an interim review of the progress made in the past year toward accomplishing the goals and objectives in the CFSP based on updated information and current data. In accordance with 45 CFR 1355.53, States with a Statewide Automated Child Welfare Information System (SACWIS) are generally expected to utilize data obtained from the case management system in developing the APSR, citing the source as such.

When conducting the annual review in preparation for submission of the APSR, the State must engage the agencies, organizations, and individuals, e.g., the State's Court Improvement Program, Tribes, youth, families, the Community-Based Child Abuse Prevention (CBCAP) lead agency, providers, and faith-based and community organizations, who are part of the ongoing CFSP-related consultation and coordination process, in accordance with 45 CFR 1357.16. States are also reminded that the CFSP and subsequent APSRs must integrate the findings of reviews including the Child and Family Services Review (CFSR), an Adoption and Foster Care Analysis and Reporting System (AFCARS) Assessment Review, the title IV-E Foster Care Eligibility Review, and other relevant CB reviews, as well as planned activities identified in any Program Improvement Plans (PIPs) when addressing services and programs under this APSR.

Recommended strategies to integrate more fully the APSR and CFSR processes include having the same staff involved in both the APSR and CFSR processes, using the same group of community stakeholders to provide input to both processes, and States are encouraged to format the APSR in a manner that mirrors either the CFSR statewide assessment or the CFSR PIP.

Other resources that may be helpful to States include documents written by CB, such as the attachment to ACF-CB-IM-02-04 and ACYF-PI-07-06, which can be found at: http://www.acf.hhs.gov/programs/cb/laws_policies/policy/pi/index.htm. These documents

provide guidance as States look to incorporate specific findings and solutions from the CFSR into the broader CFSP and APSR.

Please note that there is no one required format for the APSR. Provided all required information is included, States are free to develop a format that they determine will facilitate more complete integration of the APSR and CFSR processes.

CAPTA Reauthorization

The President signed the CAPTA Reauthorization Act of 2010, Public Law 111-320 into law on December 20, 2010. (See ACYF-CB-IM-11-02 for more information on the CAPTA reauthorization.) Among other provisions, the law reauthorized the CAPTA State grant program through FY 2015 and made other amendments that affect the submission of the CAPTA plan due on June 30, 2011. Amendments include the addition of new State plan assurances, modifications to the funds allocation formula and revisions to the programmatic areas toward which CAPTA State grant funds may be directed. The law also removes the requirement that States must prepare and submit a State plan every five years. Instead, each State must now submit a plan that will remain in effect for the duration of the State's participation in the grant program, with additional conditions (section 106(b)(1)(B)(i) of CAPTA, as amended):

- The State must periodically review and revise the plan to reflect any changes in the State's strategies or programs under the grant program (section 106(b)(1)(B)(ii));
- The State must provide notice to CB of any substantive changes relating to the prevention of child abuse and neglect that may affect the State's eligibility for the grant program including statutory and regulatory changes (section 106(b)(1)(C)(i));
- The State must continue to provide notice to CB of any significant changes in how the State is using grant funds which differ from those described in the State's current State plan (section 106(b)(1)(C)(ii)); and
- The State must continue to prepare and submit an annual report describing how the funds provided under CAPTA were used to address the purposes and achieve the objectives of the grant program (section 108(e)).

States are also required to provide an assurance that the CAPTA State plan, to the maximum extent practicable, is coordinated with the State plan required under title IV-B of the Social Security Act (section 106(b)(2)(A)).

Therefore, in light of these statutory changes and requirements, States will no longer be required to include the CAPTA State plan in future five-year CFSP submissions. Rather, a new State plan submission, including submission of new State plan assurances signed by the Governor, is required this year. Consistent with the provisions of the law, as amended, this new plan submission, once approved by CB, will remain in effect for the duration of the State's participation in the CAPTA State grant program. However, to facilitate coordination between the CAPTA State plan and title IV-B, CB will continue to require that the annual report

describing use of CAPTA funds be submitted with the APSR. In addition, consistent with the State plan assurance requiring coordination between CAPTA and title IV-B programs, as well as the benefits to be gained by planning comprehensively for the full array of child welfare and child protective services, CB encourages States to continue to consider how use of CAPTA State grant funds aligns with and supports their overall goals for the delivery and improvement of child welfare services, as they continue to implement their current CFSP and as they develop future five-year plans. Additional directions for the submission of the new CAPTA State grant program are provided in Section D below.

Section B. Submittal Rule for Insular Areas

The Virgin Islands, Guam, American Samoa, and the Northern Mariana Islands may submit consolidated grant applications in accordance with 45 CFR Part 97. These jurisdictions do not need to submit an APSR as described in this PI if they choose to have their title IV-B, subparts 1 and/or 2 and/or CAPTA allotments included in a consolidated grant and expend these funds under authority of another program that is available for consolidation. If the Insular Areas choose to consolidate their applications for FY 2012 title IV-B, subparts 1 and/or 2, and/or CAPTA, they must notify their CB RO in writing of their intent by June 30, 2011.

Insular Areas that choose to submit an APSR may do so and must follow the guidance included under Section C. The plan must be submitted to their CB RO by June 30, 2011.

Section C. Instructions for States, Puerto Rico and the District of Columbia

APSR Submission

States must submit an electronic copy of their APSR in Microsoft Word to the RO by June 30, 2011. The APSR may be submitted as an attachment to an e-mail or on a compact disc. As part of the submission, please also include a web link to where the APSR is posted. At this time, please do not embed .pdf files or documents in the APSR documents or in the submission.

We are requesting that States submit the new CAPTA State Plan as a separate document from the APSR submission and not as a chapter or attachment to the APSR.

In addition, the State must submit required budget forms by mail or e-mail in .pdf file format, including:

- CFS-101, Part I for FY 2012 with required signature;
- CFS-101, Part II with planned expenditures for FY 2012;
- CFS-101, Part III with estimated and actual expenditures for FY 2009 for the title IV-B, and, at State option, the CFCIP and ETV programs.

In addition, if a State wishes to revise its previously approved funding request for FY 2011, 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 2011 indicating:

1. the amount of funds that the State does not expect to utilize from its FY 2011 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).

Certifications and Assurances: Certification and assurances submitted with the 2010-2014 CFSP and for compliance with the Patient Protection and Affordable Care Act (the CFCIP Certification) do not need to be re-submitted unless a change in the State has occurred so that a new certificate is warranted. Copies of the full assurances were provided in Attachment C of ACYF-CB-PI-09-06 located at:

http://www.acf.hhs.gov/programs/cb/laws_policies/policy/pi/2009/pi0906.htm. A copy of the Chafee Foster Care Independent Program Certification for compliance with the Patient Protection and Affordable Care Act is available at:

http://www.acf.hhs.gov/programs/cb/laws_policies/policy/pi/2010/pi1010.htm.

The APSR must address each of the following:

- 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;
- Adoption Incentive Funds;
- Training activities in support of the CFSP goals and objectives, including training funded by title IV-B and IV-E;
- CFCIP;
- ETV; and
- Child Welfare Waiver Demonstrations approved under section 1130 of the Act, as appropriate.

1. Service Description for Each of the Programs Listed Above

- Report on the specific accomplishments and progress achieved to date in the past fiscal year toward meeting each goal and objective in the CFSP including improved outcomes for children and families, as well as providing a more comprehensive, coordinated, and effective child and family services continuum (45 CFR 1357.16(a)(1)). Cite relevant State and local data supporting the State's assessment of the progress toward meeting the goals and objectives of the CFSP.
- If applicable, describe the steps the State agency will take to expand and strengthen the range of existing services and to develop and implement services to improve child

outcomes. Explain planned activities, new strategies for improvement, and the method(s) to measure progress in the upcoming fiscal year.

- Describe any revisions to the goals and objectives established in the CFSP (45 CFR 1357.16(a)(2)).
- Update the goals and objectives to incorporate areas needing improvement that were identified in a CFSR, title IV-E, AFCARS, or other program improvement plans. If the current CFSP does not have a goal or objective that addresses the area needing improvement, the goal/objective must be added to the APSR.
- Describe the services to be provided in FY 2012, highlighting any changes or additions in services or program design and how the services will assist in achieving program purposes (45 CFR 1357.16(a)(4)). For each service described above, report:
 1. the population(s) to be served;
 2. the geographic areas where the services will be available; and
 3. the estimated number of individuals and families to be served.

This information may be provided in Part II of the CFS-101 form (Attachment B).

- Indicate if there are no planned changes to the program.

2. Collaboration

- Describe activities in the ongoing process of coordination and collaboration efforts conducted across the entire spectrum of the child and family service delivery system. This should include stakeholder or partner involvement in the review of progress made in the past fiscal year and expected updates for the coming year (45 CFR 1357.15(l)).
- Provide an update on how the State has demonstrated substantial, on-going, and meaningful collaboration between the child welfare agency and the courts with regard to the development of the APSR and any CFSR or title IV-E program improvement plans (section 422(b)(13) of the Act).

3. Program Support

- If appropriate, update the training plan that was submitted with the CFSP. Any training activity paid for with title IV-E funds that were not included in the CFSP training plan or added in last year's APSR must be included in the updated training plan.
- For any new training not previously described, the State must address the following in its updated training plan for all types of training:
 - 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;
- Whether any amount allocable to a title IV-E program is to be claimed at the regular FFP rate of 75% or at the transitional FFP rate (70% in FY 2012) applicable to Relative Guardian and Professional Partner training;
- Description of estimated total cost; and
- Cost allocation methodology.

(See ACYF-CB-PI-09-06 for further guidance on information that must be included in the training plan.)

- Include updates on staff development plans paid for by the caseworker visit funding (section 436(b)(4) of the Act), which may include activities designed to improve caseworker retention, recruitment, training and access to technology.
- Describe the State's technical assistance provided to counties and other local or regional entities that operate State programs and its impact on the achievement of CFSP/APSR goals and objectives. Describe training and technical assistance that will be provided in the upcoming fiscal year. (See 45 CFR 1357.16(a)(5).)
- Describe the technical assistance that the State anticipates requesting from the CB Training and Technical Assistance network, including National Resource Centers, Implementation Centers, and Quality Improvement Centers, in support of the CFSP/APSR goals and objectives (45 CFR 1357.16(a)(5)).
- Describe child and family services related research, evaluation, management information systems, and/or quality assurance systems that will be updated or implemented in FY 2012. Specify any additions or changes in services or program designs that have been found to be particularly effective or ineffective based on the State's evaluation of programs. (See 45 CFR 1357.16(a)(5).)

4. Coordination with Tribes

In accordance with section 422(b)(9) of the Act, States were 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).

In the APSR:

- Describe the process used to consult with Tribes in the past year. Provide specific information on the name of Tribes and Tribal representatives with whom the State has consulted. (States without Federally recognized Tribes within their borders should still consult with Tribal representatives.) (See 45 CFR 1357.15(l).)

- Citing any available 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. Listed below are some components in ICWA that States must address in consultation with Tribes and in the CFSP:
 - 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.
- Update the goals and describe the specific activities that have been or will be undertaken to improve or maintain compliance with ICWA. Include information on any changes to laws, policies or procedures, and/or a description of trainings implemented to increase compliance with ICWA.
- State agencies and Tribes must also exchange copies of their CFSP and their APSR. Describe how the State is meeting this requirement. (See 45 CFR 1357.15(v).)
- Provide information regarding consultations 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 Act (section 477(b)(3)(G) of the Act). This instruction is further delineated in Section E of this PI.

In carrying out continued consultation and coordination with Tribes, States should be aware of changes in law made by P.L. 110-351 that may affect State-Tribe relations in the delivery of child welfare services to Indian children, youth and families. The law created a new section 479B of the Act, effective October 1, 2009, which allows Federally-recognized Tribes, Tribal consortia, and Tribal organizations to apply to the Secretary to receive title IV-E funds directly from the Secretary for foster care, for adoption, and, at Tribal option, for guardianship assistance programs. It also creates an option for Tribes with an approved title IV-E plan or a title IV-E Tribal/State agreement to receive directly from the Secretary a portion of the State's CFCIP and ETV allotments to provide services to Tribal youth.

The opportunity to operate a title IV-E, CFCIP, and/or ETV program is not time limited by the law. A Tribe has the discretion to determine whether or when it wants to develop its own title IV-E, CFCIP, and/or ETV program. 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).

The law explicitly permits Indian Tribes to continue existing title IV-E agreements with States and/or enter into new agreements with States to administer all or part of the title IV-E program on behalf of Indian children and to access title IV-E administration, training, and data collection

resources (section 479B(e) of the Act). To support such Tribal/State agreements, the law permits Federal reimbursement of certain title IV-E payments (i.e., assistance payments) under such agreements at the Tribal Federal Medical Assistance Percentage (FMAP) rate, if that rate is higher than the State FMAP rate (section 301(c)(2) of P.L. 110-351). (A Federal Register Notice published October 8, 2010 (75 FR 62396 et. seq. - and available online at: <http://edocket.access.gpo.gov/2010/2010-25344.htm>) provided a proposed methodology for establishing Tribal FMAP rates.)¹

The law also adds a title IV-E plan provision for States to negotiate in good faith with Indian Tribes seeking title IV-E agreements (section 471(a)(32)).

5. Health Care Services

P.L. 110-351 amended section 422(b)(15)(A) of the Act to require States to develop a plan for ongoing oversight and coordination of health care services for children in foster care. This plan must be developed 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.

In addition, P.L. 111-148 amended section 422(b)(15)(A) of the Act to require that the Health Care Oversight and Coordination plan developed include steps to ensure that the components of the transition plan development process required under section 475(5)(H) that relate to the health care needs of children aging out of foster care, including the ability to execute a health care proxy, are met.

The plan must describe how it will ensure a coordinated strategy to identify and respond to the health care needs of children in foster care placements, including mental health and dental health needs. The plan shall include an outline of:

- 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;
- 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 psychotropic medications); and
- 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) that relate to the health care needs of children aging out of foster care, including the new requirement to include options for health insurance, information

¹ For more information on how to submit title IV-E claims using the Tribal FMAP on behalf of children covered by Tribal/State agreements see form CB-496, Part 1, lines 2, 22, and 32 and the accompanying instructions.

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.

The requirement to develop a health care oversight and coordination plan was effective on October 7, 2008, with limited delays permitted for States certifying that State legislation is necessary to comply with the plan requirement.

- For States that submitted the health care oversight and coordination plan in the CFSP, provide an update in the APSR assessing implementation of the plan to date. Describe any modifications to the plan that the State, in conjunction with health care professionals, has determined are necessary. If applicable, please include updates or modifications made to the health care oversight and coordination plan to better meet the requirements of the transition planning process in regards to the health care needs of children aging out of foster care, as required by the Affordable Care Act (P.L. 111-148).
- For States that did not submit the plan with the CFSP because they had certified that legislation was necessary to comply with the provision and such legislation has now been enacted, submit with the APSR the required health care oversight and coordination plan, addressing each of the items enumerated above. Include an explanation of how health care experts were selected and how they and the Medicaid agency were involved in developing health care oversight and coordination plans for children in foster care. As part of the plan for responding to the mental health needs of children and for providing oversight for prescription medicines, CB encourages States to pay particular attention to oversight of the use of psychotropic medicines in treating the mental health care needs of children.
- For any States that have not yet enacted needed legislation to implement the provision, provide an update on the status of legislation and describe the steps the State is taking in the interim to work with health professionals in assessing the health and well-being of foster children and determining appropriate medical treatment.

6. Disaster Plans

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, or title IV-E, would respond to a disaster, in accordance with criteria established by the Secretary. These procedures should include 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.

States are required to review their previously submitted disaster plan to determine if changes are needed. If the State determines changes are necessary, describe the changes the State is making in the APSR or include an updated disaster plan. If the State determines that no changes are necessary, note this fact in the APSR. If the State has been affected by a disaster in the past year, describe how the plan was used and assess its effectiveness.

7. Foster and Adoptive Parent Recruitment

Section 422(b)(7) requires that the State's CFSP provide for the diligent recruitment of potential foster and adoptive families that reflect the ethnic and racial diversity of children in the State for whom foster and adoptive homes are needed. In the APSR, describe the State's progress and accomplishments made in the past year, citing any relevant data, and describe planned activities for recruiting foster and adoptive families in FY 2012. States are encouraged to utilize the resources and information developed by diligent recruitment grantees funded by the Children's Bureau located at:

<http://www.adoptuskids.org/professionalResourceCenter/diligent%2Drecruitment/>.

8. Monthly Caseworker Visits

Describe the action steps the State is taking to ensure that, by October 1, 2011, 90 percent of children in foster care are visited on a monthly basis by their workers, and that the majority of the visits occur in the residence of the child. Highlight any changes made to the planned action steps since the submission of last year's APSR (section 424(e)(1) and (2) of the Act).

Also refer to information in Section G of this PI, "Statistical and Supporting Information," for instructions on submitting FY 2011 caseworker visit data.

9. Adoption Incentive Payments

P.L. 110-351 re-authorized the Adoption Incentives Program, amending section 473A of the Act to extend the Adoption Incentive Program through FY 2013 and making other changes in the program. Information Memorandum ACYF-CB-IM-09-03, issued September 1, 2009, provided detailed information on the new provisions and procedures for determining awards. Thirty-nine States received adoption incentive awards in FY 2010.

To ensure timely and well-planned expenditure of any adoption incentives, States were required to specify in the CFSP the services they expected to provide to children and families with the adoption incentive funds and the State's plans for ensuring timely expenditure of the funds. In the APSR, report on how Adoption Incentive funds were spent in the past year and describe any changes to how the State plans to use such funds in the coming year.

10. Child Welfare Waiver Demonstration Activities (applicable States only):

If the State has been approved to operate a child welfare waiver demonstration project under section 1130 of the Act, it must provide a description of its coordination efforts to integrate the activities under the CFSP with the goals and objectives of the demonstration. In particular, the State must discuss how title IV-B monies are used to maximize the use of flexible title IV-E dollars in the demonstration.

11. Quality Assurance System

The State's CFSP was to include a description of the quality assurance (QA) system it will use to regularly assess the quality of services under the CFSP and assure that there will be steps taken to address identified problems (45 CFR 1357.15(u)). In the APSR, provide an update on the use of the quality assurance system, any problems the State has identified and the steps the State is taking to address identified problems. Describe any specific changes or improvements the State has made to programs or procedures in the past year based on QA system findings.

Section D. Child Abuse Prevention and Treatment Act State Plan Requirements

To be eligible to receive a CAPTA State grant in FY 2011, each State is required to submit a new CAPTA State plan. In accordance with section 106(b)(1)(A) of CAPTA, the State plan must specify which of the following 14 program areas described in section 106(a) it will address with grant funds, in order to improve the child protective service system of the State. The 14 program areas are shown below:

1. the intake, assessment, screening, and investigation of reports of child abuse or neglect;
2.
 - creating and improving the use of multidisciplinary teams and interagency, intra-agency, interstate, and intrastate protocols to enhance investigations; and
 - improving legal preparation and representation, including—
 - procedures for appealing and responding to appeals of substantiated reports of child abuse or neglect; and
 - provisions for the appointment of an individual appointed to represent a child in judicial proceedings;
3. case management, including ongoing case monitoring, and delivery of services and treatment provided to children and their families;
4. enhancing the general child protective system by developing, improving, and implementing risk and safety assessment tools and protocols, including the use of differential response;
5. developing and updating systems of technology that support the program and track reports of child abuse and neglect from intake through final disposition and allow interstate and intrastate information exchange;
6. developing, strengthening, and facilitating training including—

- training regarding research-based strategies, including the use of differential response, to promote collaboration with the families;
 - training regarding the legal duties of such individuals;
 - personal safety training for case workers; and
 - training in early childhood, child, and adolescent development;
- 7. improving the skills, qualifications, and availability of individuals providing services to children and families, and the supervisors of such individuals, through the child protection system, including improvements in the recruitment and retention of caseworkers;
- 8. developing, facilitating the use of, and implementing research-based strategies and training protocols for individuals mandated to report child abuse and neglect;
- 9. developing, implementing, or operating programs to assist in obtaining or coordinating necessary services for families of disabled infants with life-threatening conditions, including—
 - existing social and health services;
 - financial assistance;
 - services necessary to facilitate adoptive placement of any such infants who have been relinquished for adoption; and
 - the use of differential response in preventing child abuse and neglect;
- 10. developing and delivering information to improve public education relating to the role and responsibilities of the child protection system and the nature and basis for reporting suspected incidents of child abuse and neglect, including the use of differential response;
- 11. developing and enhancing the capacity of community-based programs to integrate shared leadership strategies between parents and professionals to prevent and treat child abuse and neglect at the neighborhood level;
- 12. supporting and enhancing interagency collaboration between the child protection system and the juvenile justice system for improved delivery of services and treatment, including methods for continuity of treatment plan and services as children transition between systems;
- 13. supporting and enhancing interagency collaboration among public health agencies, agencies in the child protective service system, and agencies carrying out private community-based programs—
 - to provide child abuse and neglect prevention and treatment services (including linkages with education systems), and the use of differential response; and
 - to address the health needs, including mental health needs, of children identified as victims of child abuse or neglect, including supporting prompt, comprehensive health and developmental evaluations for children who are the subject of substantiated child maltreatment reports; or
- 14. developing and implementing procedures for collaboration among child protective services, domestic violence services, and other agencies in—

- investigations, interventions, and the delivery of services and treatment provided to children and families, including the use of differential response, where appropriate; and
 - the provision of services that assist children exposed to domestic violence, and that also support the caregiving role of their non-abusing parents.
- The plan submission must highlight 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 (section 106(b)(1)(C)(ii)).
- As required by section 106(b)(2)(D), the plan must also include a description of:
 - The services to be provided under the grant to individuals, families, or communities, either directly or through referrals aimed at preventing the occurrence of child abuse and neglect;
 - The training to be provided under the grant to support direct line and supervisory personnel in report taking, screening, assessment, decision making, and referral for investigating suspected instances of child abuse and neglect;
 - The training to be provided under the grant for individuals who are required to report suspected cases of child abuse and neglect;
 - Policies and procedures encouraging the appropriate involvement of families in decisionmaking pertaining to children who experienced child abuse or neglect;
 - Policies and procedures that promote and enhance appropriate collaboration among child protective service agencies, domestic violence service agencies, substance abuse treatment agencies, and other agencies in investigations, interventions, and the delivery of services and treatment provided to children and families affected by child abuse or neglect, including children exposed to domestic violence, where appropriate; and
 - Policies and procedures regarding the use of differential response, as applicable.
- The State plan submission shall also contain a notification regarding 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)). 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.

Citizen Review Panels

The CAPTA reauthorization retained requirements relating to the establishment and operation of Citizen Review Panels. The only change made to this section of the law is an option to add to the membership of the panels adult former victims of child abuse or neglect (section 106(c)(2)). As in the past, the State must submit with its State plan submission, 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).

CAPTA Annual State Data Report

As in the past, CAPTA continues to require that each State annually provide, to the maximum extent practicable, an Annual State Data Report. The law added a number of new data elements to this report. (See ACYF-CB-IM-11-02 for an overview of the new data elements. The complete list can be found in section 106(d) of CAPTA, as amended.) Most information for this report has in the past been collected through the National Child Abuse and Neglect Data System (NCANDS) and CB intends to incorporate most of the new data elements into NCANDS, as well. Additional information regarding how NCANDS submissions may change to incorporate new data elements will be provided to States through separate communications.

CB has determined that the several data elements for the annual data report are best collected through inclusion in the CAPTA State plan and the annual updates that will be submitted with each APSR, rather than through NCANDS. Therefore, to the maximum extent practicable, States are to submit the following data with the CAPTA plan submission due June 30, 2011. Please note the information requested regarding the State's child protective service workforce is a new data element, while the information relating to juvenile justice transfers is information that has previously been collected as part of the State's CFSP/APSR.

1. 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 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)).

If possible, please provide data for Federal FY 2010. Please specify if another time period is used.

2. **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 Federal FY 2010 (or if specify if another time period is used). Provide contextual information about the source of this information and how the State defines the reporting population (section 106(d)(14)).

If the State is unable to provide the requested information relating to either the child protective service workforce or juvenile justice transfers, please provide an explanation as to why that is the case and describe any steps the State plans to take in order to be able to report the information in the future.

Assurances: In order to receive a CAPTA grant for FY 2012, all States are required to submit an assurance in the form of a certification signed by the Governor that the State has in effect and is enforcing a state law, or has in effect and is operating a State program that includes provisions and procedures in a number of areas relating to the operation of the State's child protection system. Please see Attachment D for the complete set of assurances. Language added or changed by the CAPTA reauthorization is highlighted in bold to assist States in identifying new requirements. If possible, the signed assurances should be submitted with the State plan by June 30, 2011. However, we recognize that obtaining the Governor's signature may take some additional time, therefore, if necessary, the CAPTA State plan assurances may be submitted separately, by no later than September 30, 2011. Please note, however, that CB cannot approve a State's grant for FY 2012 until it receives the signed assurances.

States should carefully review all of the CAPTA State plan assurances to ensure that they are meeting all requirements. However, we wanted to take this opportunity to highlight two of the new assurances:

- The State must provide an assurance that it has in effect and is enforcing a State law, or has in effect and is operating a Statewide program, relating to child abuse and neglect which includes triage procedures, including the use of differential response, for the appropriate referral of a child not at risk of imminent harm to a community organization or voluntary preventive service (section 106(b)(2)(B)(v)).

Please note that while States must now employ differential response as part of triage procedures, the statute does not define "differential response." We are aware that different definitions appear in the literature and that a variety of models are employed in State and local practice. In general, the term "differential response" refers to a child protective service practice that allows for more than one method of initial response to reports of child abuse and neglect, recognizing the value of responding differently to different types of cases, for instance assigning cases to either an investigation track or an assessment track, depending on the level of severity of the alleged maltreatment, the assessment of risk and other factors. In some instances responses may also include a resource referral/prevention track for

reports that do not meet screening criteria for involvement by child protective services, but suggest a need for community services.

Given the current diversity of practice and ongoing research and evaluation activities relating to differential response, CB is not defining differential response at this time or requiring adherence to a particular model. Therefore, States may determine how best to develop procedures to meet the new State plan assurance. However, CB encourages States to review available information on emerging best practices in differential response available from the Quality Improvement Center on Differential Response and other resources, as they develop their approaches (see list of resources at Attachment E).

- Another new assurance (section 106(b)(2)(B)(xxii) of CAPTA) requires States to have provisions and procedures for requiring criminal background checks that meet the requirements of section 471(a)(20) of the Social Security Act (42 U.S.C. 671(a)(20)) for prospective foster and adoptive parents and other adult relatives and non-relatives residing in the household. Section 471(a)(20) of the Social Security Act requires completion of a fingerprint-based check of the national crime information databases (NCID) of all prospective foster and adoptive parents before approving or licensing the foster or adoptive family. (See ACYF-CB-PI-07-02 for additional information on the requirements of section 471(a)(20) of the Social Security Act.) The new CAPTA assurance requires States to assure that they are applying the same criminal background check procedures required under section 471(a)(20) of title IV-E, to both prospective foster and adoptive parents (as required under title IV-E) *and* all other adult relatives and non-relatives residing in the household. Please note that this assurance requirement does not change the fingerprint-based check requirements for purposes of title IV-E compliance.

Finally, to facilitate ongoing communication between the Children's Bureau 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) or where this information can be found on the State's website.

Additional questions regarding the CAPTA State Plan requirements should be addressed to the CB RO State Liaison.

Section E. Chafee Foster Care Independence and Education and Training Vouchers Programs

In addition to the information described in Section C, items 1-3, above (Program Service Description, Collaboration and Program Support), CFCIP requires that the following specific information be incorporated into the APSR:

- Report on the specific accomplishment achieved to-date in FY 2011 and planned activities for FY 2012 for each of the following seven purpose areas:

1. Help youth transition to self-sufficiency;
 2. Help youth receive the education, training, and services necessary to obtain employment;
 3. Help youth prepare for and enter post-secondary training and educational institutions;
 4. Provide personal and emotional support to youth aging out of foster care through mentors and the promotion of interactions with dedicated adults;
 5. 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;
 6. Make available vouchers for education and training, including postsecondary education, to youth who have aged out of foster care; and
 7. Provide services to youth who, after attaining 16 years of age, have left foster care for kinship guardianship or adoption.
- Report activities performed in FY 2011 and planned for FY 2012 to coordinate services 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.
 - Provide information on specific training that was conducted during FY 2011 and planned for FY 2012 in support of the goals and objectives of the States' CFCIP and to help foster parents, adoptive parents, workers in group homes, and case managers understand and address the issues confronting adolescents preparing for independent living. CFCIP training may be incorporated into the training information discussed under the training section for the APSR, but should be identified as pertaining to CFCIP.
 - If applicable, update the information regarding service design and delivery of a new or changed trust fund program for States that choose to establish a trust fund program for youth receiving independent living services or transition assistance. Note: CFCIP funds placed in a trust fund must be expended during the applicable grant period. Refer to ACFY-CB-PI-05-06 for current guidance on trust funds.
 - Describe any activities undertaken to involve youth (up to age 21) in State agency efforts such as the CFSR/PIP process and the agency improvement planning efforts.
 - Describe, if applicable, how the State utilizes, or plans to utilize, the option to expand Medicaid to provide services to youth ages 18 to 20 years old who have aged out of foster care.

- Results of the Indian Tribe consultation (section 477(b)(3)(G)), specifically, as it relates to determining eligibility for benefits and services and ensuring fair and equitable treatment for Indian youth in care:
 - Describe how each Indian Tribe in the State has been consulted about the programs to be carried out under the CFCIP.
 - Describe the efforts to coordinate the programs with such Tribes.
 - 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.
 - Report the CFCIP benefits and services currently available and provided for Indian children and youth in fulfillment of this section and the purposes of the law.
 - Describe whether and how the State has negotiated in good faith with any Tribe that requested to develop an agreement to administer or supervise 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.

Education and Training Voucher Program

In addition to the information described in Section C, items 1-3, above (Program Service Description, Collaboration and Program Support), ETV requires that the following specific information be incorporated into the APSR:

- Describe the specific accomplishments and progress to establish, expand, or strengthen the State's postsecondary educational assistance program to achieve the purpose of the ETV program.
- Indicate how the ETV program is administered, whether by the State child welfare agency in collaboration with another State agency or another contracted ETV provider.

Section F. Statistical and Supporting Information

The following information must be reported on in the APSR:

1. Education and Training Vouchers: Identify the number of youth who received ETV awards from July 1, 2009 through June 30, 2010 (the 2009 - 2010 School Year) and July 1, 2010 through June 30, 2011 (the 2010 - 2011 School Year). States may estimate if they do not have the total number for the 2010 - 2011 School Year. If not able to report the number of ETV awarded by school year, States may report the information by Federal fiscal year.

Report the number of recipients by the number of youth who were new voucher recipients in each of the school years.

2. Inter-Country Adoptions: Report the number of children who were adopted from other countries and who entered into State custody in FY 2010 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.)
3. Monthly Caseworker Visit Data: States are required to collect and report data on caseworker visits (section 424(e)(1) and (2) of the Act). Data for FY 2011 is to be reported separate from the APSR and will be due for submission to CB by **December 15, 2011**. The statute requires States to collect and report the following data on caseworker visits for each of FYs 2007 through 2011:
 - The percentage of children in foster care under the responsibility of the State who were visited monthly by the caseworker handling the case of the child; and
 - The percentage of the visits that occurred in the residence of the child.

States have submitted baseline data for FY 2007, as well as data reporting progress in FY 2008, 2009, and 2010. States also submitted targets for improvement against which data submissions will be compared.

States must continue to submit data to measure progress for FY 2011. The following data are required to compute the percentages:

1. The aggregate number of children served in foster care for *at least one full calendar month* during the FY;
2. The number of children visited *each and every full calendar month* that they were in foster care during the FY;
3. The total number of visit months for children who were visited each and every calendar month that they were in foster care during the FY; and
4. The total number of visit months in which at least one child visit occurred in the child's residence.

Based on these data,

- The *percentage of children in foster care who were visited during each and every calendar month* is determined by dividing the number of children who were visited each and every full calendar month that they were in care (item #2 above) by the number of children served in foster care for at least one full calendar month during the Federal fiscal year (item #1 above). The quotient is multiplied by 100 and expressed as a percentage, rounded to the nearest whole number.

- The *percentage of visits that occurred in the residence of the child* is determined by dividing the number of visit months that occurred in the residence of the child (item #4 above) by the total number of visit months for children visited each and every full calendar month they were in care during the year (item # 3 above). The quotient is multiplied by 100 and expressed as a percentage, rounded to the nearest whole number.

States are required to submit the numbers listed in items 1–4 above, in addition to the derived percentages. This will help CB to validate the accuracy of the calculations.

Please remember that the caseworker visit data for any Federal fiscal year must comprise the full 12-month period, e.g., for FY 2011, data must cover the period from October 1, 2010 through September 30, 2011.

In determining which children are in the population, all children who have been in foster care for at least one full calendar month are included. A child with more than one episode during the 12-month period is considered as one child. Children who are placed in an out-of-state foster care placement are included in the population. If a State considers children who have gone home for a trial home visit to be in foster care, then the children are included in the population. Children who have run away must also be included in the population. Children in foster care who are covered by a title IV-E agreement between the State IV-E agency and another agency (e.g., juvenile justice) or an Indian Tribe are also to be included.

States were given the option to use sampling to meet the caseworker visit data collection requirement. A sampling methodology, developed by the CB Data Team, was previously made available to all States. Alternatively, States could use their own sampling methodology if it had been approved by the CB RO, in consultation with the CB Data Team. States may continue to use previously approved sampling methodologies approved by CB. Any changes to a sampling methodology must be approved by CB before submitting FY 2011 data. States must also identify whether any of the reported data (items 1–4) were derived through the use of sampling.

In the June 30, 2008 APSR submission, States provided target data percentages to be reached for each of FYs 2008 through 2011 for the percentage of children in foster care who were visited during each and every calendar month (section 424(e)(2)(A) of the Act). The State must achieve the established target percentages to ensure that, by October 1, 2011, 90 percent of children in foster care are visited by their workers monthly. If a State fails to meet the target percentages for any of these years (FYs 2008 through 2011), ACF will reduce the Federal match rate for title IV-B, subpart 1 funds in proportion to the amount that the State failed to reach its target (section 424(e)(2)(B) of the Act).

| If the State falls short of the target percentage established by: | The Federal match for title IV-B, subpart 1 will be reduced by: |
|--|--|
| Less than 10% | 1 percentage point |
| 10% to 19% | 3 percentage points |
| 20% or more | 5 percentage points |

In any year in which a State fails to reach its target, ACF will continue to make the full Federal allotment available to the State, but the State must increase its match rate in order to access the full Federal allotment. The reduction will be applied to the title IV-B, subpart 1 funding allocation for the fiscal year following the year for which the target was not met.

On August 20, 2009, CB issued guidance on the circumstances under which CB will consider proposed revisions to previously submitted targets for a fiscal year (see ACYF-CB-PI-09-09). As noted in that issuance, the target percentage for FY 2011 was set at 90 percent for all States to ensure that appropriate efforts will be taken to achieve the statutory goal. Therefore, no revision will be accepted to the established FY 2011 target. Revisions to targets for earlier FYs will only be made if warranted by the discovery and notification of CB of errors in the previously submitted baseline year data. (Refer to ACYF-CB-PI-09-09 for details.)

Consistent with the law, for FY 2011, all States are expected to have a target of visiting 90 percent of children in foster care on a monthly basis.

Section G. 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 2011 than the State expended for those purposes in FY 2005 (section 424(c) of the Act). For comparison purposes, submit with the APSR 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. 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 2011 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 in FY 2005 (section 424(d) of the Act). For comparison purposes, submit with the APSR 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).

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, 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 total expenditures 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 FY 2009 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 2011 Funding—Revised CFS-101 Budget Request

- If the State's final FY 2011 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 2011, and the State wishes to receive that higher amount of funding, it must submit a revised FY 2011 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 2011.)
- Unneeded portions of FY 2011 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 2010 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.

4. FY 2012 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 2011 allocation tables in Attachment A as the basis for estimating FY 2012 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 2009 Title IV-B Expenditure Report—CFS-101, Part III

Complete Part III of the CFS-101 to report the actual amount of FY 2009 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 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 has come due. Therefore, States must now report FY 2009 information (FY 2009 final financial status reports were due on December 29, 2010) for the title IV-B programs on the form CFS-101, Part III. At State option, complete this form to show actual FY 2009 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. This report replaces the formerly used Financial Status report (SF-269) effective for reports due on February 1, 2011 or later dates. 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 Officer or specialist. (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 State 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(e)(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 2012, funds must be obligated by September 30, 2013, and liquidated by December 29, 2013).

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 2012, funds must be obligated by September 30, 2013, and liquidated by December 29, 2013).

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 expenditure period. (These reports are to be separate from the SF-425 reports for the PSSF program.)

For grants awarded between FYs 2008 - 2011, Monthly Caseworker Visit funds must be expended within two years. (The FY 2006 award had a special four-year expenditure period, now expired. No funds were appropriated for this program in FY 2007.) 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 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. 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 2011, funds must be obligated by September 30, 2012 and liquidated by December 29, 2012).

CAPTA

Funds under CAPTA must be expended within five years (e.g., for the FY 2012 award, funds must be expended by the State by September 30, 2017). 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).

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 2012, funds must be obligated by September 30, 2013, and liquidated by December 29, 2013).

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 July 31, 2011.

Inquiries To: CB Regional Program Managers

/s/

Bryan Samuels
Commissioner

Attachment A:

Fiscal Year 2011 Allotment Title IV-B Subpart 1 Stephanie Tubbs Jones Child Welfare Services
Fiscal Year 2011 Allotment Title IV-B Subpart 2 Promoting Safe and Stable Families
Fiscal Year 2011 Allotment for Title IV-B, Subpart 2 Monthly Caseworker Visit Funds
Fiscal Year 2011 Allotment for CAPTA
Fiscal Year 2011 Allotment for Chafee Foster Care Independence Program Allotments
Fiscal Year 2011 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:

CB Regional Program Managers and Addresses

Attachment D:

CAPTA State Plan Assurances

Attachment E:

Resources for Development of the CAPTA State Plan