

<h1>ACF</h1> <p>Administration for Children and Families</p>	U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  Administration on Children, Youth and Families	
	<b>1. Log No:</b> ACYF-CB-PI-15-03	<b>2. Issuance Date:</b> March 31, 2015
	<b>3. Originating Office:</b> Children’s Bureau	
	<b>4. Key Words:</b> Title IV-B Child and Family Services Plan; Annual Progress and Services Report; Child Abuse Prevention and Treatment Act 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, 2015, submission of: (1) the first Annual Progress and Services Report (APSR) to the 2015-2019 Child and Family Services Plan (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; (2) the Child Abuse Prevention and Treatment Act (CAPTA) State Plan update; 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, 430-438, 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 (ICWA) 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); the Child and Family Services Improvement and Innovation Act of 2011 (P.L. 112-34); and the Preventing Sex Trafficking and Strengthening Families Act (P.L. 113-183).

**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> 2016 (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 (1) the first APSR to the 2015-2019 CFSP, (2) the CAPTA Update, 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**

- Section A. Background
  - Section B. Continued Integration of the Child and Family Services Review Process with the CFSP/APSR
  - Section C. Requirements for 2016 APSR (Due June 30, 2015)
  - Section D. Child Abuse Prevention and Treatment Act State Plan Requirements and Update
  - Section E. Chafee Foster Care Independence Program
  - Section F. Updates to Targeted Plans within the 2015-2019 CFSP
  - Section G. Statistical and Supporting Information
  - Section H. Financial Information
  - Section I. Instructions for the 2016 APSR Submission for States, Puerto Rico, and the District of Columbia
  - Section J. Submittal Rule for Insular Areas
- Attachments

### **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 (section 432(a)(2) of the Act). This CFSP was due on June 30, 2014 for FYs 2015 - 2019. 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 youth and/or young adults formerly in foster care, 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 completed five-year cycles (FYs 1995 - 1999, FYs 2000 - 2004, FYs 2005 - 2009, and FYs 2010 - 2014).

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<sup>1</sup>Unless otherwise noted, "FY" refers to the federal fiscal year (October 1 – September 30).

## 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 (section 432(a)(2)(C)(i) of the Act). Completion of the APSR satisfies the federal regulations at 45 CFR 1357.16 by providing updates on a state's annual progress since the submission of the CFSP and planned activities for the upcoming fiscal year. This PI provides guidance on submission of the 2016 APSR due June 30, 2015 and that requests funding for FY 2016 (45 CFR 1357.16(b)(2)).

It is important that 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 the Children's Bureau (CB). The CB Regional Office (RO) staff will engage with you and your staff in joint planning in preparing the APSR. Requests for assistance or questions encountered in preparing the APSR should be directed to the appropriate CB RO.

In preparing the APSR, each state must conduct an interim review of the progress made since submitting the 2015-2019 CFSP 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 expected to utilize data obtained from the case management system in assessing progress in 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, the Children's Justice Act grantee, 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.

When addressing services and programs under this APSR, states must also integrate the findings of federal 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, a National Youth In Transition (NYTD) Assessment Review and other relevant CB reviews, as well as planned activities identified in any Program Improvement Plans (PIPs). More information on this requirement is detailed in Section B.

### New Program Requirements: Preventing Sex Trafficking and Strengthening Families Act, P.L. 113-183

On September 29, 2014, the President signed into law P.L. 113-183, the Preventing Sex Trafficking and Strengthening Families Act. The law amended title IV-B and title IV-E plan requirements to address domestic sex trafficking, limit use of another planned permanency living arrangement (APPLA) as a permanency plan for youth age 16 and older, and reauthorized and amended the Adoption Incentives Program, among other provisions. Some of the law's provisions were effective upon enactment, while others have later effective dates. Please see

Information Memorandum ACYF-CB-IM-14-03, issued October 23, 2014, for a summary of the law's major provisions and Program Instruction ACYF-CB-PI-14-06, issued November 21, 2014, for guidance relating to title IV-E plan requirements that were effective upon enactment. Additional guidance will be forthcoming and may be accessed on the Children's Bureau website.

In preparing the 2016 APSR, states should consider how the requirements of the new law may affect the state's planned use of funds under the programs addressed in the 2016 APSR. The following provisions, in particular, may affect states' 2016 APSR submissions:

- *Changes to Case Review System:* The law amended title IV-B, subpart 1 at section 422(b)(8)(A) of the Act with new requirements for agencies to modify their case review system by September 29, 2015 to: 1) provide youth with certain documents when they age out of foster care; 2) include youth age 14 and over more fully in case planning; and 3) limit APPLA as a permanency plan for youth age 16 and older and document new requirements for youth who have APPLA as a permanency plan (see sections 475A, 475(5)(B), (C) and (I) of the Act). The law also defined "sibling" in section 475(10) of the Act. These new requirements apply to both title IV-B and IV-E programs. As part of its consultation and coordination with tribes, states should begin to discuss with tribes the new requirements and who will be responsible for implementing them, once they go into effect, for tribal children, whether they are under state or tribal jurisdiction. (See Section C6 of this PI.)
- *Adoptive and Legal Guardianship Incentive Payment Program:* The law amended, reauthorized and renamed the former Adoption Incentives program. CB will issue separate guidance addressing changes in the incentive structure and how awards will be calculated. In completing the 2016 APSR, states should be aware that the law extended from 24 months to 36 months the length of time states have to spend incentive payments earned under the program. This change applies to awards made in FY 2014, as well as succeeding years. In addition, the law prevents states from using incentive payments to supplant federal or non-federal funds for services under title IV-B or IV-E. Therefore, states must note any changes to their planned use of incentive payments, in light of the statutory changes. (See Section C8 of this PI.)
- *Chafee Foster Care Independence Program (CFCIP):* The law added a new program purpose to CFCIP. States will need to discuss any planned changes in the use of CFCIP funds in light of this change. (See Section E of this PI.)

## **Section B. Continued Integration of the Child and Family Services Review Process with the CFSP/APSR**

In Program Instruction ACYF-CB-PI-14-03, issued March 5, 2014, CB emphasized the integration of the CFSP with the Child and Family Services Review (CFSR) process, including the CFSR Statewide Assessment. For the 2015 - 2019 CFSP, submitted in June 2014, states were to assess performance on the systemic factors and outcomes that CB monitors through the CFSR and incorporate this information into the appropriate sections of their CFSP. The 2016 APSR is the first APSR due since the submission of the five-year plan, and CB continues to be

committed to joint planning with states to build on the steps taken to integrate these processes in the 2015-2019 CFSP.

Since the submission of CFSPs, CB has provided all states with performance information on revised CFSR statewide data indicators and national standards and finalized revised items in the onsite review instrument and statewide assessment. Additionally, some states may have more recent information on their CFSR performance, based on preparing or completing the statewide assessment or conducting an onsite review. For additional information on revised CFSR statewide data indicators and review procedures, please see contact your CB RO or see <http://www.acf.hhs.gov/programs/cb/monitoring/child-family-services-reviews/round3>.

The most recent CFSP/APSR goals, objectives, and interventions as well as any more recent CFSR information will also be the starting point for the development of a state's CFSR Program Improvement Plan (PIP), if one is required. To be well positioned to improve performance within the CFSR PIP period, states should use the 2016 APSR to update, revise or better align data, goals, objectives, and interventions specified in the 2015-2019 CFSP with the updated statewide data indicators and CFSR outcome measures and systemic factors. In preparing the 2016 APSR, states must:

- Use the most recent information about the state's performance on statewide data indicators to complete the "Update on Assessment of Performance," section C2 of the 2016 APSR.
- Review and revise, as needed, their goals and objectives to focus on improvement of their performance on the CFSR national data indicators, systemic factors and the current Onsite Review Instrument (OSRI) items.
- Assess performance on the systemic factors using data and information that demonstrates the functioning of the revised items for each systemic factor ("Update on Progress Made to Improve Outcomes," section C3 of the 2016 APSR.) (See 45 CFR 1355.34(c)).

To the extent that any of the above performance information is already reported in the state's CFSR Statewide Assessment the state need not repeat it in the APSR. Rather the state may cite where the performance information is located in the statewide assessment and focus instead on any resulting updates to goals, objectives, and interventions in the 2016 APSR.

### **Section C. Requirements for 2016 APSR (Due June 30, 2015)**

The 2016 APSR must address and reflect coordination of the following 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;
  - Time-Limited Family Reunification; and

- Adoption Promotion and Support Services;
- Monthly Caseworker Visit Funds;
- Adoption and Legal Guardianship Incentive Payment Funds;
- Child Welfare Waiver Demonstrations approved under section 1130 of the Act, as appropriate;
- CFCIP and ETV; and
- Training activities in support of the CFSP goals and objectives, including training funded by titles IV-B and IV-E.

In addition, states are required to provide an annual update on their use of funds under the CAPTA State Grant.

**The 2016 APSR must contain all of the information described below.**

### 1. General Information

#### *Collaboration*

- Provide an update on how the state has engaged in substantial, ongoing and meaningful collaboration in the implementation of the 2015-2019 CFSP, and if applicable, any state CFSR PIP or title IV-E PIP (section 422(b)(13) of the Act). The description should specify how partners, tribes, courts and other stakeholders were involved in the past year in the implementation of the CFSP and the development of the 2016 APSR through:
  - 1) the assessment of agency strengths and areas needing improvement including the “Update on Assessment of Performance,” section C2;
  - 2) the review and modification of the Goals, Objectives, and Interventions in the “Update to the Plan for Improvement,” section C3, based on available data and information; and
  - 3) the monitoring of CFSP progress including the “Update on Progress Made to Improve Outcomes,” section C3.

The description must also include an update on how partners, tribes, courts, and other stakeholders, will continue to be involved in the upcoming year in the implementation of the goals, objectives, and interventions, and in the monitoring and reporting of progress (45 CFR 1357.15(b)(4)).

Collaboration for the CFSP and APSR should align with collaboration efforts for the state CFSR. States should work with their CB RO and/or refer to the CFSR Procedures Manual for further information on collaboration and implementation for the CFSP and CFSR.

## 2. Update on Assessment of Performance

States must review and update the data and information provided in their 2015-2019 CFSP to reflect recent state performance. The state must use its most recent data profile or information provided on the state's performance on the CFSR Round 3 statewide data indicators, its case review data, relevant data or information for each Round 3 systemic factor item and any other relevant data to update this assessment. States are encouraged to include data that shows performance over time and must indicate the sources of data, methods of data collection, any known issues with data quality/limitations and time period(s) for the data provided. States that have completed their CFSR Statewide Assessment in 2015 may choose to reference that assessment rather than providing additional information in the 2016 APSR.

In completing this section, states are encouraged to consider how they can include information in the 2016 APSR that can serve as the foundation for the CFSR Statewide Assessment and any CFSR PIP. States should review the Statewide Assessment Instrument (<http://www.acf.hhs.gov/programs/cb/resource/round3-cfsr-statewide-assessment>) in order to ensure that all outcome items and systemic factor items are addressed in the 2016 APSR assessment and that data and information provided address the CFSR requirements.

States that do not have sufficient, accurate, timely data and information to assess performance should indicate their plans for gathering that information in time for their next year's APSR, or for their CFSR Statewide Assessment, whichever is earlier. States may also contact their CB RO for available technical assistance.

## 3. Update to the Plan for Improvement and Progress Made to Improve Outcomes

In the 2015-2019 CFSP, states were asked to identify the plan for improving its program, services, and outcomes for children and families over the next five years. This section is to provide the update to that plan for improvement and the progress towards achieving those outcomes.

Update to the Plan for Improvement

### *Revisions to Goals, Objectives, and Interventions*

The state must update the 2015-2019 CFSP goals, objectives, and interventions to incorporate any areas needing improvement that were identified in a CFSR, title IV-E, AFCARS, or other program improvement plan or in the 2016 APSR "Update on Assessment of Performance," section C2 identified above (45 CFR 1357.16(a)(2)). If the current 2015-2019 CFSP does not have a goal, objective, or intervention that addresses key areas needing improvement as identified through the "Update on Assessment of Performance" and in joint planning with CB, the associated goal, objective, intervention and measures of progress must be revised or added to the 2016 APSR. For the 2016 APSR, states should give particular attention to ensuring that goals, objectives, and interventions address the state performance on the revised CFSR statewide data indicators, systemic factors or outcomes.

### *Implementation Supports*

To promote successful implementation of newly identified or revised goals and objectives, states are encouraged to identify in the 2016 APSR supports needed to implement each goal and objective and a plan for ensuring the supports are put in place. Examples of implementation supports include: staffing, training and coaching, financing data systems policies, physical supports, equipment, and memoranda of understanding with other agencies.

### Update on Progress Made to Improve Outcomes

The state must report on the amount of progress made in the last year to improve outcomes for children and families and to provide a more comprehensive, coordinated and effective child and family services continuum (45 CFR 1357.16(a)(1)).

*Progress Measures:* States must cite relevant state and local data supporting the state's assessment of the progress toward meeting each goal and objective of the 2015-2019 CFSP.

Measures of progress may be stated in terms of improved performance on statewide data indicators for safety and permanency, case review items, or other available data and may reference data provided in the "Update on Assessment of Performance," section C2 of the 2016 APSR. Because the state will be reporting on the first year of the five year plan, the objectives and interventions associated with some goals may not yet be fully implemented and the state may not be able to demonstrate measurable improvement in this first year. However, states are encouraged to assess and report in the 2016 APSR on the amount of progress made in any geographic areas or populations that have experienced the intervention during the past year. In addition, the state should review the progress measures identified in its 2015-2019 CFSP and align them to be consistent with the revised CFSR statewide data indicators, systemic factors or outcomes, where applicable, and report progress in the 2016 APSR based on updated measures to the extent possible.

*Progress Benchmarks:* For each objective/intervention identified in the 2015-2019 CFSP the state must report on the progress it is making in meeting its timeframes and benchmarks for implementing the intervention. Benchmarks may be stated in terms of implementation milestones, such as key activities completed or process measures.

If the state is not making progress as indicated by its measures or benchmarks, the state should indicate the reasons for the lack of progress in the 2016 APSR, including whether sufficient implementation supports are in place and whether the intervention is being implemented as intended. The state should report any adjustments to the intervention or implementation to increase effectiveness.

*Feedback loops:* In monitoring and reporting on progress, the state should also continually consult with partners, tribes, courts and other stakeholders who are involved in implementing the intervention or who are impacted by the intervention for



information/data about effectiveness. If available, provide information obtained using feedback loops to support progress made to improve outcomes.

#### 4. Update on Service Description

States are required to provide an update on the services provided through each of the programs/service areas identified below:

- 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;
  - CFCIP and ETV (Please also see Section E.)
- For each program, describe the services to be provided in FY 2016, highlighting any changes or additions in services or program design and how the services will assist in achieving program goals (45 CFR 1357.16(a)(4)). For each service 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 the specific percentages of title IV-B, subpart 2, funds the state will expend in 2016 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.
- If not covered in Section C3, “Update to the Plan for Improvement” describe any additional steps the state 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 be used to measure progress in the upcoming fiscal year if not addressed in the 2015- 2019 CFPS or 2016 APSR or the goals, objectives and interventions.

- *Populations at Greatest Risk of Maltreatment (section 432(a)(10) of the Act).*  
Describe any changes to the populations outlined in the 2015-2019 CFSP at greatest risk of maltreatment and any changes to services that will be targeted to this population. Describe the activities the state has undertaken since the submission of the 2015-2019 CFSP to target services to these populations.
- *Services for Children Under the Age of Five (section 422(b)(18) of the Act).*  
Describe the activities the state has undertaken since the submission 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. Describe the activities undertaken to provide developmentally appropriate services to this population. Provide the results of the activities and any updates to the state's plan. (*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.*)
- *Services for Children Adopted from Other Countries (section 422(b)(11) of the Act).*  
Describe the activities, including provision of adoption and post-adoption supports, that the state has undertaken since the submission of the 2015-2019 CFSP to support the families of children adopted from other countries and any changes to the activities the state plans to take to support children adopted from other countries.

## 5. Program Support

- Describe 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 CFSP/APSR goals and objectives since the submission of the 2015-2019 CFSP. Describe training and technical assistance that will be provided by the state in the upcoming fiscal year. (See 45 CFR 1357.16(a)(5).)
- Describe the technical assistance and capacity building needs that the state anticipates in FY 2016 in support of the CFSP/APSR goals and objectives. Describe how capacity building services will assist in achieving the identified goals and objectives. (See 45 CFR 1357.16(a)(5).)
- Describe child and family services related research, evaluation, management information systems, and/or quality assurance systems that have been or will be updated or implemented since the development of 2015-2019 CFSP. 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).)

## 6. 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 and subsequent APSRs. Federal law and regulations also separately identify several key child welfare issues about which the state must consult and

coordinate with tribes. States must 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 and document such consultations.

In the 2016 APSR, states must update the following:

- Describe the process used to gather input from tribes since the development and submission 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) and 45 CFR 1357.16(a))
- Provide an update to the state's plan for ongoing coordination and collaboration with tribes in the implementation and assessment of the CFSP. Describe any barriers to this coordination and the state's plans to address these barriers.
- Provide an update, since the development of the 2015-2019 CFSP, on the arrangements made with tribes as to who is responsible for providing the child welfare services and protections for tribal children delineated in section 422(b)(8) of the Act, whether the children 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 carrying out consultation with tribes, states should be aware of and should begin to discuss with tribes the amendments made to the case review system by P.L. 113-183. In general, these amendments will go into effect on September 29, 2015. The new case review provisions require the title IV-B/IV-E agency to:

- Limit APPLA as a permanency plan to youth age 16 and older (section 475(5)(C)(i) of the Act)<sup>2</sup>;
- Follow additional case review and case plan requirements for all children in foster care with a permanency plan of APPLA including:

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<sup>2</sup> This provision becomes effective three years after enactment, September 29, 2017, for children in foster care under the responsibility of an Indian tribe, tribal organization or consortium.

- Documenting at each permanency hearing the efforts to return a child home or to secure a placement for a child with a relative, or with guardianship or adoptive parent (sections 475(5)(C)(i) and 475A(a)(1) of the Act).
  - Implementing procedures to ensure that the court or administrative body conducting the permanency hearing asks the child about his/her desired permanency outcome and makes a judicial determination at each permanency hearing that APPLA is the best permanency plan for the child and specifies compelling reasons why it's not in the best interest of the child to be returned home, placed with a relative or legal guardian, or placed for adoption (section 475A(a)(2) of the Act).
  - Documenting at the permanency hearing and the 6 month periodic review the steps the agency is taking to ensure that the foster family or child care institution follows the “reasonable and prudent parent standard”<sup>3</sup> and whether the child has regular opportunities to engage in “age or developmentally-appropriate activities”<sup>4</sup> (sections 475(5)(B) and 475A(a)(3) of the Act).
- In addition, for children age 14 and older, the title IV-B/IV-E agency must:
    - Document in the case plan the child’s education, health, visitation, and court participation rights, the right to receive a credit report annually, and a signed acknowledgement that the child was provided these rights and that they were explained in an age appropriate way (section 475A(b) of the Act);
    - Develop the case plan in consultation with the child, and at the option of the child, two members of the case planning team, who are not the caseworker or foster parent (sections 475(1)(B) and (5)(C)(iv) of the Act);
    - Describe in the case plan and at the permanency hearing the services to help the youth transition to successful adulthood (formerly required at age 16) (sections 475(1)(D) and (5)(C)(i) of the Act); and
    - Provide a copy of his/her credit report annually and assist in fixing any inaccuracies (formerly age 16) (section 475(I) of the Act).

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<sup>3</sup> The “Reasonable and prudent parent standard” is defined as the standard characterized by careful and sensible parental decisions that maintain a child’s health, safety, and best interests while at the same time encouraging the child’s emotional and developmental growth, that a caregiver must use when determining whether to allow a child in foster care under the responsibility of the state/tribe to participate in extracurricular, enrichment, and social activities. Caregiver (for this purpose only), is a foster parent or designated official at a child care institution (section 475(10) of the Act).

<sup>4</sup> “Age or developmentally-appropriate” is defined as suitable, developmentally appropriate activities for children of a certain age or maturity level based on the capacities typical for the age group and the individual child (section 475(11) of the Act).

- Describe how the state monitors its compliance with ICWA. Citing available data and the sources of that data, including input obtained through tribal consultation, assess the state's level of compliance with the ICWA. If data are not available, provide other information to support the assessment of the state's level of compliance with ICWA and describe how the state intends to obtain any relevant data that may be needed to assess compliance. (See section 422(b)(9) of the Act.) Components of ICWA that states must address in consultation with tribes include, but are not limited to:
  - 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.
  
- Provide an update to the specific steps outlined in the 2015-2019 CFSP to improve or maintain compliance with ICWA that includes tribal input. Describe the activities completed and accomplishments achieved since submission of the 2015-2019 CFSP. Provide an update on any planned changes to laws, policies, procedures, communications strategies, trainings or other activities to improve compliance with ICWA that the state has developed in partnership with tribes.
  
- Provide an update regarding discussions with Indian tribes in the state specifically as it relates to the CFCIP. This instruction is further delineated in Section E of this PI.
  
- State agencies and tribes must also exchange copies of their 2016 APSRs (45 CFR 1357.15(v)). Describe how the state will meet this requirement for the 2016 APSR.

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).

## 7. Monthly Caseworker Visit Formula Grants

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 424(f) and 436(b)(4)(B)(i) of the Act). In FY 2015 and thereafter, states are required to ensure the total number of monthly casework 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.

In the 2016 APSR, states must describe:

- Their use of the Monthly Caseworker Visit Grant; and
- Their continued action steps to ensure that statutory performance standards are met. If the state has missed previous performance standards, describe the reasons the state's performance has fallen short and the steps the agency will take to ensure compliance.

See ACYF-CB-PI-12-01, issued January 6, 2012, for more information on monthly caseworker visit performance standards and data requirements.

Also refer to information in Section G of this PI, "Statistical and Supporting Information," for instructions on submitting FY 2015 caseworker visit data.

## 8. Adoption and Legal Guardianship Incentive Payments

P.L. 113-183 re-authorized and revised the Adoption Incentives Program and renamed it the "Adoption and Legal Guardianship Incentive Payments" program. The new structure provides incentives for legal guardianships in addition to adoptions; and rewards increases in the rate of adoptions and guardianships compared to a base rate, rather than the number of adoptions compared to a base number, as was formerly done. Please see ACYF-CB-IM-14-03, issued October 23, 2014, for further information. CB will provide additional guidance on the amendments to the program and calculation of incentive payments in a separate issuance.

Please note that P.L. 113-183 amended section 473A(e) of the Act to extend by 12 months the expenditure period for incentive awards under the program. Beginning with the awards made in FY 2014, funds will now remain available for 36 months following grant award, rather than 24 months. Therefore, states will have until September 30, 2017 to obligate the FY 2014 award. In addition, the law prohibits states from using incentive payments to supplant federal or non-federal funds for services under title IV-B or IV-E.

States were required to specify in the 2015-2019 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 2016 APSR, states should report on how Adoption Incentive

funds received during FY 2014 were or will be spent and describe any changes to how the state plans to use such funds should they receive Adoption and Legal Guardianship Incentive funds in the coming fiscal year, taking into account the new statutory provisions that extend the expenditure period and prohibit supplantation (section 473A(f) of the Act). States should address in the 2016 APSR any issues or challenges the state has encountered in expending funds in a timely manner and how it will address those challenges.

#### 9. 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, it must provide a description of its coordination efforts to integrate the activities under the demonstration with the goals and objectives of the 2015-2019 CFSP. In particular, the state must discuss in the 2016 APSR how title IV-B monies are used to maximize the use of flexible title IV-E dollars in the demonstration.

#### 10. Quality Assurance System

Federal regulations at 45 CFR 1357.15(u) require states to describe in their CFSP the Quality Assurance (QA) system it uses to regularly assess the quality of services under the CFSP and assure that there are steps taken to address identified problems. On August 27, 2012, CB issued Information Memorandum ACYF-CB-IM-12-07 on establishing and maintaining Continuous Quality Improvement (CQI) systems.

A continuous quality improvement approach allows states to measure the quality of services provided by determining the impact those services have on child and family level outcomes and functioning. Such an approach also helps states determine the effectiveness of processes and systems in operation in the state and/or required by federal law. A well-functioning QA/CQI system is foundational for the CFSR process, as such a system can help inform the state's statewide assessment, support the state conducting its own case review and facilitate performance information for program improvement plan purposes.

In the 2016 APSR:

- Assess the state's current QA/CQI system. Describe any specific practices or system improvements the state has made based on QA/CQI;
- Include any training or technical assistance the state anticipates needing from CB resources or other partners;
- Provide an update on QA/CQI results and data that have been used to update goals, objectives, and interventions or use of funds in the 2016 APSR;
- For states that will undergo a CFSR in FYs 2016 – 2018 describe the state's current case review instrument and whether the state is using or plans to begin using the federal Onsite Review Instrument (OSRI) as part of the state's ongoing QA/CQI process. Describe how many and the type of cases that are reviewed annually as part of the state's ongoing case review process and any plans to increase or decrease the number of cases reviewed.

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

States submitted a plan for the CAPTA State Grant on June 30, 2011.<sup>5</sup> Once approved by CB, the CAPTA State Plan remains in effect for the duration of the state's participation in the CAPTA state grant program. However, section 108(e) of CAPTA requires states receiving a CAPTA state grant to submit an annual report describing its use of the grant. To facilitate coordination between the CAPTA State Plan and the title IV-B plan, as required by section 106(b)(2)(A) of CAPTA, CB requires that the annual report describing use of CAPTA funds be submitted with the APSR. In addition, CB encourages states to use CAPTA state grant funds in a manner that aligns with and supports their overall goals for the delivery and improvement of child welfare services, as they continue to implement their 2015-2019 CFSP.

For continued CAPTA funding in FY 2016, 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 state submitted its last update on June 30, 2014 (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*

States must include all required information indicated above in their 2016 APSR submission. Missing or incomplete information will result in the withholding of CAPTA funds until such time as approval can be granted by CB. 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(a) of CAPTA.

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<sup>5</sup> In some cases, a state may have submitted a new CAPTA State Plan at a later date.



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) or where this information can be found on the state's website.

## **Section E. Chafee Foster Care Independence Program**

### *Background*

The Chafee Foster Care Independence Program (CFCIP), including the Education and Training Voucher (ETV) 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 amended by P.L. 113-183, the CFCIP has eight broad program purposes that are outlined in section 477(a)(1-8) of the Act. The new eighth purpose, added by P.L. 113-183, is to ensure that children who are likely to remain in foster care until age 18 have ongoing opportunities to engage in “age or developmentally-appropriate”<sup>6</sup> activities (section 477(a)(8) of the Act). This new program purpose is effective September 29, 2015. CB will continue to provide information and technical assistance on the new law in the coming months.

Therefore, the eight CFCIP program purposes, applicable to the FY 2016 grant award are to:

1. Help youth likely to remain in foster care until age 18 transition to self-sufficiency by providing services;
2. Help youth likely to remain in foster care until age 18 receive the education, training, and services necessary to obtain employment;
3. Help youth likely to remain in foster care until age 18 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;
7. Provide services to youth who, after attaining 16 years of age, have left foster care for kinship guardianship or adoption; and
8. Ensure children who are likely to remain in foster care until 18 years of age have regular, on-going opportunities to engage in age or developmentally-appropriate activities as defined in section 475(11) of the Act.

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<sup>6</sup> “Age or developmentally-appropriate” is defined as suitable, developmentally appropriate activities for children of a certain age or maturity level based on the capacities typical for the age group and the individual child (section 475(11) of the Act).

In addition to the information described in Section C above (Collaboration, Program Service Description, and Program Support), states must address in the 2016 APSR the following information specific to the CFCIP:

- Report on the state’s specific accomplishment achieved since the 2015-2019 CFSP submission.
- Provide information on the planned activities for FY 2016, including any planned use of funds in support of the new eighth purpose relating to engagement in age or developmentally appropriate activities.

National Youth in Transition Database (NYTD)

- Describe how the state, since the 2015-2019 CFSP submission, has informed partners, tribes, courts and other stakeholders about NYTD data and involved them in the analysis of the results of the NYTD data collection or NYTD Assessment Review. Describe how the state has used these data and any other available data in consultation with youth and other stakeholders to improve service delivery in the last year.
- Provide information on how the state has improved NYTD data collection, based on the plan outlined in the 2015-2019 CFSP or NYTD Assessment Review. States are reminded that information related to NYTD can be viewed in “snap shot” 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, providers, the courts, and other stakeholders about services and outcomes of youth transitioning out of foster care.

Report activities performed since the 2015-2019 CFSP submission and planned for FY 2016 to:

- Involve the public and private sectors in helping adolescents in foster care achieve independence (section 477(b)(2)(D) of the Act).
- 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.

States are reminded that CB issued a joint IM with FYSB on the coordination between programs when a youth runs from foster care. This IM, issued November 4, 2014, is available here: <http://www.acf.hhs.gov/programs/cb/resource/fysb-im1401>.

- Collaborate 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.

- Provide specific training in support of the goals and objectives of the states' CFCIP and to help foster parents, relative guardians, adoptive parents, workers in group homes, and case managers understand and address the issues confronting adolescents preparing for independent living, consistent with section 477(b)(3)(D) of the Act. Such training should be incorporated into the title IV-E/IV-B training plan, but identified as pertaining to CFCIP, with costs allocated appropriately.
- Involve youth/ young adults in the CFCIP, CFSR, NYTD, and other related agency efforts.

*Consultation with Tribes (section 477(b)(3)(G) of the Act)*

- Provide results of the Indian tribe consultation (section 477(b)(3)(G) of the Act), 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.
  - Describe any concerns raised by the tribes during consultation on accessing Chafee services and how the state plans to address these concerns.

Education and Training Voucher Program

In addition to the information described in Section C above (Collaboration, Program Service Description, and Program Support), the CFCIP requires the following specific ETV information to be incorporate in the 2016 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 based on the plan outlined in the 2015-2019 CFSP.
- If applicable, address any change in how the ETV program is administered, whether by the state child welfare agency in collaboration with another state agency or another contracted ETV provider.
- Provide to CB as an unduplicated number of ETVs awarded each school year (July 1<sup>st</sup> to June 30<sup>th</sup>). (Please see section G3 and Attachment E).

## **Section F. Updates to Targeted Plans within the 2015- 2019 CFSP**

States were 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
- Training Plan

In the 2016 APSR, states must provide updates to the plans as described below.

If there are changes to the plan, please submit that change as a separate document that can be considered an Attachment or Appendix to the original plan. States may also submit a new document that is their current plan, inclusive of any changes.

### *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 reflected 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.

In the 2016 APSR:

- Describe the progress and accomplishments in implementing the state's 2015-2019 Foster and Adoptive Parent Recruitment Plan.
- Indicate in the 2016 APSR if there are any changes or additions needed to the plan. In a separate word document, provide information on the change or update to the Foster and Adoptive Parent Recruitment Plan, if any.

### *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.

In the 2016 APSR:

- Describe the progress and accomplishments in implementing the state's 2015-2019 Health Care Oversight and Coordination Plan, including the impact protocols for the appropriate use and monitoring of psychotropic medications have had on the prescription and use of these medications among children and youth in foster care;

- Indicate in the 2016 APSR if there are any changes or additions needed to the plan. In a separate word document, provide information on the change or update to the Health Care Oversight and Coordination Plan, if any.

### *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. A statewide Disaster Plan was submitted as part of the 2015-2019 CFSP.

In the 2016 APSR:

- Specify whether the state was affected by a disaster, and, if so, describe how the 2015-2019 Disaster Plan was used and assess its effectiveness.
- Indicate in the 2016 APSR if there are any changes or additions needed to the plan. In a separate word document, provide information on the change or update to the Disaster Plan, if any.

### *Training Plan*

The 2015-2019 CFSP included 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.

### *Updates to Training Plan*

States must provide updated information on training plan requirements, including:

- As needed, update the 2015-2019 Training Plan. Any training activities to be paid for with title IV-E funds that were not included in the 2015-2019 Training Plan must be included in an updated Training Plan. The 2015-2019 Training Plan can be updated by submitting a separate document that will serve as an appendix to the 2015-2019 Training Plan.
- For any new training not previously described, the state must address the following in its updated 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;
  - Description 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);
  - Description of the proposed provider of the training activity;
  - Specification of the approximate number of days/hours of the training activity;

- Description of the audience to receive the training;
- Description of estimated total cost; and
- Cost allocation methodology applied to training costs.

(See ACYF-CB-PI-14-03, issued March 5, 2014, for further guidance on information that must be included in the training plan.)

## **Section G. Statistical and Supporting Information**

*The following must be reported in the 2016 APSR:*

**1. 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 2016 APSR 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 2014 (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).

## 2. 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 Social Security Act.)

To ensure that information in the 2016 APSR is consistent with related information reported directly to NCANDS, each state's contact for NCANDS should be consulted in developing this response. A list of NCANDS state contacts is provided in Attachment D.

3. Education and Training Vouchers: Identify the number of youth (unduplicated) who received ETV awards from July 1, 2013 through June 30, 2014 (the 2013-2014 school year) and July 1, 2014 through June 30, 2015 (the 2014-2015 school year). States may estimate a total if they do not have the total number for the 2014-2015 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 E for a format to report information on the ETVs awarded.

4. Inter-Country Adoptions: Report the number of children who were adopted from other countries and who entered into state custody in FY 2014 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.)

5. 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 2015 is to be reported separate from the 2016 APSR and will be due for submission to CB by **December 15, 2015**. The statute established the following performance standards for caseworker visits in FY 2015:

- 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 95 percent** of the total number of such visits that would occur if each child were visited once every month while in care. (Note that the performance standard for monthly caseworker visits increased from 90 percent to 95 percent beginning in FY 2015).
- 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 2015 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, issued on January 6, 2012.

## **Section H. 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 2016 than the state expended for those purposes in FY 2005 (section 424(c) of the Act). The 2016 APSR 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 2016 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 2013 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 2015 Funding—Revised CFS-101 Budget Request**

- If the state's final FY 2015 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 2015, and the state wishes to receive that higher amount of funding, it must submit a revised FY 2015 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 2015.
- Unneeded portions of FY 2015 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 2015 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, 2016.

### **4. FY 2016 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 2015 allocation tables in Attachment A as the basis for estimating FY 2016 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 2013 Title IV-B Expenditure Report—CFS-101, Part III**

Complete Part III of the CFS-101 to report the actual amount of FY 2013<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 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 2013 information (FY 2013 final financial status reports (SF-425) were due on December 29, 2014) for the title IV-B programs on the form CFS-101, Part III. At state option, complete this form to show actual FY 2013 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 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 a performance standard for monthly caseworker visits, must report that higher match on the final fiscal

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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 2013 grant allocation had an expenditure period from October 1, 2012 to September 30, 2014. Therefore, any fiscal year 2013 funds must be obligated during that two-year period of time and subsequently reported on the CFS-101 form, Part III.

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 2016 grants, funds must be obligated by September 30, 2017, and liquidated by December 29, 2017).

*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 2016, funds must be obligated by September 30, 2017, and liquidated by December 29, 2017).

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 2016, funds must be obligated by September 30, 2017 and liquidated by December 29, 2017). 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 2016 award, funds must be expended by the state by September 30, 2020). 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 2016, funds must be obligated by September 30, 2017, and liquidated by December 29, 2017).

### **Section I. Instructions for the 2016 APSR Submission 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 in the future. Until that transition is complete, we are requesting that states submit plans electronically to the ROs.

Unless otherwise noted, all documents must be submitted in the format of a Word document or as a PDF that was created in Word 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. Clearly indicate the content of each document submitted.

#### **By June 30, 2015:**

- Submit the 2016 APSR.
- Submit changes, if any, to the Foster and Adoptive Parent Diligent Recruitment Plan, the Health Care Oversight and Coordination Plan, the Disaster Plan, and the Training Plan as a separate document. These attachments will be considered as an Appendix or Attachment to the plan. States may also submit an entirely new plan.

- If any, 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 2016 APSR 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.<sup>8</sup>
- **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 2016;
- CFS-101, Part II with planned expenditures for the use of FY 2016 funds;
- CFS-101, Part III with estimated and actual expenditures of FY 2013 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 2015 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 as a signed PDF indicating:
  1. the amount of funds that the state does not expect to utilize from its FY 2015 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:* Certifications and assurances submitted with the 2015-2019 CFSP or the CAPTA state plan do not need to be re-submitted with the 2016 APSR unless a change in the state has occurred so that a new certificate is warranted.

It is important that 2016 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.

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<sup>8</sup> States are reminded that under 45 CFR 1357.16(d), they must make available for public review and inspection their CFSP/APSRs. If the state does not make available the CFSP/APSRs on their website, please outline how the state is meeting this requirement.

## **Section J. 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 an APSR 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, 2015.

An insular area that chooses to submit an APSR in lieu of receiving a consolidated grant may do so and must follow the guidance included under Section I. The plan 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 0970-0426, approved through September 30, 2017.

**Inquiries To:** CB Regional Program Managers

/s/

Mark Greenberg  
Acting Commissioner

### Attachment A:

Fiscal Year 2015 Allotment Title IV-B Subpart 1 Stephanie Tubbs Jones Child Welfare Services  
Fiscal Year 2015 Allotment Title IV-B Subpart 2 Promoting Safe and Stable Families  
Fiscal Year 2015 Allotment for Title IV-B, Subpart 2 Monthly Caseworker Visit Funds  
Fiscal Year 2015 Allotment for CAPTA  
Fiscal Year 2015 Allotment for Chafee Foster Care Independence Program  
Fiscal Year 2015 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

Attachment D:

NCANDS State Contact List

Attachment E:

Annual Reporting of Education and Training Vouchers Awarded

# FISCAL YEAR 2015 ALLOTMENTS FOR STATES, TERRITORIES AND INSULAR AREAS

## TITLE IV-B SUBPART 1

### STEPHANIE TUBBS JONES CHILD WELFARE SERVICES

<b>State</b>	<b>2015 Allotments</b>
Alabama	\$4,604,836
Alaska	\$97,646
Arizona	\$5,561,521
Arkansas	\$3,002,206
California	\$30,553,388
Colorado	\$4,136,784
Connecticut	\$1,813,276
Delaware	\$798,401
District of Columbia	\$330,850
Florida	\$14,837,131
Georgia	\$9,922,831
Hawaii	\$1,102,770
Idaho	\$1,813,968
Illinois	\$10,119,319
Indiana	\$6,456,658
Iowa	\$2,735,325
Kansas	\$2,649,953
Kentucky	\$4,259,540
Louisiana	\$4,198,476
Maine	\$1,048,075
Maryland	\$3,756,507
Massachusetts	\$3,710,022
Michigan	\$8,931,618
Minnesota	\$4,169,454
Mississippi	\$3,201,326
Missouri	\$5,386,501
Montana	\$626,817
Nebraska	\$1,646,847
Nevada	\$2,553,761
New Hampshire	\$957,084
New Jersey	\$5,245,851
New Mexico	\$1,512,467
New York	\$11,778,350
North Carolina	\$9,129,980
North Dakota	\$460,711
Ohio	\$10,283,952
Oklahoma	\$1,301,672
Oregon	\$3,302,116
Pennsylvania	\$9,666,383
Rhode Island	\$821,525
South Carolina	\$4,623,448
South Dakota	\$437,597



**FISCAL YEAR 2015 ALLOTMENTS FOR STATES, TERRITORIES AND INSULAR AREAS  
TITLE IV-B SUBPART 1  
STEPHANIE TUBBS JONES CHILD WELFARE SERVICES**

<b>State</b>	<b>2015 Allotments</b>
Tennessee	\$5,927,502
Texas	\$25,485,960
Utah	\$3,629,896
Vermont	\$536,228
Virginia	\$5,956,056
Washington	\$5,158,520
West Virginia	\$1,690,631
Wisconsin	\$4,755,322
Wyoming	\$429,463
<b>Subtotal</b>	<b>\$257,116,521</b>
<b>Territories / Insular Areas</b>	<b>2015 Allotments</b>
American Samoa	\$181,416
Guam	\$322,864
Northern Mariana Islands	\$150,214
Puerto Rico	\$4,146,832
Virgin Islands	\$199,783
<b>Subtotal</b>	<b>\$5,001,109</b>
<b>TOTAL</b>	<b>\$262,117,630</b>

**FISCAL YEAR 2015 ALLOTMENTS FOR STATES, TERRITORIES AND INSULAR AREAS**  
**TITLE IV-B SUBPART 2**  
**PROMOTING SAFE AND STABLE FAMILIES**

<b>State</b>	<b>2015 Allotment</b>
Alabama	\$5,591,006
Alaska	\$554,003
Arizona	\$7,424,415
Arkansas	\$3,132,140
California	\$31,404,792
Colorado	\$3,422,395
Connecticut	\$2,089,529
Delaware	\$950,755
District of Columbia	\$742,741
Florida	\$18,032,675
Georgia	\$12,033,624
Hawaii	\$986,295
Idaho	\$1,541,774
Illinois	\$12,015,781
Indiana	\$5,908,388
Iowa	\$2,431,082
Kansas	\$1,940,441
Kentucky	\$4,602,810
Louisiana	\$5,840,500
Maine	\$1,222,826
Maryland	\$4,247,433
Massachusetts	\$4,544,191
Michigan	\$9,776,927
Minnesota	\$3,301,573
Mississippi	\$4,121,750
Missouri	\$5,858,211
Montana	\$725,110
Nebraska	\$1,172,489
Nevada	\$2,291,263
New Hampshire	\$665,735
New Jersey	\$5,253,870
New Mexico	\$2,842,996
New York	\$16,519,906
North Carolina	\$10,278,695
North Dakota	\$359,893
Ohio	\$10,610,066
Oklahoma	\$3,864,297
Oregon	\$4,093,734
Pennsylvania	\$9,986,946
Rhode Island	\$864,944
South Carolina	\$5,358,925

**FISCAL YEAR 2015 ALLOTMENTS FOR STATES, TERRITORIES AND INSULAR AREAS**  
**TITLE IV-B SUBPART 2**  
**PROMOTING SAFE AND STABLE FAMILIES**

<b>State</b>	<b>2015 Allotment</b>
South Dakota	\$680,821
Tennessee	\$7,612,170
Texas	\$31,310,430
Utah	\$1,949,644
Vermont	\$458,402
Virginia	\$5,632,642
Washington	\$6,091,890
West Virginia	\$1,838,626
Wisconsin	\$5,027,308
Wyoming	\$236,356
<b>Subtotal</b>	<b>\$289,445,215</b>
<b>Territories/Insular Areas</b>	<b>2015 Allotment</b>
American Samoa	\$192,488
Guam	\$347,991
Northern Mariana Islands	\$158,185
Puerto Rico	\$4,551,951
Virgin Islands	\$212,680
<b>Subtotal</b>	<b>\$5,463,295</b>
<b>Total</b>	<b>\$294,908,510</b>

**FISCAL YEAR 2015 ALLOTMENTS FOR STATES, TERRITORIES AND INSULAR AREAS  
MONTHLY CASEWORKER VISIT FORMULA GRANTS**

State	2015 Allotments
Alabama	\$351,831
Alaska	\$34,862
Arizona	\$467,204
Arkansas	\$197,099
California	\$1,976,241
Colorado	\$215,364
Connecticut	\$131,490
Delaware	\$59,829
District of Columbia	\$46,739
Florida	\$1,134,760
Georgia	\$757,252
Hawaii	\$62,066
Idaho	\$97,021
Illinois	\$756,129
Indiana	\$371,803
Iowa	\$152,983
Kansas	\$122,108
Kentucky	\$289,646
Louisiana	\$367,531
Maine	\$76,950
Maryland	\$267,283
Massachusetts	\$285,957
Michigan	\$615,243
Minnesota	\$207,761
Mississippi	\$259,374
Missouri	\$368,646
Montana	\$45,630
Nebraska	\$73,782
Nevada	\$144,185
New Hampshire	\$41,893
New Jersey	\$330,616
New Mexico	\$178,904
New York	\$1,039,565
North Carolina	\$646,818
North Dakota	\$22,647
Ohio	\$667,670
Oklahoma	\$243,172
Oregon	\$257,611
Pennsylvania	\$628,459
Rhode Island	\$54,429
South Carolina	\$337,226

**FISCAL YEAR 2015 ALLOTMENTS FOR STATES, TERRITORIES AND INSULAR AREAS  
MONTHLY CASEWORKER VISIT FORMULA GRANTS**

<b>State</b>	<b>2015 Allotments</b>
South Dakota	\$42,843
Tennessee	\$479,019
Texas	\$1,970,303
Utah	\$122,687
Vermont	\$28,846
Virginia	\$354,451
Washington	\$383,351
West Virginia	\$115,701
Wisconsin	\$316,359
Wyoming	\$14,873
<b>SUBTOTAL</b>	<b>\$18,214,212</b>
<b>Territories and Insular Areas</b>	<b>2015 Allotments</b>
American Samoa	\$7,804
Guam	\$17,712
Northern Mariana Islands	\$5,619
Puerto Rico	\$285,562
Virgin Islands	\$9,091
<b>SUBTOTAL</b>	<b>\$325,788</b>
<b>TOTAL</b>	<b>\$18,540,000</b>

**FISCAL YEAR 2015 ALLOTMENTS FOR STATES, TERRITORIES AND INSULAR AREAS  
CHILD ABUSE PREVENTION AND TREATMENT ACT (CAPTA) STATE GRANT**

<b>State</b>	<b>2015 Allotments</b>
Alabama	\$385,742
Alaska	\$106,828
Arizona	\$538,386
Arkansas	\$264,427
California	\$2,821,428
Colorado	\$423,938
Connecticut	\$287,294
Delaware	\$111,488
District of Columbia	\$83,673
Florida	\$1,266,325
Georgia	\$802,059
Hawaii	\$142,815
Idaho	\$179,219
Illinois	\$963,241
Indiana	\$529,086
Iowa	\$268,706
Kansas	\$268,724
Kentucky	\$356,297
Louisiana	\$386,188
Maine	\$128,923
Maryland	\$456,136
Massachusetts	\$471,065
Michigan	\$728,201
Minnesota	\$436,377
Mississippi	\$272,754
Missouri	\$472,195
Montana	\$117,657
Nebraska	\$190,264
Nevada	\$249,849
New Hampshire	\$131,897
New Jersey	\$660,815
New Mexico	\$203,311
New York	\$1,330,757
North Carolina	\$740,406
North Dakota	\$99,143
Ohio	\$850,426
Oklahoma	\$336,066
Oregon	\$309,054
Pennsylvania	\$870,307
Rhode Island	\$114,638
South Carolina	\$376,171

**FISCAL YEAR 2015 ALLOTMENTS FOR STATES, TERRITORIES AND INSULAR AREAS  
CHILD ABUSE PREVENTION AND TREATMENT ACT (CAPTA) STATE GRANT**

<b>State</b>	<b>2015 Allotments</b>
South Dakota	\$112,818
Tennessee	\$500,556
Texas	\$2,177,152
Utah	\$320,830
Vermont	\$87,064
Virginia	\$613,214
Washington	\$532,037
West Virginia	\$165,292
Wisconsin	\$445,036
Wyoming	\$91,588
<b>Subtotal</b>	<b>\$24,777,863</b>

<b>Territories and Insular Areas</b>	<b>2015 Allotments</b>
American Samoa	\$57,088
Guam	\$65,802
Northern Mariana Islands	\$55,180
Puerto Rico	\$295,903
Virgin Islands	\$58,164
<b>Subtotal</b>	<b>\$532,137</b>

**TOTAL            \$25,310,000**

**FISCAL YEAR 2015 ALLOTMENTS FOR STATES AND INDIAN TRIBES\TRIBAL  
ORGANIZATIONS  
CHAFEE FOSTER CARE INDEPENDENCE PROGRAM (CFCIP)**

<b>State</b>	<b>2015 Allotments</b>
Alabama	\$1,485,912
Alaska	\$649,840
Arizona	\$4,721,017
Arkansas	\$1,244,927
California	\$18,549,969
Colorado	\$1,918,374
Connecticut	\$1,391,813
Delaware	\$500,000
District of Columbia	\$1,091,992
Florida	\$5,906,927
Georgia	\$2,494,116
Hawaii	\$500,000
Idaho	\$500,000
Illinois	\$5,477,416
Indiana	\$4,059,701
Iowa	\$2,079,031
Kansas	\$2,092,389
Kentucky	\$2,348,213
Louisiana	\$1,358,131
Maine	\$585,906
Maryland	\$1,464,600
Massachusetts	\$2,799,692
Michigan	\$4,791,837
Minnesota	\$1,849,521
Mississippi	\$1,239,025
Missouri	\$3,483,302
Montana	\$731,808
Nebraska	\$1,492,891
Nevada	\$1,565,585
New Hampshire	\$500,000
New Jersey	\$2,297,848
New Mexico	\$680,989
New York	\$11,585,958
North Carolina	\$2,962,643
North Dakota	\$500,000
Ohio	\$4,007,569
Oklahoma	\$3,460,680
Oregon	\$2,650,475
Pennsylvania	\$4,672,819
Puerto Rico	\$1,376,075
Rhode Island	\$586,562
South Carolina	\$1,045,253



**FISCAL YEAR 2015 ALLOTMENTS FOR STATES AND INDIAN TRIBES\TRIBAL ORGANIZATIONS  
CHAFEE FOSTER CARE INDEPENDENCE PROGRAM (CFCIP)**

<b>State</b>	<b>2015 Allotments</b>
South Dakota	\$500,000
Tennessee	\$2,681,986
Texas	\$9,713,182
Utah	\$887,220
Vermont	\$500,000
Virginia	\$1,418,699
Washington	\$3,332,852
West Virginia	\$1,439,026
Wisconsin	\$2,143,949
Wyoming	\$500,000
<b>Subtotal</b>	<b>\$137,817,720</b>

<b>Indian Tribal Organization</b>	<b>2015 Allotments</b>	<b>Foster Care Population</b>
KS Prairie Band of Potawatomi	\$19,429	60
NE Santee Sioux Nation	\$10,070	31
OR Confederated Tribe of Warm Springs	\$38,724	120
WA Port Gamble S'Klallam Tribe	\$14,057	43
<b>Subtotal</b>	<b>\$82,280</b>	
<b>TOTAL</b>	<b>\$137,900,000</b>	

**FISCAL YEAR 2015 ALLOTMENTS FOR STATES AND INDIAN TRIBES\TRIBAL  
ORGANIZATIONS  
CHAFEE EDUCATION AND TRAINING VOUCHERS (ETV) PROGRAM**

<b>State</b>	<b>2015 Allotments</b>
Alabama	\$480,143
Alaska	\$209,983
Arizona	\$1,525,504
Arkansas	\$402,273
California	\$5,994,055
Colorado	\$619,885
Connecticut	\$449,737
Delaware	\$74,373
District of Columbia	\$138,894
Florida	\$1,908,707
Georgia	\$805,924
Hawaii	\$114,950
Idaho	\$142,178
Illinois	\$1,769,918
Indiana	\$1,311,812
Iowa	\$671,798
Kansas	\$676,114
Kentucky	\$758,779
Louisiana	\$419,013
Maine	\$189,324
Maryland	\$473,257
Massachusetts	\$904,665
Michigan	\$1,548,387
Minnesota	\$597,636
Mississippi	\$400,366
Missouri	\$1,125,561
Montana	\$236,469
Nebraska	\$485,652
Nevada	\$505,888
New Hampshire	\$90,053
New Jersey	\$735,895
New Mexico	\$220,048
New York	\$2,434,088
North Carolina	\$957,320
North Dakota	\$129,995
Ohio	\$1,294,967
Oklahoma	\$1,118,250
Oregon	\$856,449
Pennsylvania	\$1,509,929
Puerto Rico	\$444,652
Rhode Island	\$189,536

**FISCAL YEAR 2015 ALLOTMENTS FOR STATES AND INDIAN TRIBES\TRIBAL  
ORGANIZATIONS  
CHAFEE EDUCATION AND TRAINING VOUCHERS (ETV) PROGRAM**

<b>State</b>	<b>2015 Allotments</b>
South Carolina	\$337,753
South Dakota	\$132,749
Tennessee	\$866,631
Texas	\$3,138,623
Utah	\$286,687
Vermont	\$102,873
Virginia	\$458,424
Washington	\$1,076,945
West Virginia	\$464,993
Wisconsin	\$692,775
Wyoming	\$103,932
<b>SUBTOTAL</b>	<b>\$42,584,812</b>

<b>Indian Tribal Organization</b>	<b>2015 Allotments</b>	<b>Foster Care Population</b>
KS Prairie Band of Potawatomi	\$6,278	60
OR Confederated Tribe of Warm Springs	\$12,513	120
WA Port Gamble S'Klallam Tribe	\$4,542	43
<b>SUBTOTAL</b>	<b>\$23,333</b>	

**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 2016, October 1, 2015 through September 30, 2016

<b>1. State or Indian Tribal Organization (ITO):</b>		<b>2. EIN:</b>
<b>3. Address:</b>		<b>4. Submission:</b> <input type="checkbox"/> New <input type="checkbox"/> 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 #0970-0426  
Approved through September 30, 2017

### **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



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.

## CFS-101, PART II

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

Attachment B  
OMB Approval #0970-0426  
Approved through September 30, 2017

**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

## CFS-101, PART II

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

Attachment B  
OMB Approval #0970-0426  
Approved through September 30, 2017

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.

## CFS-101, PART II

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

Attachment B  
OMB Approval #0970-0426  
Approved through September 30, 2017

### 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, 2015 TO SEPTEMBER 30, 2016

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**

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

**Attachment B**

OMB Approval #0970-0426  
Approved through September 30, 2017

**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 2013 grant allocation has an expenditure period from October 1, 2012 to September 30, 2014. Therefore, any fiscal year 2013 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

### CFS-101, Part III

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

### Attachment B

OMB Approval #0970-0426  
Approved through September 30, 2017

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.

**CFS-101, Part III**

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

**Attachment B**

OMB Approval #0970-0426  
Approved through September 30, 2017

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 2013: October 1, 2012 through September 30, 2013**

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>	
			Individuals	Families			
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>	

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
II	<b>Region II - New York City</b> Alfonso Nicholas <a href="mailto:alfonso.nicholas@acf.hhs.gov">alfonso.nicholas@acf.hhs.gov</a> 26 Federal Plaza, Rm. 4114 New York, NY 10278 (212) 264-2890, x 145 <b>States and Territories:</b> New Jersey, New York, Puerto Rico, Virgin Islands	VII	<b>Region VII - Kansas City</b> Deborah Smith <a href="mailto:deborah.smith@acf.hhs.gov">deborah.smith@acf.hhs.gov</a> Federal Office Building Room 276 601 E 12th Street Kansas City, MO 64106 (816) 426-2262 <b>States:</b> Iowa, Kansas, Missouri, Nebraska
III	<b>Region III - Philadelphia</b> Lisa Pearson <a href="mailto:lisa.pearson@acf.hhs.gov">lisa.pearson@acf.hhs.gov</a> 150 S. Independence Mall West - Suite 864 Philadelphia, PA 19106-3499 (215) 861-4030 <b>States:</b> Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia	VIII	<b>Region VIII - Denver</b> Marilyn Kennerson <a href="mailto:marilyn.kennerson@acf.hhs.gov">marilyn.kennerson@acf.hhs.gov</a> Federal Office Building 999 18 <sup>th</sup> Street---South Terrace Suite 499 Denver, Colorado 80202 (303) 844-3100 <b>States:</b> Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming
IV	<b>Region IV - Atlanta</b> Shalonda Cawthon <a href="mailto:shalonda.cawthon@acf.hhs.gov">shalonda.cawthon@acf.hhs.gov</a> 61 Forsyth Street, SW Atlanta, GA 30303-8909 <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 Naugler <a href="mailto:tina.naugler@acf.hhs.gov">tina.naugler@acf.hhs.gov</a> 701 Fifth Avenue, Suite 1600, MS-73 Seattle, WA 98104 (206) 615-3657 <b>States:</b> Alaska, Idaho, Oregon, Washington

## NCANDS State Contact

Attachment D

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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>2013-2014 School Year</b> (July 1, 2013 to June 30, 2014)		
<b>2014-2015 School Year*</b> (July 1, 2014 to June 30, 2015)		

Comments:

\*in some cases this might be an estimated number since the APSR is due June 30, 2015.