

ACF

Administration
for Children
and Families

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration on Children, Youth and Families

1. Log No. ACYF-CB-PI-97-03

2. Issuance Date: May 16, 1997

3. Originating Office: Children's Bureau

4. Key Word: Fiscal Year 1997 Annual Progress and Services Report for Title IV-B; Fiscal Year 1998 Budget Request; Child Abuse Prevention and Treatment Act; Independent Living Program

PROGRAM INSTRUCTION

TO: State Agencies and Indian Tribes Administering Title IV-B, subpart 1, Child Welfare Services and subpart 2, Family Preservation and Support Services.

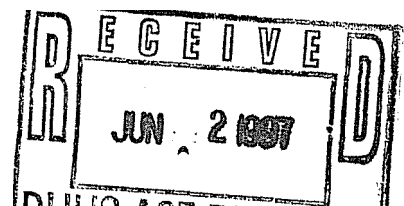
SUBJECT: June 30, 1997 Submission of the Annual Progress and Services Report (APSR) Required for Title IV-B of the Social Security Act (the Act) and the CFS-101, Annual Budget Request and Annual Summary of Child and Family Services Forms.

Note: This Program Instruction (PI) applies to States applying for title IV-B, subparts 1 and 2 funds and Indian Tribes that are eligible and applying for title IV-B, subparts 1 and 2, or title IV-B, subpart 2 only funds. A separate PI is being issued to provide guidance to Indian Tribes eligible and applying only for title IV-B, subpart 1 funds.

LEGAL AND RELATED REFERENCES: Title IV-B, subparts 1 and 2 and Title IV-E, Section 477 of the Social Security Act; Section 106 of the Child Abuse Prevention and Treatment Act, as amended (42 U.S.C. 5101 et seq.); 45 CFR 1357; ACYF-PI-CB-95-12; ACYF-PI-CB-95-23; ACYF-IM-CB-97-01; ACYF-PI-NCCAN-97-01.

OVERVIEW:

This PI informs States and Indian Tribes of the actions they must take to receive their title IV-B and CAPTA allotments. The actions States and Indian Tribes need to take will depend upon whether they have consolidated title IV-B Plans or not. There have been several legislative and regulatory changes in the past two years that impact the requirements for the title IV-B Child and Family Services Plan (CFSP) (see ACYF-PI-CB-95-12, ACYF-PI-CB-95-23, the Final Rule on title IV-B published in the Federal Register on November 18, 1996 and ACYF-PI-NCCAN-97-01 for additional information). This PI summarizes these changes and provides instruction on what States must do to comply with the title IV-B State Plan requirements in this APSR and all subsequent APSRs.



The legislative and regulatory changes that have impacted the title IV-B CFSP and the APSR requirements include:

- o The Child Abuse Prevention and Treatment Act (CAPTA) Amendments of 1996 (Public Law 104-235). This requires the submission of a CAPTA State Program Plan. This Plan is required for States to receive their CAPTA Basic State Grant (BSG) allotment and must be submitted every five years. The statute mandates that the CAPTA Plan be coordinated "to the maximum extent practicable" with the title IV-B State Plan.
- o The Final Rule on Title IV-B. Child and Family Services published in the *Federal Register* on November 18, 1996. This final rule amends existing regulations concerning comprehensive child and family services under titles IV-B (Child and Family Services) and IV-E (Federal Payments for Foster Care and Adoption Assistance) of the Social Security Act. This regulation also requires the inclusion of the CAPTA BSG information in the CFSP.
- o Section 554 of the "The Multiethnic Placement Act of 1994" (MEPA). This creates a title IV-B, subpart 1, State Plan requirement, under section 422(b)(9)(first occurrence) of the Act, to facilitate identification and recruitment of foster and adoptive parents who reflect the ethnic and racial diversity of children for whom foster and adoptive homes are needed.
- o The Social Security Act Amendments of 1994. This amended section 422(b) by adding paragraph (10) that requires States to include in the title IV-B, subpart 1, State Plan a description of the specific measures taken by the State to comply with the Indian Child Welfare Act (ICWA).

This PI is divided into four parts:

- PART I: Background
- PART II: Guidance to States on Submission of the APSR
- PART III: Guidance to Indian Tribes on submission of the APSR
- PART IV: Guidance to Indian Tribes newly eligible for fiscal year 1998 title IV-B, subpart 2, funds that are applying for title IV-B, subparts 1 and 2, funds
- PART V: Guidance to Indian Tribes newly eligible for fiscal year 1998 title IV-B, subpart 2, funds that are applying only for title IV-B, subpart 2, funds

PART 1: BACKGROUND

Consolidated CFSP and the APSR

On December 18, 1996 final regulations for title IV-B, Child and Family Services became effective, which revised Federal regulations under 45 CFR 1355, 1356 and 1357. These new regulations specify, among other things, the requirements that States and eligible Indian Tribes must meet in order to receive funding under title IV-B. Two of these requirements are for States and Indian Tribes to develop a five comprehensive CFSP and to provide subsequent annual CFSP updates through an APSR.

Initially, the Department proposed to require a comprehensive CFSP to be submitted by June 30, 1995 (see Notice of Proposed Rulemaking issued October 4, 1994 (59 FR 50646)). A comprehensive CFSP was to meet the planning and reporting requirements for the title IV-B programs and include information on the Independent Living Program (ILP) and the CAPTA program. In response to comments on this proposal, we relaxed the CFSP requirements to allow for a phased-in approach, i.e., States and eligible Indian Tribes are required to consolidate the planning and reporting requirements for title IV-B and CAPTA and include information on the ILP by June 30, 1997.

In order to meet the consolidated CFSP requirements by June 30, 1997, we are not requiring States and eligible Indian Tribes to submit a new five year CFSP. The information required to complete the consolidation requirement is to be submitted as part of the APSR due June 30, 1997. Many States previously submitted a consolidated CFSP while other States submitted a five year CFSP that met only the requirements for title IV-B, subpart 2. These CFSPs should have included information describing how the State was engaged in comprehensive planning and development of the consolidated CFSP encompassing the continuum of child and family services. The CFSP due for fiscal year (FY) 2000 will be a fully consolidated five-year CFSP which will meet the requirements for both the CAPTA and title IV-B programs for the next five year period.

The process of developing the consolidated CFSP is described in 45 CFR 1357.15. The consolidated planning effort should extend the inclusive, consultative process used to develop the Family Preservation and Support Plan to the continuum of services provided under CAPTA and title IV-B, subpart 1. The information provided on title IV-B, subpart 1, should not be considered a separate independent plan. The process of planning, coordination, consultation, and goals and objectives setting is an on-going process which reaches beyond initial development of the CFSP.

We recognize that the consolidation process is a complex and time-consuming one. Joint planning with the ACF Regional Offices should be structured so that any State concerns regarding CFSP approval can be resolved.

Child Abuse Prevention and Treatment Act Amendments of 1996 (Public Law 104-235)

As stated above, a consolidated title IV-B CFSP, submitted as the APSR, is to include information on the CAPTA program. The CAPTA Amendments of 1996 authorize the annual award of funds to States that submit State Plan every five years and meet certain other eligibility criteria. As a result of this change, we are requiring the consolidation of the title IV-B Plan requirements and the CAPTA Basic State Grant (BSG) Plan requirements with this APSR.

This consolidation is consistent with both the CAPTA Amendments of 1996 and the recently published regulation on the comprehensive CFSP in that the CAPTA amendments mandate that the CAPTA Plan be coordinated "to the maximum extent practicable" with the title IV-B Plan. This consolidation also addresses comments the Department obtained from focus groups and will reduce multiple application processes for the States as well.

A separate PI (ACYF-PI-NCCAN-97-01) was issued on March 12, 1997 to provide States with the criteria for funding under the new CAPTA Plan requirements. States are to refer to that PI as they develop their APSRs for specific guidance on the FY 1997 CAPTA BSG application requirements.

Consolidation of the title IV-B and CAPTA State Plans does not allow for pooled funding among the programs, since separate funding streams and accountability are still required by statute. While the information on the two programs is consolidated into one CFSP, eligibility and funding for the individual programs will be kept separate. Therefore, funding will not be delayed for one program due to potential eligibility issues in the other program.

Independent Living Program (ILP)

The consolidated CFSP must also include information on the ILP. Statutory barriers prevent the Department from requiring the consolidation of the application for the ILP into the title IV-B CFSP. However, States may consolidate the ILP application into the title IV-B CFSP and still meet the requirement in 45 CFR 1357.16(a)(4). States could thereby receive their ILP funds earlier in the fiscal year.

Although consolidation of the ILP application into the title IV-B planning process is encouraged, pooled funding among the programs is not allowed, since separate funding streams and accountability are still required by statute. While the information on the two programs may be consolidated into one Plan, eligibility and funding for the individual programs will be kept separate and funding will not be delayed for one program due to potential eligibility issues in the other program.

Additional Title IV-B Plan Update Requirements

There have been two amendments to section 422 of the Act. The first amendment created section 422(b)(9)(first occurrence) of title IV-B, subpart 1, of the Act. This section requires the diligent recruitment of potential foster and adoptive families who reflect the ethnic and racial diversity of children in the State for whom foster and adoptive homes are needed. (ACYF-PI-CB-95-23 describes how States must meet this State Plan requirement and provide annual updates.)

The second amendment added section 422(b)(10) to title IV-B, subpart 1, of the Act. States are required to include in the title IV-B Plan a description, developed after consultation with tribal organizations in the State, of the specific measures taken by the State to comply with the Indian Child Welfare Act (ICWA). (See ACYF-PI-CB-95-12 for further clarification on the ICWA requirements for the State Plans and annual updates.)

Now that the State CFSP is to include both of the programs under title IV-B, the requirements discussed above are to be included as part of the CFSP and APSR.

PART II: GUIDANCE TO STATES ON SUBMISSION OF THE APSR

A. Requirements that all States must meet whether or not a consolidated CFSP has previously been submitted.

1. Annual Progress and Services Review. According to 45 CFR 1357.16, each State must conduct an interim review of the progress made in the previous year toward accomplishing the goals and objectives in the CFSP, based on updated information. The State must involve

the agencies, organizations, and individuals who are part of the on-going CFSP related consultation and coordination process. On the basis of this review, each State must prepare and submit to ACF, an APSR which must include the following --

- a. A report on the specific accomplishments and progress made in the past fiscal year toward meeting **each goal and objective**, including improved outcomes for children and families, and a more comprehensive, coordinated, effective child and family services continuum.
- b. Any revisions in the statement of goals and objectives or to the training plan, if necessary, to reflect changed circumstances.
- c. A description of the child welfare, family preservation, family support, and independent living services to be provided in the upcoming fiscal year highlighting any additions or changes in services or program design and including the information required in 45 CFR 1357.15(n).
- d. Information on activities in the areas of training, technical assistance, research, evaluation, or management information systems that will be carried out in the upcoming fiscal year in support of the goals and objectives in the plan.
- e. Information required to meet the maintenance of effort (non-supplantation) requirement in section 432(a)(7) and (8) of the Act.
- f. Any other information the State wishes to include.
- g. The CFS-101 forms are to be submitted with the APSR in order for States to receive their FY 1998 title IV-B allotments. Instructions for the CFS-101 and copies of the forms are attached.

2. CAPTA Plan requirement.

- a. States must include the CAPTA Plan information required for BSG funding in their APSRs due June 30, 1997.
- b. The consolidated planning effort should extend the inclusive, consultative process used to develop the Family Preservation and Support Plan to the continuum of services provided under CAPTA.
- c. States are to follow the instructions in ACYF-PI-NCCAN-97-01.
- d. The information contained in this APSR should encompass 'FYs 1997-1999.)

3. ILP information to be included in the APSR.

- a. States are required to include in the APSR a description of the independent living services to be provided in the upcoming fiscal year (45 CFR 1357.16(a)(4)).

- b. States may elect to consolidate the ILP application information into the APSR and apply for FY 1998 ILP funds. The requirements for ILP funding

- a
s

o
u
t
l
i
n
e
d

i
n

A
C
Y
- F-IM-CB-97-01 must be included in the APSR if a State chooses to consolidate.
 - c. ILP Program Reports must still be submitted no later than January 1 of the year following the end of the fiscal year for which funds were awarded.
 - 4. Guidance on title IV-B, subpart 1, CFSP updates that are to be included in this APSR and all future APSRs.
 - a. States are to describe how the MEPA recruitment plan is in compliance with section 422(b)(9)(first occurrence) of title IV-B.
 - b. States are required to describe future goals and activities they will undertake to improve compliance with ICWA; or address the progress made to date by the State in meeting these goals as required by section 422(b)(10) of title IV-B.

B. Requirements for States that previously have not submitted a consolidated title IV-B CFSP.

1. In addition to the information in "A" above, States are required to submit the applicable information required in 45 CFR 1357.15 not previously submitted as part of the CFSP that pertains to title IV-B, subpart 1, and describe these services as part of the continuum of child welfare services.
2. States must include the applicable title IV-B, subpart 1, information in the APSR due June 30, 1997.
3. The consolidated planning effort should extend the inclusive, consultative process used to develop the Family Preservation and Support Plan to the continuum of services provided under title IV-B, subpart 1.
4. The information for title IV-B, subpart 1 is to encompass FYs 1998 and 1999.

PART III: GUIDANCE TO INDIAN TRIBES ON SUBMISSION OF THE APSR.

A. Requirements that all Indian Tribes applying for title IV-B, subparts 1 and 2 must meet whether or not a consolidated CFSP has previously been submitted.

1. According to 45 CFR 1357.16, each eligible Indian Tribe must conduct an interim review of the progress made in the previous year toward accomplishing the goals and objectives in the CFSP, based on updated information. The Indian Tribe must involve the agencies, organizations, and individuals who are a part of the on-going CFSP related consultation and coordination process. On the basis of this review, each Indian Tribe must prepare and submit to ACF, an APSR which must include the following --

subpart 2, funding may submit either an application for planning funds or submit a CFSP for service funds. If an Indian Tribe elects to submit an application for title IV-B, subpart 2, planning funds, there will be no match requirement in the first year of funding. If a Tribe chooses to forego the planning process and submits a CFSP, the Indian Tribe will be responsible for the match requirement for service funding. Attached is a list of Indian Tribes currently receiving title IV-B, subpart 2 funds and those newly eligible for title IV-B, subpart 2 funds for FY 1998. ACF is committed to providing technical assistance to the newly eligible Indian Tribes to assist in the development of the plans and the implementation of these provisions. Indian Tribes should contact the ACF Federal Regional Offices to request any needed assistance.

A. Requirements for Indian Tribes submitting an application for title IV-B, subpart 2 FY 1998 planning funds

1. Submit, at a minimum, the information in the following sections of 45 CFR 1357.15:
 - (c) Assurances;
 - (d) Description of the planning process that will form the basis of the CFSP;
 - (f)(1) Name of the Indian Tribe applying for funds; and,
 - (k) Description of how the funds will be used to develop the required baseline information.
2. Describe other activities that will be carried out to develop the CFSP and improve service delivery, including activities such as training and technical assistance.
3. Submit the following certifications, which are attached:
 - o Anti-Lobbying and Disclosure form;
 - o Drug-Free Workplace;
 - o Debarment; and
 - o Environmental Tobacco Smoke (Pro-Children Act of 1994).
4. The Indian Tribe may submit the planning application in the format of its choice.
5. The FY 1998 planning funds will be awarded with no match requirement for the first year of funding.
6. Submit an update to the current title IV-B, subpart 1 Tribal plan for FY 1998.
7. Submit the CFS-101 forms with the planning application by June 30, 1997. The CFS-101 forms and instructions are attached.
8. A comprehensive title IV-B CFSP is to be submitted for FY 1999 by June 30, 1998. The CFSP is to include information on the title IV-B programs and meet the applicable requirements of 45 CFR 1357.15, the requirements of 45 CFR 1357.40 and 45 CFR 1357.50.

B. Requirements for Indian Tribes submitting a CFSP for title IV-B, subpart 2, FY 1998 services fund.

1. A comprehensive title IV-B CFSP is to be submitted for FY 1998 by June 30, 1997. The CFSP is to meet the applicable requirements of 45 CFR 1357.15, the requirements of 45 CFR 1357.40 and 45 CFR 1357.50.
2. The comprehensive CFSP is to encompass FYs 1998 and 1999.
3. Indian Tribes are to describe the goals, objectives and services to be provided under title IV-B, subparts 1 and 2, and describe these services as a part of the continuum of child and family services.
4. Indian Tribes submitting a CFSP are subject to the match requirement for services funding.
5. The CFS-101 forms are to be submitted with the CFSP in order for Indian Tribes to receive their FY 1998 title IV-B allotments. Instructions for the CFS-101 and copies of the forms are attached.
6. Indian Tribes may submit the CFSP in the format of their choice.

Part V: GUIDANCE TO INDIAN TRIBES NEWLY ELIGIBLE FOR FISCAL YEAR 1998 TITLE IV-B, SUBPART 2, FUNDS THAT ARE APPLYING ONLY FOR TITLE IV-B, SUBPART 2, FUNDS.

Starting with FY 1996 additional Indian Tribes were eligible for title IV-B, subpart 2 funds. New Tribes which become eligible for this funding may submit either an application for planning funds or submit a CFSP for service funds. If an Indian Tribe elects to submit an application for title IV-B, subpart 2, planning funds, those funds will be awarded with no match requirement in the first year of funding. If a Tribe chooses to forego the planning process and submits a CFSP, the Indian Tribe will be responsible for the match requirement for service funding. Attached is a list of Indian Tribes currently receiving title IV-B, subpart 2 funds and those newly eligible for title IV-B, subpart 2, funds for FY 1998. ACF is committed to providing technical assistance to the newly eligible Indian Tribes to assist in the development of the plans and the implementation of these provisions. Indian Tribes should contact the ACF Regional Offices to request technical assistance.

A. Indian Tribes submitting an application for FY 1998 title IV-B, subpart 2, planning funds.

1. Submit, at a minimum, the information in the following sections of 45 CFR 1357.15:
 - (c) Assurances;
 - (d) Description of the planning process that will form the basis of the CFSP;
 - (f)(1) Name of the Indian Tribe applying for funds; and,
 - (k) Description of how the funds will be used to develop the required baseline information.

2. Describe other activities that will be carried out to develop the CFSP and implement improved service delivery, including activities such as training and technical assistance.
3. Submit the following certifications, which are attached:
 - o Anti-Lobbying and Disclosure form;
 - o Drug-Free Workplace;
 - o Debarment; and
 - o Environmental Tobacco Smoke (Pro-Children Act of 1994).
4. The Indian Tribe may submit the planning application in the format of its choice.
5. The FY 1998 planning funds will be awarded with no match requirement for the first year of funding.
6. Submit the CFS-101 forms with the planning application by June 30, 1997. The CFS-101 forms and instructions are attached.
7. A title IV-B CFSP is to be submitted for FY 1999 by June 30, 1998. The title IV-B CFSP is to meet the applicable requirements of 45 CFR 1357.15, the requirements of 45 CFR 1357.40 and 45 CFR 1357.50.

B. Requirements for Indian Tribes submitting a CFSP for FY 1998 title IV-B, subpart 2, service funds.

1. A title IV-B CFSP is to be submitted for FY 1998 by June 30, 1997. The CFSP is to meet the applicable requirements of 45 CFR 1357.15, the requirements of 45 CFR 1357.40 and 45 CFR 1357.50.
2. The CFSP is to encompass FYs 1998 and 1999.
3. Indian Tribes are to describe the goals, objectives and services to be provided under title IV-B, subpart 2 and describe these services as a part of the continuum of child welfare services.
4. Indian Tribes submitting a CFSP are subject to the match requirement for services funding.
5. Submit the CFS-101 forms with the CFSP. The CFS-101 forms and instructions are attached.
6. Indian Tribes may submit the CFSP in the format of their choice.

SUBMITTALS:

An original and two copies of the APSR, or Planning Application, or CFSP and the CFS-101 must be submitted to the Administration for Children and Families (ACF) Federal Regional Office by June30, 1997.

PAPERWORK REDUCTION ACT:

Under the Paperwork Reduction Act of 1995 (Public Law 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 valid OMB Control Number assigned to this information collection is 0980-0047, expiration date 5/31/97.

Public reporting burden for the APSR and the CFS-101 is estimated to average 125 hours per response. The public reporting burden for the CFSP is estimated to average 500 hours.

INQUIRIES: Regional Administrators
Administration for Children and Families

/s/
James A. Harrell
Acting Commissioner
Administration for Children Youth and Families

ATTACHMENTS

Attachment illegible in original

FAMILY PRESERVATION AND FAMILY SUPPORT
ALLOTMENTS FOR INDIAN TRIBES

Tribe		FY 97 \$2.4M	Estimate FY 98 \$2.55M
1 Navajo Tribe	AZ-NM-UT	599,273	629,100
2 Cherokee Nation	OK	243,578	255,701
3 Creek Nation	OK	158,152	166,023
4 Choctaw Nation	OK	105,974	111,248
5 Chickasaw Nation	OK	79,880	83,856
6 Assoc. of Village Council Pres. Reg. Corp.	AK	69,328	72,779
7 Cook Inlet NA RC	AK	67,719	71,090
8 Oglala Sioux Tribe NE-SD		50,869	53,401
9 Tlingit-Haida Central Council Reg. Corp.	AK	43,286	45,441
10 White Mountain Apache Tribe	AZ	42,140	44,237
11 Tanana Chiefs Conference Reg. Corp.	AK	41,823	43,905
12 Rosebud Sioux Tribe	SD	37,159	39,008
13 Gila River Indian Community	AZ	36,722	38,550
14 Tohono O'odham Nation	AZ	33,171	34,822
15 San Carlos Apache Tribe	AZ	29,944	31,435
16 Turtle Mountain Band of Chippewa	ND-SD	29,072	30,518
17 Blackfeet Tribe	MT	28,704	30,132
18 Cheyenne-Arapaho Tribes	OK	27,360	28,722
. zuni Tribe	NM	26,675	28,003
) confederated Yakima Indian Nation	WA	26,008	27,302
L Hopi Tribe	AZ	25,802	27,087
22 Kawerak Reg. Corp.	AK	24,296	25,505
23 Shoshone and Arapahoe Tribes of Wind River	WY	24,116	25,317
24 Assiniboine and Sioux Tribes of Fort Peck	MT	24,014	25,209
25 Cheyenne River Sioux Tribe	SD	22,918	24,059
26 Kiowa Indian Tribe	OK	22,872	24,011
27 Maunelluk Assoc. Reg. Corp.	AK	22,585	23,709
28 Standing Rock Sioux Tribe	ND-SD	22,217	23,322
29 Osage Tribe	OK	22,063	23,161
30 Comanche Indian Tribe	OK	20,386	21,401
31 Confederated Salish and Kootenai Tribes	MT	20,094	21,094
32 Crow Tribe	MT	19,718	20,699
33 Eastern Band of-Cherokee Indians	NC	19,581	20,555
34 Citizens Band Potawatomi Tribe	OK	18,381	19,295
35 Sac and Fox Tribe	OK	17,886	18,776
36 Bristol Bay Nat. Assoc. Reg. Corp.	AK	17,732	18,615
37 Artie Slope Nat. Assoc. Reg. Corp.	AK	17,647	18,525
38 Mississippi Band of Choctaw Indians	MS	17,450	18,318
39 Northern Cheyenne Tribe	MT	15,738	16,521
40 Red Lake Band of Chippewa Indians	MN	15,593	16,369
41 Salt River Indian Community	AZ	14,771	15,506
42 Confederated Tribes of Colville	WA	14,651	15,381
43 Seminole Nation	OK	14,497	15,219
44 Leech Lake Band Chippewa Tribe	MN	14,352	15,066
45 Menominee Indian Tribe	WI	13,470	14,141
46 Devils Lake Sioux Tribe	ND	12,614	13,242

47 Three Affiliated Tribes of Fort Berthold	ND	12,495	13,117
48 Sisseton-Wahpeton Sioux Tribe of Lake Travers		12,435	13,054
49 Confederated Tribes of Warm Springs	OR	12,392	13,009
50 Pueblo of Laguna	NM	12,246	12,856
51 Shoshone-Bannock Tribes of Fort Hall	ID	11,921	12,515
51 Ute Indian Tribe of Uintah and Ouray	UT	11,724	12,308
53 Pueblo of Santo Domingo	NM	11,374	11,940
54 Mescalero Apache Tribe	NM	11,134	11,688
55 Pascua Yaqui Tribe	AZ	10,946	11,490
56 White Earth Band of Chippewa	MN	10,911	11,455
57 Jicarilla Apache Tribe	NM	10,141	10,646
58 Fort Belknap Indian Community	MT		10,305
59 Oneida Tribe (West)	WI		10,134
60 Colorado River Indian Tribes	AZ-CA		10,107

Total		2,400,000	2,550,000
-------	--	-----------	-----------

CFS-101 INSTRUCTIONS

State agencies administering title IV-B of the Social Security Act (the Act) are required to submit an annual budget request and summary of services (CFS-101). Indian Tribal Organizations which meet the requirements for direct payments and administer the programs are also required to submit this information annually.

This information collection package contains two forms: (1) Part I: Annual Budget Request for Title IV-B, Subpart 1, Child Welfare Services and Subpart 2, Family Preservation and Family Support; (2) Part II: Annual Summary of Child and Family Services.

General Instructions

Directions for submitting the CFS-101 will vary depending upon where each State and eligible Indian Tribe is in terms of consolidating title IV-B, subparts 1 and 2, and the status of each eligible Indian Tribe regarding title IV-B, subpart 1. States and eligible Indian Tribes have until June 30, 1997 to phase-in the requirements for a consolidated CFSP.

States, and eligible Indian Tribes receiving title IV-B, subpart 1 and 2 funds, that have submitted a combined plan must submit both forms by June 30 of the year prior to the fiscal year in which services will be provided (e.g., for FY 1997 the forms must be submitted by June 30, 1996.)

Indian Tribes which receive title IV-B, subpart 1 funds only, complete only the appropriate section of the CFS-101, Part I and II forms and submit the forms by June 30 of the year prior to the fiscal year in which services will be provided (e.g., for FY 1997 the forms must be submitted by June 30, 1996.)

Indian Tribes which do not receive title IV-B, subpart 1 funds, but are eligible for title IV-B, subpart 2 funds, complete only the appropriate section of the CFS-101, Part I and II forms and submit the forms by June 30 of the year prior to the fiscal year in which services will be provided (e.g., for FY 1997 the forms must be submitted by June 30, 1996.)

States, and eligible Indian Tribes receiving title IV-B, subpart 1 funds and eligible for subpart 2 funds, choosing to phase-in consolidation of the CFSP, must submit:

(1) a CFS-101 for title IV-B, subpart 1, for FY 1996 allocations; a CFS-101 for title IV-B, subpart 2, for FY 1997 allocations; and if a State or eligible Indian Tribe chooses, a CFS-101 for subpart 1, for FY 1997 allocations by June 30, 1996;

(2) a CFS-101 for title IV-B, subpart 1 for FY 1997 allocations, if not previously submitted, by June 30, 1997; and

(3) beginning with FY 1998 submit a CFS-101 for subpart 1 and 2 allocations by June 30 of the year prior to the fiscal year in which services will be provided (e.g., for FY 1998 the forms must be submitted by June 30, 1997.)

PAPERWORK REDUCTION ACT OF 1995

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information -- unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0980-0047. Public reporting burden for this collection of information is estimated to average 5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

This information is not considered confidential, therefore, no additional safeguards are considered necessary beyond that customarily applied to routine government information.

CFS-101, PART 1: ANNUAL BUDGET REQUEST FOR TITLE IV-B, SUBPART 1, CHILO WELFARE SERVICES AND SUBPART 2, FAMILY PRESERVATION AND SUPPORT SERVICES

(Complete separate forms for each fiscal year)

1. Enter the name of the State or Indian Tribal Organization (ITO).
2. Indicate the Employer Identification Number (EIN).
3. Enter the address of the State or ITO Agency.
4. Indicate if this is a new or revised budget request.
5. Estimated title IV-8, subpart 1 funds:
 - a) Specify the total estimated amount of combined Federal and State or ITO funds that the State or ITO expects to spend during the fiscal year on IV-8, subpart 1 activities.
 - b) Requested Federal share of title IV-8, subpart 1 funds. Enter 75% of the amount on line 5(a).
 - c) Estimated State or ITO match. Enter 25% of the amount on line 5(a).
6. Estimated title IV-8, subpart 2 funds.
 - a) Specify the total estimated amount of combined Federal and State or ITO funds to be spent during the fiscal year on IV-8, subpart 2 for Family Preservation Services.
 - b) Specify the total estimated amount of combined Federal and State or ITO funds to be spent during the fiscal year on IV-B, subpart 2 for Family Support Services.
 - c) Specify the total estimated amount of combined Federal and State or ITO funds to be spent on Administration.
 - d) -Enter the total of lines 6(a) + 6(b) + 6(c).
 - e) Requested Federal share of title IV-8, subpart 2 funds. Enter 75% of the amount on line 6(d).
 - f) Estimated State or ITO match. Enter 25% of the amount on line 6(d).
7. Indian Tribal Organizations Only.

Under title IV-8, subpart 2, when all the eligible ITO's do not claim their full allotment, funds become available for reallocation to other ITO's. For an ITO to claim a portion of these funds we must have on file a request from the tribe and an assurance of sufficient matching funds. If additional funds are requested indicate: the total amount, the Federal share (75%) and the ITO match (25%), in the spaces provided.
8. Certification: This report must be signed and dated in the spaces provided. The

signature and title of the director of the State agency, or Indian Tribal Organization, with authority to administer or supervise the administration of the Family Preservation and Family Support Programs must be included.

....

CFS-101, PART 1: ANNUAL BUDGET REQUEST FOR TITLE IV-B, SUBPART 1 & 2 FUNDS
 CHILD & FAMILY SERVICES

FISCAL YEAR 19
 OCTOBER 1, 19__ through SEPTEMBER 30, 19__

2. State or ITO	2. EIN: _____
3. Address:	4. Submission: <input type="checkbox"/> New <input type="checkbox"/> Revision

5. Estimated title IV-B. Subpart 1 Funds	
a) Total Estimate	
b) Federal Share [75% of 5(a)]	
c) State/ITO Match [25% of 5(a)]	

6. Estimated title IV-B. Subpart 2 Funds	
a) Total Family Preservation Services	
b) Total Family Support Services	
c) Total Administration	
d) Total Estimate [6(a)+6(b)+6(c)]	
e) Federal Share [75% of 6(d)]	
f) State/ITO Match [25% of 6(d)]	

7. Indian Tribal Organizations Only (title IV-8, Subpart 2 Only). If additional funds become available to ITOs, the ITO may apply in advance for and match these funds. Specify the amount of additional funds the ITO will apply for and match.		
Total Amount \$	Federal Share(75%) \$	ITO Match(25%) \$

8. Certification by State Agency	
The State agency or Indian Tribal Organization submits the above estimate and request of funds under title IV-8, subpart 1 and 2, of the Social Security Act and agrees that the estimated expenditures will be made in accordance with the Child and Family Services Plan which has been jointly developed with the ACF Regional Office and has been determined to meet all the requirements of the Act, for the Fiscal Year ending September 30.	
Signature of State/Tribal Agency Official	Signature of Regional Office Official
!Title	Title
Data Submitted	Date

CFS-101, PART II: ANNUAL SUMMARY OF CHILD AND FAMILY SERVICES
(Complete separate forms for each fiscal year)

This form summarizes the State Agency's and eligible Indian Tribal Organizations' expenditures on Child and Family Services programs for the next year. This information is an integral part of the State Child and Family Services Plan and should be discussed by the Children's Bureau and State Agency Representatives. States should list expenditures in the category that best fits their programs.

Services/Activities

For each of the services/activities listed, indicate 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 in the appropriate columns.

1. Prevention and Support Services (Family Support):

Community-based services which promote the 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 stable and supportive family environment, and to enhance child development. 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; 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.

a) Placement Prevention:

Services to prevent family disruption and unnecessary removal of children from their homes (as appropriate). These services may include intensive family preservation, post-adoptive support services, case management, counseling, day care, respite services, homemaker services, services designed to increase parenting skills, family budgeting, coping with stress, health, and nutrition.

b) Reunification Services:

Services to help children, where appropriate, return to families from which they have been removed or be placed for adoption or legal guardianship. These services may include day care services, homemaker or caretaker services, family or individual counseling for parent(s) and child, follow-up care to families to whom a child has been returned after placement and other reunification services the State identifies as necessary.

4. Foster Care Maintenance:

a) Foster Family and Relative Foster Care:

Payments to cover the cost of, and cost of providing, 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.

b) Group/Institutional Care:

This includes the reasonable costs of administration and operation of institutional/group home care that are necessarily 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.

5. Adoption Subsidy Payments:

Funds provided to adoptive parents on a recurring and periodic basis to assist in the support of specialneeds children.

6. Administration and Management:

Include costs of supervisors and staff whose activities support child welfare services and which cannot be allocated under other services/activities.

7. Family Preservation and Family Support 10% Administration Cost: (Not applicable to Indian Tribes)

Includes costs of administrative services for family preservation and family support which are not more than ten percent of Federal expenditures under title IV-B, subpart 2 of the plan for the fiscal year. Allowable costs 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, auditing, and indirect costs allocable in accordance with the agency's approved cost allocation plan (See 45 CFR 1357.32{h}).

8. Significant Portion: (Not applicable to Indian Tribes)

Indicate the specific percentage distribution of title IV-8, subpart 2 funds that will be expended for family support and/or family preservation services. For example, if the State allocation for family preservation is 40% and the allocation for family support services is 60%, then enter F:40 FS:60 (The two figures must total 100%.)

9. Staff Training;

Includes the cost of short and long-term training to increase staff's ability to provide assistance and support to children and families.

10. 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.

11. 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.

12. Child Care Related to Employment/Training:

Includes day care purchased for the purpose of the employment of one or both of the parents.

13. Total;

The total amount of funds estimated for the year (equal to the sum of lines 1 through 12) for each column.

Estimated Expenditures

1. Federal funds (Columns a - j)

Indicate for each service/activity the amount to be expended from the Federal program indicated in columns (a) through (i).

2. State, Local and Donated Funds (column k)

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 of Clients to be Served (column l)

Estimate, as accurately as possible, the number of clients to be served by service activity with the total estimated funding indicated. A client may be an individual or a family; check the appropriate box.

4. Population to be Served (column m)

Indicate the population that has been targeted for the designated services. Targeting may include a range of vulnerable populations- children, youth and/or families.

5. Geographic Area to be Served (column n)

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, Tribes, 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".

SUBMISSION OF FORMS

Submit the original (with original signature) and two copies to the Administration for Children and Families (ACF) Federal Regional Office.

CFS 101. PART II: ANNUAL SUMMARY OF CHILD AND FAMILY SERVICES

State or ITO _____

For FV OCTOBER 1, 19__ TO SEPTEMBER 30, 19__

DUE JUNE 30, 19__

SERVICES/ACTIVITIES	ESTIMATED EXPENDITURES BY PROGRAM in THOUSANDS)							
	TITLE IV-B		CAPTA*			If1 TITLE IV-E	(g) TITLE XX (SSBGI	(h) TITI IV-AI
	(a) : 1-CWS	(b) 11-FPS	lei I	(dl II				
11 PREVENTION & SUPPORT SERVICES (Family Support								
21 PROTECTIVE SERVICES								
3) CRISIS INTERVENTION (Family Preservation)								
(a) PREPLACEMENT PREVENTION								
(b) REUNIFICATION SERVICES								
41 FOSTER CARE MAINTENANCE:								
(u) FOSTER FAMILY & RELATIVE FOSTER CARE								
(h) GROUP/INST CARE:								
SJ ADOPTION SUBSIDY PMTS.								
6) ADMIN & MGMT								
71 FP/FS 10% ADMIN. COST								
81 SIGNIFICANT PORTION		FP. FS.						
91 STAFF TRAINING								
101 FOSTER PARENT RECRUITMENT & TRAINING								
111 ADOPTIVE PARENT RECRUITMENT & TRAINING								
111 CHILD CARE RELATED TO EMPLOYMENT/TRAINING								
TOTAL								

are not required to include information on these programs