

<h1>ACF</h1> 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-20-02	2. Issuance Date: February 4, 2020
	3. Originating Office: Children’s Bureau	
	4. Key Words: Title IV-B Child and Family Services Plan; Annual Progress and Services Report; Child Abuse Prevention and Treatment Act State Plan; Chafee Foster Care Program for Successful Transition to Adulthood; 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; and State Independent Living and Education and Training Voucher Coordinators.

SUBJECT: June 30, 2020, submission of: (1) the first Annual Progress and Services Report (APSR) to the 2020-2024 Child and Family Services Plan (CFSP) for the Stephanie Tubbs Jones Child Welfare Services (CWS), the MaryLee Allen Promoting Safe and Stable Families (PSSF)¹ and Monthly Caseworker Visit Grant programs; the Chafee Foster Care Program for Successful Transition to Adulthood (Chafee) 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, Chafee, 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.); the Comprehensive Addiction and Recovery Act of 2016 (CARA) (P.L. 114-198); the Victims of Child Abuse Act Reauthorization Act of 2018 (P.L. 115-424); the Indian Child Welfare Act (ICWA) of 1978 (P.L. 95-608); 45 CFR Parts 1355 and 1357; the Fostering Connections to Success and Increasing Adoptions Act of 2008 (P.L. 110-351); the Family First Prevention Services Act (FFPSA) within Division E, Title VII of the Bipartisan Budget Act of 2018 (P.L. 115-123); the Consolidated Appropriations Act, 2018 (P.L. 115-141); Departments of Labor, Health and Human Services, and Education, and Related Agencies

¹ The Family First Transition Act, enacted as part of the Further Consolidated Appropriations Act, 2020, renamed the Promoting Safe and Stable Families in honor of child advocate MaryLee Allen who died in June 2019.

Appropriations Act, 2019, Division B of Public Law (P.L.) 115-245; and the Further Consolidated Appropriations Act, 2020 (P.L. 116-94).

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)² 2021 (subject to the availability of appropriations) authorized under title IV-B, subparts 1 and 2, section 106 of CAPTA, Chafee and ETV programs.

This PI summarizes the actions required to complete and submit (1) the first APSR update to the 2020-2024 CFSP, (2) the CAPTA State Plan 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.

States are encouraged to read the PI in its entirety to understand where items are expected to be reported and how the information should be organized and submitted (please see Sections H and I for more information).

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 state child welfare agencies 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.

INFORMATION: Organization of the Program Instruction

- Section A. The Children’s Bureau Focus on Strengthening Families Through Primary Prevention of Child Maltreatment While Securing Permanency for All Children and Youth
 - Section B. Overview of the Child and Family Services Plan (CFSP)/ Annual Progress and Services Report (APSR) and the Child and Family Services Review (CFSR)
 - Section C. Requirements for the 2021 APSR (due June 30, 2020)
 - Section D. CAPTA State Plan Requirements and Updates
 - Section E. Updates to Targeted Plans within the 2020-2024 CFSP
 - Section F. Statistical and Supporting Information
 - Section G. Financial Information
 - Section H. Instructions for the Submission of the 2021 APSR for States, the District of Columbia, Puerto Rico, and the Virgin Islands of the United States
 - Section I. Submittal Rule for Insular Areas
- Attachments

² Unless otherwise noted, “FY” refers to federal fiscal year (October 1 – September 30).

Section A. The Children’s Bureau Focus on Strengthening Families Through Primary Prevention of Child Maltreatment While Securing Permanency for All Children and Youth

The Children’s Bureau (CB) has made a call to action to the child welfare field to implement primary prevention strategies. By focusing on primary prevention, we can strengthen families before maltreatment has occurred and prevent the unnecessary removal of children from their homes and communities.³ At the same time, CB recognizes that when foster care is necessary, it can be dramatically improved to focus on achieving timely permanency for all children and youth, including the 125,000 awaiting adoptive homes. In order to support this vision, CB is promoting:

- **Primary Prevention**

Primary prevention programs and strategies are efforts directed toward the whole community which are designed to prevent abuse and neglect from occurring for the first time in a family. The CB has been focused on safe prevention strategies that strengthen families so that children do not unnecessarily enter foster care. The vision of primary prevention is one where we work together with the courts and other appropriate public and private agencies and partners to plan, implement and maintain integrated primary prevention networks and approaches to strengthen families and prevent maltreatment before it causes trauma to children and results in entry into the foster care system. Coordinated and robust primary prevention efforts are critically important to strengthen families, prevent the initial occurrence of and ongoing maltreatment, prevent unnecessary family disruption, reduce family and child trauma, interrupt intergenerational cycles of maltreatment, and build a well-functioning child welfare system.

- **Child Welfare Practice that Supports the Well-Being of Children and Families, and Communities**

At the core of child welfare’s work is the establishment of practice that supports the positioning of the well-being of children, families, and communities as central to the role of the child welfare system. We know that trauma related to abuse and neglect and the removal of children from their families has long-term consequences for children, families, and communities. Creating a system that sees the prevention of child abuse and neglect as the goal of child welfare changes the current system toward working with families sooner through upfront prevention efforts.

- **Community-Based, Collaborative Programs that Support Families**

Effective primary prevention services must be located in communities where families live, where they are easily accessible, and culturally responsive. Child welfare agencies must partner with community-based providers for effective and efficient prevention strategies. These partnerships offer the opportunity to understand the unique strengths and needs of the communities and to develop approaches that are effective in reaching

³ See, for instance, Information Memorandum [ACYF-CB-IM-18-05](#).

families facing a range of challenges. Because of the link between poverty and child abuse and neglect, it is important that child welfare agencies work to develop consensus with key stakeholders around shared goals and strategies to achieve positive outcomes for families and children by encouraging them to participate in services early, before economic factors or other stressors cause a crisis.

- **Foster Care as a Support to Families, Not a Substitute for Parents**

While the movement towards primary prevention has the potential to reduce dramatically the number of children for whom foster care is needed, we will always need a system that can provide a temporary safe-haven for a limited number of children and youth. Under a prevention-based child welfare system, the need for foster care is used only as a last resort after all efforts have been exhausted to maintain the children safely within their own home.

With a smaller system of foster care, we can focus on empowering foster family homes to provide a support to families in a time of need or crisis. Children and youth can remain in their home communities, siblings can remain together, and critical child-parent bonds can be maintained. Foster parents must be a resource and allow families to remain actively involved in the lives of their children while out of their home.

- **Focus on Achieving Permanency**

Despite prevention and restorative efforts, some children are not be able to remain safely with their parents. For those children, we must provide them with the love and care that comes from a permanent and safe family, whether through adoption, placement with kin, or guardianship. When we strengthen our efforts to find relatives and support all caregivers, they become better prepared to provide a long-term family, if needed.

- **A Strong, Healthy Child Welfare Workforce to Achieve Better Outcomes**

All elements of achieving the vision of child welfare relies on a highly-trained workforce capable of implementing the goal of strengthening families through primary prevention. Learning to work with families and youth to identify strengths and protective factors is essential and must be supported by agency leadership and culture. Most child welfare professionals choose to work in the field because they care deeply about the children and families who live in their communities. Unfortunately, a lack of training, resources, and support coupled with high caseloads forces many child welfare professionals to leave the field. High turnover is associated with the inability of families and youth to receive critical services, make progress in court, and limits the ability of families and youth to build trusting relationships with helping professionals.

In thinking about the child welfare workforce, it is also important to think beyond those employed by the agency. For instance, court personnel and community providers play a critical role in child welfare. Engaging, training, and supporting the full range of professionals involved in child welfare creates a greater sense of ownership over the outcomes experienced by children and families.

- **High Quality Legal Representation at All Stages of Child Welfare Proceedings**
High quality legal representation is a powerful tool to help ensure that reasonable efforts⁴ are made and that the voices of parents, children and youth are heard. High quality legal representation requires attorneys to work with parents and youth to identify and advocate for services and supports and to ensure that parents and youth understand their rights and the complicated processes that directly affect their lives and well-being.⁵ Attorneys can also provide legal services to remove obstacles for families and youth that may leave them more vulnerable to entering the child welfare system, such as difficulties with housing, educational, employment, determining paternity and other civil legal issues.

CB Supports to States to Implement the Vision

To support the implementation of this vision, CB has hosted or cosponsored convenings and has developed other supports to assist child welfare agencies, including:

- *State Team Planning Meetings.* State Team Planning Meetings were hosted in 2018 and 2019 to facilitate the exchange between state child welfare agencies and partner agencies including Community-Based Child Abuse Prevention agencies (CBCAP) and the courts on how to implement a prevention vision. These meetings convened at least five state team members to spend time focused on outlining the state’s vision of prevention to be incorporated into the 2020-2024 CFSP. The 2019 State Team Meeting was held in conjunction with the [21st National Conference on Child Abuse and Neglect](#) to align concrete examples of prevention to state planning efforts.
- *Adoption Call to Action.* Over the last year, CB has challenged states to address the barriers to children and youth achieving timely permanency through adoption. By actively convening states in conference calls, meetings, and through the provision of technical assistance, we hope that identified goals to identify and address barriers will create momentum in states to refocus efforts to reduce the number of children and youth waiting for their permanent family.
- *2019 National Judicial Summit on Child Welfare.* CB continues to support efforts to facilitate partnership between the courts and child welfare agencies, including co-sponsoring the 2019 National Judicial Summit. A key focus is to ensure the standard of “reasonable efforts” as required by the Act are met so that families are preserved. In addition, courts play an important role in determining whether searches for relatives and other caregivers have been performed, so that a foster care placement is a last resort when others are available to care for the child. By supporting and strengthening the court’s role

⁴ “Reasonable efforts” are a title IV-E agency requirement to obtain a judicial determination that the child welfare agency has made efforts (1) to maintain the family unit and prevent the unnecessary removal of a child from the home, as long as the child’s safety is ensured, and (2) to make and finalize a permanency plan in a timely manner (sections 471(a)(15) and 472(a)(2)(A) of the Act).

⁵ The CB issued Informational Memorandum ACYF-CB-IM-17-02 that provides details on representation concepts, benefits, and resources that are helpful for developing or strengthening legal representation programs.

in child welfare, children and families are provided oversight to support safety, permanency, and well-being.

- *Highlighting Family and Youth Voice.* In August 2019, CB issued [ACYF-CB-IM-19-03](#), an Information Memorandum (IM) on “Engaging, empowering, and utilizing family and youth voice in all aspects of child welfare to drive case planning and system improvement.” The IM outlines how essential parent, family and youth voice is to a well-functioning child welfare system.

We urge states to reflect on lessons learned and ideas generated through these CB-supported convenings and initiatives. In developing the 2021 APSR, we encourage states to advance these key areas of prevention and permanency by reviewing their CFSPs and, where appropriate, incorporating additional objectives, strategies or action steps that will help the state to achieve improved outcomes for children and families.

Section B. Overview of the Child and Family Services Plan (CFSP)/ Annual Progress and Services Report (APSR) and the Child and Family Services Review (CFSR)

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). 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 Chafee 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)). By integrating into one five-year strategic plan all of the separate plan requirements for the title IV-B programs, and the Chafee/ ETV programs, the CFSP provides states the opportunity to view their child welfare systems and federal funding sources holistically. In this way, states can effectively and collaboratively develop strategies to strengthen their overall child welfare system.

Since the CFSP process began in 1994, there have been five complete five-year cycles (FYs 1995-1999, FYs 2000-2004, FYs 2005-2009, FYs 2010-2014, and FYs 2015-2019). The most recent CFSP submission, covering FYs 2020-2024, was due June 30, 2019.

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.

- 2021 APSR. By June 30, 2020, states must submit the first APSR, referred to as the “2021 APSR.” The 2021 APSR covers the activities completed during the period of time since the submission of the 2020-2024 CFSP and addresses planned activities for FY 2021.

Child and Family Services Review (CFSR)

The CFSR process is specifically designed to meet the statutory requirement to provide federal oversight of states’ compliance with title IV-B and IV-E plan requirements and to strengthen child welfare programs for improved child and family outcomes. CFSRs help states improve safety, permanency, and well-being outcomes for children and families who receive services through the child welfare system. The CFSR process is an important tool that enables the Children’s Bureau to (1) ensure conformity with federal child welfare requirements; (2) determine what is actually happening to children and families receiving child welfare services; and (3) assist states in enhancing their capacity to help children and families achieve positive outcomes related to safety, permanency, and well-being.

The CFSRs assess state performance on seven outcomes and seven systemic factors. The CFSR incorporates two key phases: the statewide assessment and an onsite review of child and family service outcomes and program systems. The CFSR is followed by the Program Improvement Plan (PIP) phase, in which states not in substantial conformity with federal standards respond to findings of the CFSR.

The first round of CFSRs occurred during FYs 2001–2004 and each state entered into a PIP phase. The second round of CFSRs occurred during FYs 2007–2010 and states again developed and, upon Children’s Bureau approval, implemented PIPs. The third round of CFSRs began in FY 2015 and concluded in FY 2018 (Round 3) and all states have either developed or completed a PIP in response to the findings of their CFSR.

Continued Integration of CFSP Process and Round 3 of the CFSR

In the 2020-2024 CFSP Program Instruction ([ACYF-CB-PI-19-02](#)), CB emphasized the importance of integrating the planning for and development of the five-year CFSP with the CFSR process. Maintaining that focus on integration in preparing the 2021 APSR allows states to assess the strengths of their child welfare systems and the areas needing improvement on an ongoing basis. An integrated approach to planning for the use of federal funds and developing strategies will result in sustained program improvement that extends beyond the period of implementing a CFSR PIP.

Section C. Requirements for the 2021 APSR (due June 30, 2020)

In the 2020-2024 CFSP, states were asked to articulate and integrate a shared vision across the broader child welfare system to strengthen families, prevent child maltreatment and unnecessary family separation, and to outline concrete steps to implement that vision over the next five years. The first APSR submission is an opportunity to report on the state's accomplishments related to implementing this coordinated vision. While there are requirements that must be addressed in the 2021 APSR, the document should not be viewed only as a submission to meet compliance. Rather, development of the APSR should serve as a vehicle to convene and update partners, promote program planning and improvement efforts, and determine the services and supports that will further the state's vision and lead to improvements in the outcomes of safety, permanency, and well-being.

The process of coordination and collaboration implemented during the 2020-2024 CFSP development should be continued and strengthened in the development of the 2021 APSR. As required by federal regulations at 45 CFR 1357.16, when conducting the annual review in preparation for submission of the APSR, the state must engage the agencies, organizations, and individuals who are part of the ongoing CFSP-related consultation and coordination process, 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, service providers, and faith-based and community organizations.

In preparing the 2021 APSR, each state must conduct an interim review of the progress made since submitting the 2020-2024 CFSP towards accomplishing the goals and objectives in the CFSP based on updated information and current data. In accordance with 45 CFR 1355.52(b) and (c), states with a Comprehensive Child Welfare Information System (CCWIS) are expected to utilize the data in these case management systems in assessing progress in the APSR, citing the source.

When addressing services and programs under this APSR, states must also integrate the findings of federal reviews, including the CFSR Final Reports and PIP, the title IV-E Foster Care Eligibility Review, an Adoption and Foster Care Analysis and Reporting System (AFCARS) Assessment Review, a National Youth In Transition (NYTD) Review and other relevant CB reviews, as well as planned activities identified in any PIPs.

The following programs are coordinated by the submission of the 2021 APSR:

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

- Title IV-B, subpart 2 Kinship Navigator Funds
- Monthly Caseworker Visit Funds;
- Adoption and Legal Guardianship Incentive Payment Funds;
- Adoption Savings;
- Chafee 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 (see Section D).

The 2021 APSR must contain all of the information described below.

1. Collaboration

Collaboration

The 2020-2024 CFSP asked states to create a shared vision across the broader child welfare system to support prevention and better outcomes for children and families. A meaningful shared vision creates the conditions for community partners to see their organization and services as part of the vision and to align resources and supports to support the outcomes desired.

Meaningful collaboration means that the state agency engages families, children, youth and other partners to identify and work toward shared goals and activities, assess outcomes, and develop strategic plans to increase the safety, permanency, and well-being of children in the child welfare system (45 CFR 1357.15(l)). States are encouraged to use a variety of approaches and activities to continue the collaboration and consultation, including holding focus groups, conducting surveys, holding joint planning forums, or developing other strategies for linking the CFSP/APSR with the CFSR review process.

In the 2021 APSR:

- Provide an update on how the state agency has engaged in substantial, ongoing and meaningful consultation and collaboration with families, children, youth; tribes, and other partners in the implementation of the 2020-2024 CFSP (45 CFR 1357.16(a)).

Examples of partners and other stakeholders include: frontline workers, the Community-Based Child Abuse Prevention (CBCAP) lead agency and other prevention partners, such as Children's Trust Funds; the Children's Justice Act grantee, service providers, faith-based and community organizations; and representatives of state and local agencies administering other federal or federally assisted programs serving children and families, such as Head Start, child care, Temporary Assistance for Needy Families (TANF) and state and local education agencies.

- Provide an update on how the state agency has demonstrated substantial, meaningful and ongoing collaboration with state courts and members of the legal and judicial community, including the Court Improvement Program, in the development and implementation of the CFSP/APSR and, if applicable, any active state CFSR PIP or title IV-E PIP (section 422(b)(13) of the Act).
- As outlined in [ACYF-CB-IM-19-03](#), parent, family, and youth voice is critical to understanding how well the child welfare system is achieving its goals. In support of this goal, in the 2021 APSR, specify how families, children, youth; tribes, courts and other partners were involved in:
 - the assessment of agency strengths and areas needing improvement including those identified from the Statewide Data Indicators and Contextual Data⁶ in the “Update to the Assessment of Current Performance in Improving Outcomes,” Section C2;
 - the review and modification of the Goals, Objectives, and Interventions in the “Update to the Plan for Enacting the State’s Vision,” Section C3, based on available data and information; and
 - the monitoring of CFSP progress including the “Update on Progress Made to Enact the State’s Vision,” Section C3.

2. Update to the Assessment of Current Performance in Improving Outcomes

Collecting, sharing and effectively using quality data is essential to guiding the development of strategies to address the needs of children and families currently involved with the child welfare system, as well as strategies to prevent child maltreatment, unnecessary family separation, and to ensure permanency consistent with the agency’s vision for child welfare services.

In developing the 2020-2024 CFSP, each state was to review its performance on CFSR child and family outcomes and agency systemic factors and conduct an assessment to support the selection and development of goals and objectives, measures, and outcomes for the next five years.

In the 2021 APSR the state must review and update the data and information provided in their 2020-2024 CFSP. States are encouraged to supplement use of the Statewide Data Indicators and additional Contextual Data, with use of additional current administrative data (CCWIS and other sources), as appropriate. Those administrative data resources should be combined with case record review data and other relevant data for this assessment to provide relevant and reliable data on performance on each of the seven CFSR child and family outcomes and each of the seven CFSR systemic factors. (See 45 CFR 1355.34(b) for the seven CFSR outcomes and 1355.34(c) for the seven CFSR systemic factors.)

⁶ See Child and Family Services Reviews, [Technical Bulletin #10](#), issued August 13, 2019 for more information.

The state must identify strengths and concerns related to the state's performance on each outcome and each systemic factor. States are encouraged to include an analysis of data regarding significant areas of concern, with particular focus on those areas that may impact current goals, objectives, interventions and target populations. For each outcome and systemic factor, states must provide a brief update on any current or planned activities targeted at improving performance or addressing areas of concern identified.

Children's Bureau Regional Office staff will consult with states to determine how to align and report on an update to the outcomes and systemic factors, taking into account considerations related to timing of the CFSR and CFSR PIP reporting.

3. Update to the Plan for Enacting the State's Vision and Progress Made to Improve Outcomes

In the 2020-2024 CFSP, states were asked to identify their "Plan for Enacting the State's Vision" over the next five years. This section is to provide the update to that plan and the progress toward achieving those outcomes. States are encouraged to utilize the resources and information promoted by CB to continue to support a child welfare system designed to prevent the maltreatment of children, the unnecessary removal of children, and the promotion of permanency outcomes (see Section A).

Update to the Plan for Enacting the State's Vision

Revisions to Goals, Objectives, and Interventions

The state must review, update and revise, as necessary, the goals, objectives, and interventions identified in the 2020-2024 CFSP to ensure that they are consistent with their CFSR PIP or to sustain improvements for successfully completed PIPs. States must also incorporate any additional areas needing improvement that were identified in a title IV-E, AFCARS, NYTD, or other program improvement plan or in the "Update on Assessment of Current Performance," Section C2 identified above (45 CFR 1357.16(a)(2)). States should include information on how the state CQI/QA system was utilized to identify and inform revisions needed to the goals, objectives, and interventions.

If the state's 2020-2024 CFSP did not have a goal, objective, or intervention that addresses key areas needing improvement as identified through the "Update on Assessment of Current Performance" and in joint planning with CB, the associated goal, objective, intervention and measures of progress must be revised or added to the 2021 APSR.

States are encouraged to add goals and objectives developed in response to CB convenings, such as the State Team Planning Meetings, the Adoption Call to Action, and other targeted technical assistance to states.

Implementation & Program Supports

- To promote successful implementation of its current or revised goals and objectives, all states are encouraged to: 1) align implementation support across the CFSR PIP and CFSP; 2) identify the additional supports needed to achieve and sustain each goal and objective; and 3) plan a timeline for ensuring the supports are or will be put in place. Examples of implementation supports include: staffing, training and coaching, financing, data systems, policies, physical space, equipment, and memoranda of understanding with tribes, other agencies and organizations. In the 2021 APSR, states are encouraged to provide an update to implementation supports as needed.
- 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/CFSR goals and objectives since the submission of the 2020-2024 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 2021 in support of the CFSP/CFSR goals and objectives. Describe how capacity building services from partnering organizations or consultants will assist in achieving the identified goals and objectives. (See 45 CFR 1357.16(a)(5).) States that have engaged with the Capacity Building Center for States, the Capacity Building Center for Courts, and/or the Capacity Building Center for Tribes are encouraged to reference needs and planned activities that were documented during assessment and work planning.
- Provide information on activities carried out since submission of the CFSP or planned for the upcoming fiscal year in the areas of research, evaluation, or management information systems in support of the goals and objectives in the CFSP. This may include activities carried out under discretionary grants awarded by the Children’s Bureau. (See 45 CFR 1357.16(a)(5).)

Update on Progress Made to Improve Outcomes

The state must report on the amount of progress made since the 2020-2024 CFSP submission 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 2020-2024 CFSP and the 2021 APSR. States should include information on how the states’ CQI/QA system was utilized in determining and measuring progress (see Section C4).

Measures of progress may be stated in terms of improved performance on the CFSR Round 3 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 Current

Performance,” Section C2 of the 2021 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 statewide in this first year. States are encouraged to assess and report in the 2021 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 2020-2024 CFSP and add to or revise the progress measures in the 2021 APSRs and align them to be consistent with the CFSP Round 3 statewide data indicators, systemic factors or outcomes, where applicable, and report progress in the 2021 APSR based on updated measures to the extent possible.

Progress Benchmarks: For each objective/intervention identified in the 2020-2024 CFSP and 2021 APSR 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 in the 2021 APSR the reasons for the lack of progress, 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 families, children, youth and other partners (including tribes; the legal and judicial community; the prevention community) 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. (For instance, provide information on who the state engaged in providing feedback related to a particular objective or intervention, how those partners were engaged and the nature of the feedback provided.)

4. Quality Assurance System

Continuous Quality Improvements (CQI)/ Quality Assurance (QA) systems are foundational to understanding the current functioning and progress made towards achieving outcomes and improvements in the child welfare system. A well-functioning CQI/QA system creates a foundation for structures and processes designed to analyze data and deliver real-time information to child welfare professionals and leadership, stakeholders, community partners, and the larger community about how the child welfare system is meeting the needs of parents, families, and youth. Additionally, a CQI/QA system provides a consistent way to measure progress and change over time to support the implementation of short- and long-term goals. It also provides a mechanism for the child welfare system to provide feedback to those individuals and organizations engaged in system change and improvement efforts, including parents, families, children, and youth.

Federal regulations at 45 CFR 1357.15(u) require states to describe in their CFSP the Quality Assurance (QA) system they use to regularly assess the quality of services under the CFSP and assure that there are steps taken to address identified problems. Assessment of the CQI/QA system is also a systemic factor for the CFSR with five required elements including an assessment of how well the system: (1) is operating in the jurisdictions where the services included in the Child and Family Services Plan are provided, (2) has standards to evaluate the quality of services (including standards to ensure that children in foster care are provided quality services that protect their health and safety), (3) identifies strengths and needs of the service delivery system, (4) provides relevant reports, and (5) evaluates implemented program improvement measures (45 CFR 1355.34(c)(3)).

To assist states in focusing their CQI/QA system efforts, CB issued Information Memorandum [ACYF-CB-IM-12-07](#) on establishing and maintaining Continuous Quality Improvement (CQI) systems. The following principles were outlined in the IM:

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

As states implement their goals outlined in the 2020-2024 CFSP and implement and complete their CFSR PIPs, the use of CQI/ QA continues to be critical to support the investment in the state's own capacity to generate robust evidence that will support their efforts to monitor performance and assess strengths and opportunities across the core outcomes of safety, permanency, and well-being during and after the conclusion of their CFSR PIP.

Building on information provided in the 2020-2024 CFSP, address the following in the 2021 APSR:

- Assess the progress in making planned enhancements in capacity to the state's current CQI/QA system. Include information on training or other supports to enhance the capacity of CQI/QA staff to develop analytic questions, generate appropriate measures, understand how to evaluate outcomes during the phases of implementation, and account for variation in populations that impact the ability to observe improvements over time.
- If not already addressed in the "Update to the Plan for Enacting the State's Vision and Progress Made to Improve Outcomes" in Section C3, describe how the CQI/QA system was used to revise goals, objectives, and interventions.
- If not already addressed in "Progress Made to Improve Outcomes" in Section C3, describe how the CQI/QA system was used to measure progress on achieving goals, objectives, and interventions.
- If not already described in "Collaboration" in Section C1, describe how feedback loops are being utilized as part of the CQI/QA process to provide useful information that

parents, families, youth, and other partners and stakeholders will find useful to assist the state in system improvement efforts.

- Describe the state’s current case review instrument and whether the state is using the federal Onsite Review Instrument (OSRI) as part of the state's ongoing QA/CQI process.
- Provide an update to move towards or sustain the ability to conduct a State Case Review Process for CFSR Purposes. (See CB resource “[Criteria for Using State Case Review Process for CFSR Purposes.](#)”)

5. Update on the Service Descriptions

In the 2020-2024 CFSP the state articulated its shared vision; defined goals, objectives, and measures of progress; and determined the services needed by children and families to achieve their vision. In the following section, states will provide an update on the services provided to support the vision and goals since the submission of the 2020-2024 CFSP and how the services will continue to assist in achieving program goals.

Stephanie Tubbs Jones Child Welfare Services Program (title IV-B, subpart 1)

- Briefly describe the services provided since the submission of the 2020-2024 CFSP, highlighting any changes or additions in services or program design for FY 2021 and how the services assisted or will assist in achieving program goals (45 CFR 1357.16(a)(4)).

For each service report: the estimated number of individuals and families to be served (the number of individuals and families to be served by service/activity with the total estimated funding indicated); the population(s) to be served (the population that has been targeted for the designated services); and the geographic areas where the services will be available. This information may be provided in the CFS-101 form (Attachment B).

- *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 2020-2024 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.
- *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 2020-2024 CFSP to reduce the length of time children under the age of five are in foster care without a permanent family.
 - Describe the activities the state undertook in the past year to address the developmental needs of all vulnerable children under five years of age, including children in foster care, as well as those served in-home or in a community-based setting.

- *Efforts to Track and Prevent Child Maltreatment Deaths*
FFPSA amended requirements at section 422(b)(19) of the Act relating to information about child maltreatment deaths. Prior to the amendment, the law required states to describe the sources of information relating to child maltreatment fatalities they use to report data to the National Child and Abuse and Neglect Data System (NCANDS) and to describe the steps they are taking to track and compile complete information on child maltreatment deaths from specified sources. As amended, states must document steps taken to track and prevent child maltreatment deaths.

The following information must be submitted as part of the 2021 APSR:

- An update on the steps the state is taking to compile complete and accurate information on child maltreatment deaths to be reported to NCANDS, including gathering relevant information on the deaths from the relevant organizations in the state including entities such as state vital statistics department, child death review teams, law enforcement agencies, or offices of medical examiners, or coroners; and
- An update on the steps the state is taking to develop and implement a comprehensive, statewide plan to prevent child maltreatment fatalities that involves and engages relevant public and private agency partners, including those in public health, law enforcement, and the courts. Provide a copy or link to any comprehensive plan that has been developed.

MaryLee Allen Promoting Safe and Stable Families (PSSF) (title IV-B, subpart 2)

- Briefly describe the services provided since the submission of the 2020-2024 CFSP highlighting any changes or additions in services or program design for FY 2021 and how the services assisted or will assist in achieving program goals. Provide an update to the services the state offers under each category in title IV-B, subpart 2: family preservation, family support, family reunification, and adoption promotion and support services.

For each service report: the estimated number of individuals and families to be served (the number of individuals and families to be served by service/activity with the total estimated funding indicated); the population(s) to be served (the population that has been targeted for the designated services); and the geographic areas where the services will be available. This information may be provided in the CFS-101 form (Attachment B).

In addressing the state's planned use of PSSF funds, CB encourages states to consider how services funded under PSSF, particularly in the area of adoption promotion and support, can support achievement of goals or objectives developed at the Adoption Call to Action summits and incorporated into their 2021 APSR.

- *Service Decision-Making process for Family Support Services (45 CFR 1357.15(r))*
The Family Support Services component of the PSSF program represents an important source of funding to support community-based prevention efforts. The statute requires that these services be community-based (section 431(a)(2)(A)). As outlined in CB's priorities, the most effective services are located in communities where families live, where they are easily accessible, and culturally responsive.

In developing the 2020-2024 CFSP and planning for use of funds in collaboration with families, children, and youth; tribes, courts and other partners, CB encouraged states to consider carefully how they target and distribute funds for family support services. In the 2021 APSR, provide an update on the agencies and organizations selected for funding to provide family support services and how these agencies meet the requirement that family support services be community-based.

- Indicate the specific percentages of title IV-B, subpart 2 funds the state will expend on actual service delivery of family preservation, community-based family support, 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.
- *Populations at Greatest Risk of Maltreatment (section 432(a)(10) of the Act)*
In the 2020-2024 CFSP, states were required to identify and describe which populations are at the greatest risk of maltreatment, how the state identifies these populations and how services will be targeted to those populations. In the 2021 APSR, provide an update noting any changes or emerging trends in the populations the state has identified as at greatest risk of maltreatment and how services that will be targeted to these populations during the coming year.

This requirement represents a critical opportunity for states to convene community partners to determine how and where to be target child abuse prevention resources to ensure that services are easily accessible to children and families at risk.

- *Kinship Navigator Funding (title IV-B, subpart 2)*
To assist title IV-E agencies in preparing to participate in the new title IV-E Kinship Navigator program, the Congress, in each of FYs 2018-2020, set aside funding appropriated under title IV-B, subpart 2 to make grants to states to develop, enhance or evaluate kinship navigator programs. A separate PI will be issued providing instructions on how to apply for FY 2020 kinship navigator funding.

In the 2021 APSR, provide an update on how the state has used FY 2018 and FY 2019 funds to support or evaluate kinship navigator programs in the state.

Monthly Caseworker Visit Formula Grants and Standards for Caseworker Visits

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

Since FY 2015 states have been required to ensure the total number of monthly caseworker visits is not less than 95 percent of the total visits that would be made if each child were visited once per month. In addition, at least 50 percent of the total number of monthly visits made by caseworkers to children in foster care must occur in the child's residence (section 424(f) of the Act).

In the 2020-2024 CFSP states described the standards for the content and frequency of caseworker visits for children who are in foster care and described how the state plans to use the Monthly Caseworker Visit Grant over the next five years to improve the quality of caseworker visits.

In the 2021 APSR, describe:

- How the Monthly Caseworker Visit Grant is used to improve the quality of caseworker visits; and
- 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](#) for more information on monthly caseworker visit performance standards and data requirements.

Also refer to information in Section F4 of this PI, "Statistical and Supporting Information," for instructions on submitting FY 2020 caseworker visit data.

Additional Services Information

- *Adoption and Legal Guardianship Incentive Payments (section 473A of the Act)*
The Adoption and Legal Guardianship Incentive Payments program recognizes improved performance in helping children and youth in foster care find permanent homes through adoption and legal guardianship. On July 8, 2015, CB issued [ACYF-CB-PI-15-08](#) to inform title IV-E agencies of the steps they must take to qualify for payments under the Adoption and Legal Guardianship Incentive Payments program and the procedures that ACF will use in calculating payments for eligible title IV-E agencies. States receiving adoption and legal guardianship incentive awards must spend the funds for services (including post-adoption services) and activities allowable under titles IV-B and title IV-E of the Act.

As a part of its CFSP and subsequent APSRs, states must describe planned and actual services provided to children and families through use of the adoption and guardianship incentive awards and any challenges encountered in spending the funds. CB also encourages states to consider how use of these funds can support achievement of goals developed at the Adoption Call to Action summits to reduce the number of children and youth awaiting a family and/or adoption.

In the 2021 APSR, describe:

- How Adoption and Legal Guardianship Incentive Payment funds received by the state have been used in the past year and the services the state expects to provide to children and families using the Adoption and Legal Guardianship Incentive funds in FY 2021.
 - Any changes, issues, or challenges the state has encountered to the plan outlined in the 2020-2024 CFSP for timely expenditure of the funds within the 36 month expenditure period.
- *Adoption Savings (section 473(a)(8) of the Act)*
Adoption savings are financial savings that title IV-E agencies achieve with respect to their own funds due to the expansion of eligibility under the federal title IV-E Adoption Assistance program. Because these funds represent a potentially significant source of resources to be spent on child welfare activities, CB asked states to incorporate information about Adoption Savings into the 2020-2024 CFSP. (Please see [ACYF-CB-PI-19-02](#) for more information on the history and expectations for adoption savings.)

Adoption Savings Expenditures: Based on information reported for FYs 2015-2018, title IV-E agencies reported calculating over \$549 million in Adoption Savings, of which about \$346 million had been spent, leaving approximately \$203 million available for expenditure. Some states reported spending little or no of their accumulated Adoption Savings. While the law does not specify a time period within which savings must be spent, the Children's Bureau encourages title IV-E agencies to consider how use of these funds can support achievement of CFSP/APSR goals, including efforts to promote community-based prevention and to ensure timely permanency for children and youth in foster care. To encourage coordinated planning for use of funds, the CB requires states to address their planned and actual use of Adoption Savings in the 2020-2024 CFSP and subsequent APSRs.

In the 2021 APSR:

- Provide an update to the services the state provided to children and families using the Adoption Savings since the submission of the 2020-2024 CFSP.
- If needed, provide an update to the services the state expects to provide to children and families using the Adoption Savings over the next year.
- Provide an estimated timetable for spending unused savings calculated for previous years.
- Discuss any challenges in accessing and spending the funds.

- Beginning with the selection of a methodology for FY 2018, CB determined that title IV-E agencies will need to submit an updated annual Adoption Savings calculation method notification only if they had not submitted such a notification previously or are making changes to the methodologies or procedures identified in their most recent submission. If the state wishes to make changes in its Adoption Savings methodology, complete and submit the Adoption Savings Methodology form at [ACYF-CB-PI-19-02 Attachment E](#) and return it with the 2021 APSR.

John H. Chafee Foster Care Program for Successful Transition to Adulthood (the Chafee Program) (section 477 of the Act)

The Chafee Foster Care Program for Successful Transition to Adulthood, including the Education and Training Voucher (ETV) Program, provides flexible funding to promote and support youth who have experienced foster care at age 14 or older in their transition to adulthood.

In the 2021 APSR:

- Briefly describe the services provided since the submission of the 2020-2024 CFSP, highlighting any changes or additions in services or program design for FY 2021 and how the services assisted or will assist in achieving program goals (45 CFR 1357.16(a)(4)). Indicate how these activities have been integrated into the state’s continuum of services and aligns with the state’s vision. Describe how Chafee-funded services support the goals identified in the state’s CFSR PIP (see Section C3).
- Provide an update on the state’s plan to strengthen the collection of high-quality data through NYTD and integrate these efforts into the state’s quality assurance system. To the extent not addressed in “Collaboration” in Section C1 or “Quality Assurance” in Section C4, provide an update to the state’s process for sharing the results of NYTD data collection with families and youth; tribes, courts and other partners; Independent Living coordinators; service providers and the public. Describe how the state, in consultation with youth and other stakeholders, is using the state’s quality assurance system, NYTD data and any other available data to improve service delivery and refine program goals.
- Provide an update on coordinating services with “other federal and state programs for youth (especially transitional living programs funded under Part B of Title III of the Juvenile Justice and Delinquency Prevention Act of 1974), abstinence education programs, local housing programs, programs for disabled youth (especially sheltered workshops), and school-to-work programs offered by high schools or local workforce agencies” in accordance with section 477(b)(3)(F) of the Act.
 - In July 2019, the U.S. Department of Housing & Urban Development announced the “[Foster Youth to Independence](#)” (FYI) Voucher Program. The FYI program provides eligible young adults with a housing voucher to assist in the prevention of homelessness among young adults with foster care histories. In order to receive a voucher the child welfare agency must ensure the provision of

supportive services for the duration of the voucher.⁷ While FYI operates in most states at the community level, it is important that state child welfare agencies support and facilitate conversations to assist in implementation of this initiative. As part of the update on the coordination of Chafee services with other federal and state programs, provide information on the state's efforts to support and facilitate the coordination of child welfare agencies and Public Housing Authorities to utilize FYI vouchers.

- Provide an update on how the state involves the public and private sectors in helping youth in foster care achieve independence (section 477(b)(2)(D) of the Act).

Education and Training Vouchers (ETV) Program (section 477(i) of the Act)

In the 2021 APSR, states must:

- Provide an update on the methods the state uses to: (1) ensure that the total amount of educational assistance to a youth under this and any other federal assistance program does not exceed the total cost of attendance (as defined in section 472 of the Higher Education Act of 1965); and (2) to avoid duplication of benefits under this and any other federal or federally assisted benefit program. (See sections 477(b)(3)(J) and (i)(5) of the Act, and Attachment D of this PI.)
- Briefly describe the services provided since the submission of the 2020-2024 CFSP, highlighting any changes or additions in services or program design for FY 2021 and how the services assisted or will assist in establishing, expanding, or strengthening program goals (45 CFR 1357.16(a)(4)).
- 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 an unduplicated number of ETVs awarded each school year (July 1st to June 30th). (Please see Section F2 and Attachment D).

Chafee Training

In the 2020-2024 CFSP, states provided information on specific training planned for FYs 2020-2024 in support of the goals and objectives of the Chafee plan. If needed, provide an update on the specific training needed in support of the goals and objectives of the states' Chafee plan and to help foster parents, relative guardians, adoptive parents, workers in group homes, and case managers understand their opportunity to promote and assist youth in the transition to adulthood, consistent with section 477(b)(3)(D) of the Act. Please note that such training should be incorporated into the title IV-E/IV-B training plan, but identified as pertaining to Chafee, with costs allocated appropriately. State are encouraged to incorporate principles of Positive Youth Development (PYD) in its Chafee training in support of the program.

⁷ Supportive services are voluntary for the youth and may be provided by other agencies on behalf of the child welfare agency. Voucher assistance is provided for 36 months. We note that funding under the Chafee program may not be available to support the services to be provided due to Chafee program eligibility and age of the youth; however, we note that child welfare agencies have developed partnerships with housing providers, foundations, and other community resources to secure the services needed to ensure youth are successful in obtaining and maintaining the voucher for the 36 months.

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

States are required to consult with Indian tribes as it relates to determining eligibility for Chafee/ETV benefits and services and ensuring fair and equitable treatment for Indian youth in care. The required information is outlined in the following Section C6, “Consultation and Coordination Between States and Tribes.” States may address these requirement separately in the update to Chafee/ ETV services or as part of their overall update for Section C6, but are requested to indicate clearly where the information is provided.

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 2020-2024 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 outcomes 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 Chafee program. States without federally-recognized tribes within their borders should still consult with tribal representatives and document such consultations.

In the 2021 APSR, states must update the following:

- Describe the process used to gather input from tribes since the submission of the 2020-2024 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 a description of the state’s plan for ongoing coordination and collaboration with tribes in the implementation and assessment of the CFSP/APSR. Describe any barriers to this coordination and the state’s plans to address these barriers.
- Provide an update, since the submission of the 2020-2024 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 subject to additional requirements outlined in section 475(5)(C) and 475A(a) of the Act. (See 45 CFR 1357.15(q).)

- Provide a description, developed after consultation with tribes, of the specific measures taken by the state to comply with ICWA. (See section 422(b)(9) of the Act.)
- Describe the results of the state’s consultation with Indian tribes as it relates to determining eligibility for Chafee/ETV benefits and services and ensuring fair and equitable treatment for Indian youth in care. Specifically:
 - Describe how each Indian tribe in the state has been consulted about the programs to be carried out under the Chafee program.
 - 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 Chafee benefits and services currently available and provided for Indian children and youth.
 - Report on whether any tribe requested to develop an agreement to administer, supervise, or oversee the Chafee or an ETV program with respect to eligible Indian children and to receive an appropriate portion of the state’s allotment for such administration or supervision. Describe the outcome of that negotiation and provide an explanation if the state and tribe were unable to come to an agreement.

States may provide this information either in this section or in the Chafee Section of the 2020-2024 CFSP, but are requested to indicate clearly where the information is provided.

- State agencies and tribes must also exchange copies of their APSRs (45 CFR 1357.15(v)). Describe how the state will meet this requirement for the 2021 APSRs.

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

portion of the state's Chafee and/or ETV allotments to provide services to tribal youth in foster care or formerly in foster care.

The opportunity to operate a title IV-E, Chafee, 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, Chafee, and/or ETV programs. States remain responsible for serving eligible 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, Chafee, and/or ETV plan (section 301(d)(2) of P.L. 110-351).

Section D. CAPTA State Plan Requirements and Updates

States submitted a plan for the CAPTA State Grant on June 30, 2011.⁸ 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. In addition, states must address new requirements enacted into law.

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 APSRs. The 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 develop and implement their 2020-2024 CFSP and subsequent APSR goals.

In planning for use of CAPTA funds, it is also important to note that the Congress has focused particular attention on provisions of CAPTA amended by the Comprehensive Addiction and Recovery Act of 2016 (CARA) which address states' response to infants born and identified as being affected by substance abuse or withdrawal symptoms resulting from prenatal drug exposure, or a Fetal Alcohol Spectrum Disorder. In FYs 2018 and 2019, the Congress appropriated approximately \$85 million for the CAPTA State Grant program, about \$60 million more per year than had previously been provided. The Congress directed that the increased funds should be prioritized to help states improve their response to infants affected by substance use disorders and their families. To support states in their efforts, the CB has also conducted site visits in a number of states to further explore states' implementation of these provisions and to provide technical assistance to states.

In FY 2020, Congress provided approximately \$90 million for the program and directed that \$60 million in continued funding be used to help states develop and implement plans of safe care for substance-exposed infants and their families. Therefore, in carrying out activities under the CAPTA State Grant, states should continue to prioritize use of funds to strengthen procedures for the development, implementation and monitoring of plans of safe care for substance-exposed infants, consistent with the requirement found at section 106(b)(2)(B)(iii) of

⁸ In some cases, a state may have submitted a new CAPTA State Plan at a later date.

CAPTA. As a reminder, the CAPTA State Grant has a five-year expenditure period; i.e., the FY 2020 grant award must be obligated by no later than September 30, 2024.

In the state's 2021 Annual CAPTA Report Update:

- 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, 2019 (section 108(e) of CAPTA).
- Submit a copy of annual citizen review panel report(s). Include a copy of the state agency's most recent written responses to the panel(s) that describes whether or how the state will incorporate the recommendations of the panel(s) (as appropriate) to improve the child protection system. (See section 106(c)(6) of CAPTA.)
- Provide an update on the state's continued efforts to support and address the needs of infants born and identified as being affected by substance abuse or withdrawal symptoms resulting from prenatal drug exposure, or a Fetal Alcohol Spectrum Disorder (see section 106(b)(2)(B)(ii) - (iii) of CAPTA), including information on:
 - The plans for using CAPTA State Grant funding to support the development, implementation and monitoring of plans of safe care for substance-exposed infants.
 - Any changes made to policy or practice and/or lessons learned from implementation of plans of safe care.
 - Any multi-disciplinary outreach, consultation or coordination the state has taken to support implementation (e.g., among the state CPS agency; the state Substance Abuse Treatment Authority, hospitals, health care professionals, home visiting programs and Public Health or Maternal and Child Health Programs; non-profits, philanthropic organizations; and private providers).
 - The current monitoring processes of plans of safe care to determine whether and in what manner local entities are providing referrals to and delivery of appropriate services for substance-exposed infants and affected family

members and caregivers. Describe the process for the ongoing monitoring of the plans of safe care.

- Any challenges identified in implementing the provisions and any technical assistance the state has determined is needed to support effective implementation of these provisions.
 - If the state has participated in a CB site visit relating to development of plans of safe care for infants born and identified as being affected by substance abuse or withdrawal symptoms resulting from prenatal drug exposure, or a Fetal Alcohol Spectrum Disorder, please describe any follow up actions the state has taken to address issues identified or discussed through the site visit.
- The Victims of Child Abuse Act Reauthorization Act of 2018 (P.L. 115-424) amended the provisions of section 106(b)(2)(B)(vii) of CAPTA. By June 30, 2019, states were required to submit the signed Governor's Assurance Statement of compliance, or if unable to provide the assurance, a Program Improvement Plan (PIP). The PIP addressed the specific steps the state will take to come into compliance with the provision by no later than June 30, 2020. For those states whose PIP concludes on June 30, 2020, submit a copy the signed Governor's Assurance Statement of compliance.

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.

States must include all required information indicated above in their 2021 CAPTA Annual Report to be submitted as part of the 2021 APSR. 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.

Section E. Updates to Targeted Plans within the 2020-2024 CFSP

States were required to submit the following four plans as discrete sections of their 2020-2024 CFSP:

- Foster and Adoptive Parent Diligent Recruitment Plan
- Health Care Oversight and Coordination Plan
- Disaster Plan
- Training Plan

In the 2021 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 an updated 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 2020-2024 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.

The Foster and Adoptive Parent Diligent Recruitment Plan is critical in supporting the implementation of the state's response to CB's Adoption Call to Action. While the number of children and youth in foster care has begun to decrease, the number waiting for adoption continues to be too high at over 125,000.⁹ Using data to create a thoughtful plan to understand the barriers and actions required to placing children and youth in permanent families continues to be critical.

In the 2021 APSR:

- Describe the progress and accomplishments in implementing the state's Foster and Adoptive Parent Diligent Recruitment Plan with particular attention to align the work with the state's Adoption Call to Action work.
- Indicate in the 2021 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 Diligent Recruitment Plan, if any.

⁹ Adoption and Foster Care Analysis and Reporting System (AFCARS) data as of September 30, 2018.

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 2021 APSR:

- Describe the progress and accomplishments in implementing the state’s 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 2021 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 2020-2024 CFSP.

In the 2021 APSR:

- Specify whether the state was affected by a disaster, and, if so, describe how the Disaster Plan was used and assess its effectiveness.
- Indicate in the 2021 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 2020-2024 CFSP included a staff development and training plan in support of the goals and objectives in the 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 Training Plan. Any training activities to be paid for with title IV-E funds that were not included in the Training Plan must be included in an Updated Training Plan. The Training Plan can be updated by submitting a separate document that will serve as an appendix to the 2020-2024 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-19-02](#) for further guidance on information that must be included in the training plan.)

Section F. Statistical and Supporting Information

The following must be reported in the 2021 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 2021 APSR.

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:

- i. 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;
- ii. data on the education, qualifications, and training of such personnel;
- iii. demographic information of the child protective service personnel; and
- iv. 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 2019 (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. Education and Training Vouchers: Identify the number of youth (unduplicated count) who received ETV awards from July 1, 2018 through June 30, 2019 (the 2018-2019 school year) and July 1, 2019 through June 30, 2020 (the 2019-2020 school year). States may estimate a total if they do not have the total number for the 2019-2020 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 D to report information on the ETVs awarded.

3. Inter-Country Adoptions: Report the number of children who were adopted from other countries and who entered into state custody in FY 2019 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.)
4. 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 2020 is to be reported separately from the 2021 APSR and will be due for

submission to CB by **December 15, 2020**. The statute established the following performance standards for caseworker visits in FY 2015 and afterwards:

- 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.
- 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.

Additional information on the requirement was provided in [ACYF-CB-PI-12-01](#).

Section G. Financial Information

1. Payment Limitations

A. 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 any fiscal year than the state expended for those purposes in FY 2005 (section 424(c) of the Act). The 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 any fiscal year for the title IV-B, subpart 1 program 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 APSR 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 10 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 and actual expenditures for the most recently completed grant year on the CFS-101, Part III.

B. 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, family support, 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 CFSP 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, Parts I and II.

- States may spend no more than 10 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 and actual expenditures for the most recent completed grant year on the CFS-101, Part III.
- Each state may budget to send a maximum of five representatives to attend annual grantee meetings in Washington, D.C., as directed by the Children's Bureau.
- States must provide the FY 2018 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.

C. Chafee Program

States are required to certify that no more than 30 percent of their allotment of federal Chafee funds will be expended for room and board for youth who left foster care after the age of 18 years of age and have not yet attained age 21. For states that operate an extended foster care program and that choose to exercise the Chafee option to serve youth up to age 23, the limitation applies to providing room and board to youth who left foster care after attaining ages 18 and have not yet attained age 23.

2. Current Year Funding—FY 2020 Reallotments, Requests for Additional Funding and Submitting a Revised CFS-101 Budget Request

A. Reallotments:

The reallotment process serves two purposes for grantees: 1) to identify allotted funds which will not be needed or used during the grant award period; and 2) to request additional grant funding. Generally, in order to receive additional requested funds, funds must be released by other grantees. Any identified unneeded portions of allotments will be re-distributed by ACF in accordance with prescribed formulas (sections 423(e), 433(d), and 477(d)(4) of the Act).

The CFS-101 Part I is a multi-use form, and is used for reallotment requests in addition to future year funding requests. The form has been reformatted to provide a section for adjustments to current year (i.e., FY 2020) grant requests in addition to the section for future year funding requests.

- For any reallotment request, make a copy of the CFS-101, Part I as a separate worksheet and complete only Items 1-5, 12 and/or 13, and 14. Mark the submission type as “Reallotment” and save and name the file “state/tribe name FY 2020 Reallotment.”
- Reallotment requests may be submitted to the ROs as a stand-alone file outside of the CFSP/APSR submission. However, the request must be received no later than June 30, 2020 to be considered for the FY 2020 reallotment process.
- If the state intends to release FY 2020 funds for reallotment for the title IV-B, subpart 1 or 2 programs, MCV, Chafee or ETV, complete Item 12 of the CFS-101, Part I and indicate the amounts the state is releasing for the applicable programs (see form instructions for more detail). The submission type “Reallotment” must be checked on the Part I. ACF will reallot the funds in accordance with the prescribed formulas prior to the end of the fiscal year.
- If the state has received an allotment for FY 2020 and wishes to receive more funding than previously requested on the countersigned CFS-101 for FY 2020 for any of the applicable programs (subject to the availability of funds through the re-allotment), complete Item 13 of the CFS-101, Part I and indicate the amounts the state is requesting for the applicable programs (see form instructions for more detail). The submission type “Reallotment” must be checked. (See Attachment B.)

Note: FFPSA made changes to the process of reallocation of funds under the Chafee and ETV programs. Prior to FFPSA, a state or tribe had to release funds during the first year of the two-year expenditure period for ACF to reallot funds. As amended by FFPSA, Chafee and ETV funds that remain unexpended at the end of the two-year expenditure

period can also be reallocated to states and tribes (section 477(d)(5) of the Act)¹⁰. If ACF identifies funds available following the close-out of a grant year, these funds will be added to any funds released by states or tribes for the current grant year and reallocated to states or tribes requesting funds through the process described above.

B. Revisions – Submitting a Revised Part I:

- For any of the programs addressed, if the final allotment for the current year (FY 2020) exceeds the sum of the originally requested amount plus a request for reallocation, a “revised” CFS-101, Part I must be submitted to reflect the final higher amount of grant award. The revision is to be submitted on the Part I of the CFS-101 form that was issued in the FY 2020 APSR Program Instruction. Mark the submission type as “Revision” and save and name the file “state/tribe name FY 2020 Revision.”
- Revisions for other than current year are made on the set of CFS-101 forms for the applicable fiscal year.

3. FY 2021 Budget Request—CFS-101, Parts I and II

To request funding for FY 2021, all parts of the CFS-101 (Parts I, II, and III) must be completed. The Part I accommodates both the request of funds for the upcoming fiscal year (FY 2020) and, as noted above, the adjustment of current year (FY 2020) funding. However, separate copies must be submitted for each purpose.

To request FY 2021 funds, complete Part I of the CFS-101 workbook to request title IV-B, subpart 1 (CWS), title IV-B, subpart 2 (PSSF and MCV funds), CAPTA, Chafee, and ETV funds. Please use the FY 2019 allocation tables in Attachment A as the basis for FY 2021 budget requests. The CB recommends that states request the FY 2019 allotment amount plus up to 10% more in funding to eliminate the need to submit a revised CFS-101, Part I.

Complete Part II of the CFS-101 workbook to show how funds are planned to be spent in each program area by source. Also identify the estimated number of individuals and families to be served, and the geographic service area within which the services are to be provided. Demographic and geographic information is only required on the CFS- 101, Part II if the information is not provided in the APSR narrative.

4. FY 2018 Title IV-B Expenditure Report—CFS-101, Part III

Complete Part III of the CFS-101 workbook to report the original planned spending and actual amount of FY 2018¹¹ funds expended in each program area of title IV-B funding by

¹⁰ The amount to be redistributed is based on the state’s foster care ratio.

¹¹ Federal funds for these programs are awarded to states on a yearly basis, but may be spent over a two-year period. The FY 2018 grant had an expenditure period from October 1, 2017 to September 30, 2019. Therefore,

source. Identify 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 Standard Form 425 (SF-425) Federal Financial Report has come due. The FY 2018 SF-425 was due on December 30, 2019. Therefore, states must now report FY 2018 information for the title IV-B programs on the form CFS-101, Part III. At state option, complete this form to show actual FY 2018 expenditures for the Chafee and ETV programs, as well.

In addition, if the state's expenditure of FY 2018 IV-B, subpart 2 PSSF grant did not approximate 20 percent of the grant total for any of the four PSSF service categories, provide information in the narrative on: 1) whether the disproportion was requested when the state submitted its estimated expenditures for FY 2018; and 2) the rationale for the disproportion in the actual expenditure of FY 2018 grant funds.

5. Expenditure Periods and Submission of Standard Form 425 (SF-425) Federal Financial Report

All grantees must report expenditures under title IV-B, subparts 1 and 2, CAPTA, Chafee, ETV and the Adoption and Legal Guardianship Incentives Payment Program on the SF-425 Federal Financial Report. The state must submit a separate SF-425 for each program and each fiscal year. A negative grant award will recoup unobligated and/or unliquidated funds reported on the final SF-425 for the title IV-B programs, CAPTA, Chafee and ETV programs. For awards issued for FY 2016 or later, states are required to submit an electronic SF-425 for the programs listed above through the Payment Management System (PMS). Therefore, the state should not submit paper copies of the report. For more information on gaining access to and using the PMS system, please contact the PMS Help Desk at 1- 877-614-5533. The tables on the following pages list the expenditure periods and SF-425 submission requirements for each program addressed in this PI.

states must have obligated any fiscal year 2018 funds during that two-year period of time and subsequently report expenditures on the CFS-101 form, Part III.

Financial Expenditure and Reporting Requirements:

Note: All grant periods are for FY 2021 funding, unless otherwise indicated.

Program Name:	Title IV-B, subpart 1	Title IV-B, subpart 2 – Promoting Safe and Stable Families (PSSF)	Title IV-B, subpart 2 – Monthly Caseworker Visits (MCV)	Title IV-B, subpart 2 – Kinship Navigator (FY 2019 funding)
Spending Period:	End of the fiscal year following grant award year (2 years spending)	End of the fiscal year following grant award year (2 years spending)	End of the fiscal year following grant award year (2 years spending)	End of the fiscal year following grant award year (2 years spending)
Obligate Funds By: Liquidate Funds By:	September 30, 2022 December 30, 2022	September 30, 2022 December 30, 2022	September 30, 2022 December 30, 2022	September 30, 2020 December 30, 2020
SF-425 Periodicity:	Interim report at end of FY 2021 Comprehensive final report at end of FY 2022	Interim report at end of FY 2021 Comprehensive final report at end of FY 2022	Interim report at end of FY 2021 Comprehensive final report at end of FY 2022	Interim report was due by December 2019. Comprehensive final report at end of FY 2020
SF-425 Due Date:	90 days after FY end (December 30)	90 days after FY end (December 30)	90 days after FY end (December 30)	90 days after FY end (December 30)
Required Match:	25% - must be met with submission of the final financial report	25% - must be met with submission of the final financial report	25% - must be met with submission of the final financial report	No match required
Reported:	On interim and final reports	On interim and final reports	On interim and final reports	N/A
Additional Information:	A state that has been notified of the need for a higher percentage of match for a specific fiscal year, due to state failure to meet MCV performance standards must report that higher match on the final financial form (section 424(f)(1)(B) and 424(f)(2)(B) of the Act).	The state may expend discretionary and mandatory funds under PSSF for the same purposes. The state does not have to report expenditures for each fund type separately. Grantees should report cumulative amounts. ACF will recoup any amounts reported as unobligated from the discretionary funds on the final financial report.	The SF-425 for MCV is a separate report from the SF-425 for PSSF.	The SF-425 report for Kinship Navigator is a separate report from the SF-425 reports for PSSF and MCV.

Program Name:	Chafee	Education and Training Vouchers (ETV)	Adoption and Legal Guardianship Incentive (FY 2019 funding)	CAPTA
Spending Period:	End of the fiscal year following grant award year (2 years spending)	End of the fiscal year following grant award year (2 years spending)	Payments to a State under this section in a fiscal year shall remain available for use by the State for the 36-month period beginning with the month in which the payments are made.	End of the fourth fiscal year following grant award year (5 years spending)
Obligate Funds By: Liquidate Funds By:	September 30, 2022 December 30, 2022	September 30, 2022 December 30, 2022	September 30, 2022 December 30, 2022	September 30, 2024 December 30, 2024
SF-425 Periodicity:	Interim report at end of FY 2021 Comprehensive final report at end of FY 2022	Interim report at end of FY 2021 Comprehensive final report at end of FY 2022	Annually, at the end of the each FY.	Interim reports at the end of each FY Comprehensive final report at end of FY 2024
SF-425 Due Date:	90 days after FY end (December 30)	90 days after FY end (December 30)	90 days after FY end (December 30)	90 days after FY end (December 30)
Required Match:	20% - must be met with submission of final financial report	20% - must be met with submission of final financial report	No match required	No match required
Reported:	On interim and final reports	On interim and final reports	N/A	N/A
Additional Information:	At the end of the two-year grant cycle, any unexpended funds will be redistributed to states requesting reallotments, per FFPSA.	At the end of the two-year grant cycle, any unexpended funds will be redistributed to states requesting reallotments, per FFPSA.	Funds may not be used to supplant federal or non-federal funds for services under title IV-B or IV-E.	

Section H. Instructions for the Submission of the 2021 APSR for States, the District of Columbia, Puerto Rico, and the Virgin Islands of the United States

ACF requests that grantees submit plans and applications electronically to the ROs in the format of a Word document or as a PDF created in Word and saved as a PDF (no scanned documents). Please do not embed scanned PDF files or documents in the submissions. Clearly indicate the name of the state/ territory and content of each document submitted.

By June 30, 2020:

- Submit the 2021 APSR (which includes the CAPTA State grant annual update).
- 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, each 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.
- Please also include a link to the location of where the 2021 APSR is or will be located on the state's websites.¹² Please provide a name, email, and telephone number of the state contact for the documents.¹³
- Submit the CFS-101 forms as follows:
 - Use the CFS-101s provided as an attachment (Attachment B) to this PI. The correct forms are labeled '2021 APSR' in the lower right corner of the form.

Submit the completed Excel workbook:

- CFS-101, Part I for FY 2021;
- CFS-101, Part II with planned expenditures for the use of FY 2021 funds; and,
- CFS-101, Part III with estimated and actual expenditures of FY 2018 grants for the title IV-B, and, at state option, the Chafee and ETV programs.

Submit the workbook in PDF format:

- CFS 101, Part I for FY 2021 **signed, titled, and dated** by the appropriate official;
- CFS-101, Part II with planned expenditures for the use of FY 2021 funds; and,
- CFS-101, Part III **signed, titled, and dated** by the appropriate official.

¹² 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. To ensure the confidentiality of children and families, please ensure that publicly posted reports do not include the names of individual children, youth or families served by the agency.

¹³ In prior years, the CB has provided an electronic copy of state plan and other items associated with the CFSP on the CB website. Going forward CB will provide a link to where the items are located on the state's website or the contact information for the state contact for the documents on CB's website.

Save both the Excel and PDF files named: “State/territory/insular area name FY 2021 CFS-101s” so that the name of the state/territory/insular area submitting the file is clearly identified.

NOTE: If a state wishes to modify its previously approved funding request for the FY 2020 grants, either by releasing funds for reallocation or by requesting additional funds, then a request for reallocation must be submitted on a separate FY 2021 CFS-101 Part I, saved and submitted as a separate PDF file. Refer to Section G of this PI for instruction. The RO will review the application and contact the state with any questions or to request revisions, if needed. Once the RO has completed its review, it will forward a copy of the approved plans and CFS-101(s) to CB’s Central Office for final approval. This file can be submitted to the RO separate from and earlier than the APSR.

It is important that the 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.

Section I. Submittal Rule for Insular Areas

The Virgin Islands of the United States, 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, 2020.

An insular area that chooses to submit a CFSP/APSR in lieu of receiving a consolidated grant may do so and must follow the guidance included under Section H. The plan must be submitted by June 30, 2020.

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 January 31, 2021.

Inquiries To: CB Regional Program Managers

/s/

Elizabeth Darling
Commissioner
Administration on Children, Youth
and Families

Attachments

Attachment A:

Fiscal Year 2019 Allotment Title IV-B Subpart 1 Stephanie Tubbs Jones Child Welfare Services
Fiscal Year 2019 Allotment Title IV-B Subpart 2 Promoting Safe and Stable Families
Fiscal Year 2019 Allotment for Title IV-B, Subpart 2 Monthly Caseworker Visit Funds
Fiscal Year 2019 Allotment for CAPTA
Fiscal Year 2019 Allotment for Chafee Foster Care Program for Successful Transition to Adulthood
Fiscal Year 2019 Allotment for Education and Training Vouchers

Attachment B:

CFS-101 Instructions, Part I, II, and III
Introduction
Part I: Annual Budget Request for Title IV-B, Subpart 1 & 2 Funds, CAPTA, Chafee, and ETV Instructions
Part II: Annual Estimated Expenditure Summary of Child and Family Services Instructions
Part III: Expenditures for Title IV-B, Subparts 1 and 2, Chafee Foster Care Program for Successful Transition to Adulthood (Chafee) and Education and Training Voucher (ETV) Programs Instructions

CFS-101 Forms, Parts I, II and III Excel Workbook
CFS-101 Forms Part I
CFS-101 Forms Part II
CFS-101 Forms Part III

Attachment C:

CB Regional Program Managers

Attachment D:

Annual Reporting of Education and Training Vouchers Awarded