

ACF

Administration
for Children
and Families

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

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INFORMATION MEMORANDUM

TO: State and Territorial Agencies Administering or Supervising the Administration of Titles IV-B and IV-E of the Social Security Act

SUBJECT: Guidance and Suggested Format for Program Improvement Plans in Child and Family Service Reviews

**LEGAL AND
RELATED**

REFERENCES:

Section 1123 A of the Social Security Act, Titles IV-B and IV-E of the Social Security Act, 45 CFR 1355

PURPOSE: The purpose of this Information Memorandum is to provide guidance and assistance to States in developing Program Improvement Plans in response to the findings of the Child and Family Service reviews, and a suggested format for preparing the Program Improvement Plan.

INFORMATION:

States are required to develop and implement Program Improvement Plans (PIP) that address any of the outcomes or systemic factors determined not to be in substantial conformity as a result of a Child and Family Service (CFS) review (45 CFR 1355.35 (a)). The regulation, at 45 CFR 1355.35(a), requires States to include certain information in the PIP, although no specific format for developing the PIP is prescribed. Further, at 45 CFR 1355.35(d)(4), States are required to submit quarterly status reports to the Administration for Children and Families (ACF), unless less frequent reports are mutually agreed upon, to inform ACF of the State's progress in implementing the provisions of the PIP.

Through our work with the first seventeen States to undergo CFS reviews in fiscal year (FY) 2001, ACF recognizes a need to provide clarification to States on the required content of the PIP, and to provide additional guidance on the format of the PIP to assure that all required content is included. The attached document, Instructions on

Developing a Program Improvement Plan, provides clarification on the required content of the PIP. It also provides a suggested format that States are encouraged, but not required, to use in preparing the PIP. Finally, it includes a matrix that States are encouraged, but not required, to use in making quarterly status reports to ACF.

Through a contract provider, ACF will track States' progress in implementing PIPs over time. Using the attached suggested format and tracking matrix will better assure the ability of States and ACF to develop realistic, achievable PIPs and to identify progress and barriers to improving outcomes for children and families.

INQUIRIES TO: ACF Regional Offices

Joan E. Ohl
Commissioner
Administration on Children, Youth
and Families

Attachment

[Instructions on Developing a Program Improvement Plan](#)

**Children's Bureau
Child and Family Services Reviews
Program Improvement Plan**

APRIL, 2002

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Children's Bureau Child and Family Services Reviews Instructions on Developing a Program Improvement Plan

The purpose of this document is to provide guidance and assistance to States on developing Program Improvement Plans (PIP) in response to the findings of the child and family services reviews, and a suggested format for preparing the PIP. Although the Administration for Children and Families (ACF) does not require the use of the attached format, the elements of the PIP specified in regulation and included below are required components of the PIP regardless of the format used by the State. The requirements noted in this document reflect, and provide additional information on, the requirements in 45 CFR 1355.35. The information in this document will also be incorporated into the Procedures Manual for the child and family services reviews at a later date.

The guidance below is organized as follows:

- **Requirements of the PIP (including requirements associated with the PIP content, timeframes, approval, evaluation, and renegotiation)**
- Strategies for Developing the PIP
- Technical Assistance (TA) with the PIP
- Suggested PIP Format

I. Requirements of the PIP

PIP Content

The suggested PIP document consists of four components: (1) a general information section with key contact information, (2) a written work plan detailing the work to be undertaken in the PIP, (3) an agreement form indicating approval of the PIP by the ACF Regional Office and the State, and (4) a tracking matrix that summarizes the components of the PIP initially and permits tracking of progress and completion dates through quarterly status reports.

States must work jointly with the ACF Regional Office and consult with members of the child and family services review team to develop the content of the PIP. Suggested strategies for doing so are discussed in section II of this document, Strategies for Developing the PIP.

The following information is required content for the PIP. The document should provide sufficient detail and context to ensure that the ACF Regional Office and State agency staff can work in partnership to monitor PIP progress in implementing and completing the PIP.

- The PIP must include a measurable goal of improvement, action steps, and timeframe for addressing each outcome that has been found not to be in substantial conformity. Specifically, the PIP must address the onsite performance indicators (items) and statewide aggregate data that contributed to the low achievement level of that outcome, as noted in the final report.

In prioritizing issues to be addressed in the PIP, items and outcome areas that affect child safety must be addressed first, followed by those most egregiously not in substantial conformity, through both short-term goals (to minimize the negative effects on children and families immediately) and long-term goals (plans for lasting reforms). The priority assigned to these issues is reflected in the timeframes in the PIP, rather than in the order in which those issues are identified in the PIP document.

- The PIP must include a specific percentage of improvement (goal) that will be achieved through the PIP for each statewide aggregate data indicator that does not meet the national standards. If the amount of progress to be achieved through the PIP does not reach the established national standards, the amount negotiated between the ACF Regional Office and the State must be significant enough to move the State toward conformance with the national standards in a reasonable period of time. (Refer to ACYF-CB-IM-01-07 for guidance on the amount of improvement with regard to data indicators and the national standards.)
- The PIP must include a measurable goal of improvement, action steps, and a timeframe for addressing each systemic factor found not to be in substantial conformity. The PIP must address the State plan requirements that contributed to a determination of nonconformity for each systemic factor, as noted in the final report.
- The PIP should identify the individual(s) responsible for undertaking each action step. (This is not a regulatory requirement, but should be included when possible to assist in assuring successful completion of the PIP.)
- The PIP must specify the geographic areas of the State in which the action steps will be undertaken and an explanation of how the plan will lead to positive outcomes and adequate functioning of the systemic factors statewide, if needed. (This is not a regulatory requirement, but should be included when possible to assure that the requirements subject to review are in place throughout the State.)
- The PIP must present a plan for evaluating the implementation of the provisions of the PIP, including benchmarks of progress and other evidence that goals have been achieved.
- The PIP must describe the State's plan for accessing TA resources to support program improvements (for each outcome and systemic factor).
- The PIP must include a description of how PIP progress will be evaluated by the State and reported to the ACF Regional Office (including a schedule for submitting progress reports to the ACF Regional Office).
- States also must incorporate elements of the PIP into the goals and objectives of the Child and Family Services Plan (CFSP) and address their progress in implementing the PIP in

the Annual Progress and Services Report (APSR) (45 CFR 1355.35(f)). Evidence of that requirement is expected to appear in the CFSP and the APSR.

PIP Timeframes

The following timeframes apply to the PIP development and implementation process:

- The State must submit the PIP to the ACF Regional Office for approval within 90 calendar days from the date that the State receives written notification from the ACF Regional Office that it is not operating in substantial conformity in any one of the seven outcomes or seven systemic factors, for example, upon receipt of the courtesy copy of the final report, since the courtesy copy serves as the notification to the State regarding substantial conformity.
- Although there is no regulatory timeframe within which the ACF Regional Office must review and approve the PIP, the ACF Regional Office should give prompt attention to the PIP when it is submitted and take the minimum amount of time necessary to review it and respond to the State.
- If the PIP is not approved by the ACF Regional Office, the State must submit a revised PIP to the ACF Regional Office within 30 calendar days of receiving written notice from the ACF Regional Office that the State's PIP was not approved. (Note: If the State does not submit a revised plan or the plan is not in accordance with the specified guidelines, withholding of funds will begin as outlined in 45 CFR 1355.36.)
- The timeframe for completing the implementation of the PIP may not exceed 2 years from the date the PIP is approved by the ACF Regional Office. Not all elements within the PIP may require this length of time to address, and the two years is, therefore, an outside time limit for those elements requiring more extensive planning and action. For example, issues affecting child safety must be addressed in less than 2 years.
- For major improvements that are too complex or extensive to address within 2 years (for example, those requiring legislative changes), a State may request up to a 1-year extension to the 2-year timeframe for completing the implementation of the PIP, subject to approval by the Secretary of the Department of Health and Human Services (DHHS). Requests for extensions should be linked to specific strategies within the PIP requiring additional time and must be submitted to the ACF Regional Office in writing, with supporting documentation, at least 60 days before the approved PIP implementation completion date; requests for extensions will be approved only in exceptional situations.

PIP Approval

Upon completing the PIP, States will submit a copy of the PIP document electronically to the ACF Regional Office lead contact for the State. The ACF Regional Office will submit a copy of the PIP to the Children's Bureau for review before approving the PIP.

The ACF Regional Office will submit a copy of the final, approved PIP to the Children's Bureau and to the contractor at:

The Child Welfare Review Project
c/o Johnson, Bassin & Shaw, Inc.
8630 Fenton Street, 12th Floor
Silver Spring, MD 20910
e-mail address: cw@jbs1.com

The ACF Regional Office, in consultation with the Children's Bureau, will review the PIP submitted by a State and provide approval in writing (or electronically) to the State. A PIP will be approved if it meets the guidelines, as specified in 45 CFR 1355.35 (a).

In the event that the ACF Regional Office and the State cannot reach consensus regarding the content of the PIP or the degree to which program or data improvements are to be achieved, ACF retains the authority to assign the contents of the plan and/or the degree of improvement required for successful completion of the plan. Under such circumstances, the ACF Regional Office will provide to the State a written (or electronic) rationale for the content and degree of improvement.

PIP Evaluation

The ACF Regional Office, in collaboration with the State, will evaluate the State's achievements with the terms and conditions of the approved PIP as follows:

- The ACF Regional Office will monitor the State's progress in completing the provisions of the PIP through written (or electronic) status reports on the PIP that the State must submit to the ACF Regional Office no less frequently than quarterly, unless the ACF Regional Office approves less frequent reporting. (45 CFR 1355.35(d)((4)).
- The quarterly status reports should include the following information: (1) a description of progress made during the reporting period, and (2) data about measurable factors and their relationship to the established benchmarks and timeframes. (States are strongly encouraged to use the attached PIP matrix to prepare the quarterly status reports.)
- At least annually, the ACF Regional Office and the State must jointly evaluate the State's progress in implementing the PIP. This activity should occur in conjunction with the preparation of the State's APSR, and in collaboration with other members of the child and family services review team. The evaluation should be based on the measures and methods of evaluation specified in the PIP.

- Action steps and goals included in the PIP will be evaluated for completion according to the manner and completion dates specified in the PIP. The ACF Regional Office and State may jointly determine that action steps have been completed and/or goals achieved, before the projected completion dates, based on sufficient evidence. When that occurs, the ACF Regional Office and the State will not be required to further evaluate the goal during the remainder of the PIP implementation process.

Penalties are suspended while a State is implementing a PIP. If the ACF Regional Office determines, however, that the State failed to submit status reports, or that the State is not making satisfactory progress towards achieving the goals and action steps in a timely manner, then the suspension of penalties will cease and withholding will begin. (45 CFR 1355.36(e)(2)(i) & (ii)).

PIP Renegotiation

States may request to renegotiate the PIP with the ACF Regional Office, as needed, especially for complex strategies. Renegotiations may occur in regard to the timeframes for implementing program improvements or the strategies to be used, or both. Requests for changes to the PIP should be submitted in writing (or electronically) to the ACF Regional Office for approval, to be followed by a discussion of the issues leading to the request with the ACF Regional Office. The ACF Regional Office will submit copies of the renegotiated PIP to both Johnson, Bassin & Shaw (JBS), Inc. and the Children's Bureau upon approval.

II. Strategies for Developing the PIP

In addition to the information above on the requirements associated with the PIP, the information below suggests ways in which States and ACF Regional Offices can work together effectively to achieve the objectives of the program improvement planning phase of the CFS reviews. The ACF Regional Office can provide support to the States in the following ways:

- Participating in preliminary planning meetings with the State to discuss the final report and assisting the State in exploring effective program improvement strategies.
- Participating, as appropriate, in ongoing PIP strategy discussions through written correspondence, conference calls, and onsite visits when possible.
- Negotiating levels of improvement and providing guidance about acceptable indicators (measures) of improvement.
- Linking the State to needed technical assistance during the PIP development and implementation process.
- Providing insights from, and guidance about, other States' experiences with the PIP development and implementation process, and facilitating links to representatives of other States who have developed a PIP.
- Reviewing and commenting on early drafts of the PIP.

- Coordinating Federal staff review and approval of the PIP.

States also may use the following strategies for developing the PIP:

- Begin the PIP development process while completing the statewide assessment. This will allow the State to identify issues and potential underlying causes with the support of external partners on the child and family services review team, and to begin exploring strategies for making improvements.
- Help all involved parties to view the PIP process as one designed to create lasting and systemic statewide change while also addressing immediate needs.
- Create a process for ensuring that program improvements are made in a manner that leads to positive outcomes and adequate functioning of the systemic factors statewide, and not just in the three local sites selected for the onsite review.
- Establish a plan for maintaining ongoing communication with the ACF Regional Office staff and other members of the child and family services review team during PIP development, implementation, and evaluation. Consider providing drafts of the PIP (or sections) to the ACF Regional Office or members of the review team with request for feedback that will enable the State to make adjustments, as necessary, early in the process.
- Engage those representatives who participated in preparing the statewide assessment and conducting the onsite review (as well as others, as appropriate) in the process of developing the PIP. The State agency might designate subgroups of this team to formulate strategies for addressing outcomes and systemic factors that were found not to be in conformance or to prepare different sections of the PIP.
- Incorporate the PIP development process into the State's collaborative planning process for developing the 5-year Child and Family Services Plan (CFSP) and the Annual Progress and Services Report (APSR) by involving members of the CFSP planning group and linking improvements to the goals and strategies outlined in the CFSP.

- Use information from the final report and the statewide assessment to do the following:
 - Identify the performance indicators, statewide aggregate data indicators, and State plan requirements that contributed to outcomes or systemic factors being rated out of substantial conformity.
 - Identify crosscutting themes and issues that affect multiple areas of the State's performance, for example, the effects of inadequate comprehensive assessments on safety, permanency, and well being outcomes.
 - Identify the communities, jurisdictions, or regions that might particularly benefit from program improvement activities for each outcome or systemic factor.
 - Develop a list of questions that might be used during focus groups or other consultation activities with agency staff and external partners during the PIP planning process.
 - Analyze each area needing improvement to identify underlying issues that affect the State's performance, for example, how training for staff affects their ability to engage parents in the case-planning process.
 - Identify strengths or promising practices that can be used to develop strategies for making improvements. For example, an initiative or project that leads to improved case planning in one area of the State might be expanded to other jurisdictions.
- Develop a plan for distributing information from the final report on the child and family services reviews to facilitate a clear understanding of the findings and to encourage input on the PIP, using strategies such as the following:
 - Share key information with elected officials through briefings, with providers through focus groups, and with community members through public forums.
 - Host a press conference (and/or prepare and distribute press releases) to explain the review findings to the media, and designate a person or unit to respond appropriately to questions about the findings.
 - Place the final report or information about the results of the review on the State agency's Web site.
 - Solicit the input of agency staff, child welfare service providers, professionals in related fields, and community members on potential strategies for making systemic improvements, specifically in relation to those areas contributing to the State's nonconformance.

- Schedule a meeting with staff from the three sites that participated in the onsite review component of the child and family services review, and solicit input about how to make improvements.
- Explore ways to link PIP efforts to existing, related initiatives of the State agency, localities within the State, community groups, advocacy organizations, courts, and constituency groups (for example, the association of local child welfare agency directors), thereby increasing support for the PIP process and ensuring sustainable capacity building.
- Develop or strengthen partnerships with existing organizations or appointed task forces or councils that have goals similar to those outlined in the PIP (for example, join forces with a Governor's council on Hispanic affairs to recruit Hispanic foster families).
- Assure that the data used by the State provide accurate representations of practice in the State, and will provide valid measures of progress in implementing the PIP and the effectiveness of its provisions.
- Consider approaches for engaging other key players in developing key sections of the PIP, especially when their work affects the child welfare agency's efforts to protect and support children (for example, the courts or other State agencies with overlapping service populations). This is particularly helpful in assuring support for changes that may need to be implemented by those outside the child welfare agency.
- Provide ample time for each goal (and the associated action steps) in the PIP, particularly those that require complex strategies for achieving improvement.
- Use the PIP development process to enhance the State's quality assurance process so that new gains achieved through the PIP are sustained over time and the State operates in a continuous improvement environment.

III. Technical Assistance with the PIP

TA is available to States during all stages of the child and family services reviews, including PIP development and implementation. States should assess their TA needs for developing and implementing the PIP, before the start of the statewide assessment and continuing through the PIP process.

The ACF funds National Resource Centers (NRC) that provide TA related to the child and family services reviews. The NRCs can provide TA to the States during the PIP development and implementation process (see the Children's Bureau's Web site at <http://www.acf.dhhs.gov/programs/cb> for more information on the NRCs). States should work with their ACF Regional Office, which is responsible for the coordination of assistance, to determine the most appropriate TA source.

States also are encouraged to seek assistance from sources that will promote stronger relationships between the agency and community-based assistance providers (such as local universities) and build statewide capacity in the areas of child welfare and protection.

IV. Suggested PIP Format

The Children's Bureau has developed a standard format that States are encouraged to use in preparing the PIP for submission to the ACF Regional Office. The standard format begins immediately following these instructions. States are encouraged to use this format to facilitate ease of review, approval, and tracking of State PIPs. States choosing to use a different format for preparing the PIP must include all of the information required by regulation at 45 CFR 1355.35.

The PIP standard format contains the following sections:

- **PIP General Information**

States should provide general contact information for State agency personnel responsible for the child and family services review (and for PIP development and monitoring, if different).

- **PIP Work Plan and Matrix Instructions and Quality Assurance Checklist**

States should develop the work plan in preparing their PIP. The work plan provides space for details about the outcomes to be improved, the action strategy for doing so, the people to be involved in/responsible for each strategy, and how each strategy will be measured (PIP evaluation).

States should summarize the information from the work plan into the PIP Matrix, which the ACF Regional Office will use to track PIP progress. The States should use the PIP Matrix to report on PIP progress by noting the dates of achievement of benchmarks and goals. When benchmarks and goals are not met, States can provide a narrative explanation at the end of the PIP Matrix.

States should submit the work plan and PIP Matrix to the ACF Regional Office for approval.

- **PIP Agreement Form (approvals and signatures)**

The Chief Executive Officer of a State Child Welfare agency and the HUB Director or Regional Administrator for the ACF Regional Office responsible for the State must approve the PIP.

For more information on the PIP development and implementation process, States should contact the lead ACF Regional Office staff member for the State's review.

Attachment A
Children's Bureau
Child and Family Services Reviews
Program Improvement Plan
Suggested Standard Format

States are encouraged to use this Program Improvement Plan (PIP) standard format to submit their PIP to the Administration for Children and Families (ACF) Regional Office. The standard format includes the following sections:

- I. PIP General Information
- II. PIP Work Plan and Matrix Instructions and Quality Assurance Checklist
- III. PIP Agreement Form (authorizing signatures)
- IV. PIP Matrix

I. PIP General Information

ACF Region: I II III IV V VI VII VIII IX X

State:

Lead ACF Regional Office Contact Person:

Telephone Number:

E-mail Address:

State Agency Name:

Address:

Telephone Number:

Lead State Agency Contact Person for the Child and Family Services Review:

Telephone Number:

E-mail Address:

Lead State Agency PIP Contact Person (if different):

Telephone Number:

E-mail Address:

Lead State Agency Data Contact Person:

Telephone Number:

E-mail Address:

State PIP Team Members * (name, title, organization)

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State PIP Team Members (Continued)

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*List key individuals who are actually working on the PIP, and not necessarily everyone who was consulted during the PIP development process.

II. PIP Work Plan and Matrix Instructions and Quality Assurance Checklist

A. PIP Work Plan Instructions

States are strongly encouraged to use the instructions below to develop a narrative PIP work plan. The work plan should address each item or data indicator that contributed to a performance outcome or systemic factor being out of conformity as found through the State review. States should provide sufficient detail about how each outcome and systemic factor will be addressed through the PIP process. The PIP then will be reviewed by the ACF Regional Office staff responsible; a PIP will be approved if it meets the required provisions, as specified in 45 CFR 1355.35(a).

1. **Outcomes and Systemic Factors:** Check the outcomes and systemic factors for which the State was found to be out of conformance during the onsite review (and the item[s] under each that contributed to nonconformance).
2. **Goal:** Note the negotiated level of improvement for the outcomes and systemic factors and indicate how the aggregate data indicators and onsite performance measures contribute to nonconformity.
3. **Action Steps:** Describe the strategy for achieving the goal and benchmarks.
 - a. **Action Step**
Provide a description of each action step.
 - b. **Lead Person Responsible**
Provide the name, title, agency, and contact information for the person responsible for implementing and monitoring each action step.
 - c. **Integration of Action Into Other Improvement Efforts**
Describe how each action step will build on or be integrated into existing program improvement efforts in the State, if applicable.
 - d. **Geographic Area of the State**
Identify the geographic areas of the State where the PIP will be implemented, noting that program improvements should be designed to assure positive outcomes and adequate systemic functioning statewide. If the action steps will be implemented statewide, indicate "statewide." If the action steps will be implemented only in geographic areas of the State where improvements are needed, those areas should be identified.

e. Technical Assistance (TA) Resources Needed

Identify the TA resources needed to carry out the provision of each component of the PIP, including the following:

- Nature of the TA
- Projected level and frequency and duration of the TA
- Source of the TA (including both Federal and non-Federal sources)

f. Benchmarks: Note the interim and measurable indicators that will be assessed to determine if progress is being made toward achieving the established goal (these might include, for example, specific action steps being achieved).

4. PIP Evaluation Plan

Describe the evaluation approach to measuring PIP benchmarks and goals.

B. PIP Matrix Instructions

States should summarize the information from their PIP work plan into the PIP matrix form.

Column 1: Outcome or Systemic Factors Found Not to Be in Substantial Conformance (and Related Items)

In this column is the list of outcomes and systemic factors for which determinations of substantial conformity are made. States should check A for Applicable if the outcome or systemic factor was determined to not be in substantial conformity. Check N/A for those outcomes or systemic factors found to be in substantial conformity.

This column also lists the items contributing to an outcome or systemic factor not being in substantial conformity. States should check A for Applicable if the item was a contributing factor to the State not being in substantial conformity on the related outcome or systemic factor. Check N/A for items that did not contribute to the State not being in substantial conformity.

Column 2: Goal/Negotiated Measure/Percent of Improvement

In this column, States should provide the goal or negotiated measure or percent of improvement for aggregate data indicators and onsite performance items, as agreed upon with the ACF Regional Office staff.

For those items that have national data indicators (2, 5, 6, 8, 9), States should document the negotiated percentage of improvement toward meeting the national standard. For those items for which there is not a national data indicator, States should document the negotiated quantitative measure of improvement.

Column 3: Action Step

States should provide a description of the actions steps that will be undertaken to create improvements in each outcome or systemic factor (and related items).

Column 4: Method of Measuring Improvement

States should summarize their evaluation approach to measuring PIP benchmarks and goals.

Column 5: Benchmarks Toward Achieving Goal(s)

States should list the quarterly benchmarks for conducting interim monitoring of PIP progress for each applicable item and systemic factor. Benchmarks are the interim and measurable indicators that will be assessed to determine if progress is being made toward achieving the established goal, for example, what the State expects to achieve with regard to the goal during each quarter.

Column 6: Benchmarks' Dates of Achievement

States should include the projected dates for achieving the quarterly benchmarks listed in column 5. In each quarterly report (using the PIP Matrix), States should then note the benchmarks achieved.

Column 7: Goals' Dates of Achievement

States should list the projected date for achieving each goal listed in column 2. In each quarterly report (using the PIP Matrix), States should then note the goals achieved.

PIP Narrative Report Form: When States' benchmarks or goals are not met, they can provide a narrative explanation in this section.

PIP Submission: States should submit the PIP work plan and matrix to the ACF Regional Office staff member responsible for the State's child and family services review.

C. PIP Quality Assurance Checklist

State child welfare agency staff and their external partners may use the following quality assurance checklist to review the State's PIP to determine whether it meets the requirements necessary to contribute to a successful PIP process that will result in improvements to child welfare practice:

- Did the State negotiate with the ACF Regional Office the level of improvement to be achieved for each outcome and systemic factor determined not to be in substantial conformity, including a percentage of improvement for statewide aggregate data indicators that did not meet the national standards?
- Does the plan contain action steps for each goal that build on strengths identified in the Summary of Findings (final report on the child and family services reviews)?
- Does the plan identify the person(s) responsible for overseeing the development, implementation, and oversight of the action strategy for achieving the goals?
- Does the plan contain realistic timeframes for implementing the action steps and achieving the goals?
- Have the goals been prioritized to ensure that action steps for achieving the most important goals (for example, those related to safety) are implemented first and within the timeframes outlined in the PIP instructions?
- Does the plan explain how action steps targeted to one jurisdiction will lead to positive outcomes and adequate systemic functioning statewide?
- Does the plan include benchmarks for measuring improvements?
- Are those benchmarks consistent with the level of effort required to improve performance?
- Does the plan include the State's method for evaluating the progress being made toward the benchmarks and the goals?

III. PIP Agreement Form

The PIP should be signed and dated by the Chief Executive Officer of the State child welfare agency and by the HUB Director or Regional Administrator for the ACF Regional Office responsible for the State. The approved PIP with original signature must be retained in the ACF Regional Office. A hard copy of the approved PIP must be submitted to the following parties immediately upon approval:

- State child welfare agency
- Children’s Bureau (child and family services review staff)
- Child Welfare Review Project, c/o Johnson, Bassin & Shaw, Inc.

Agreements

The following Federal and State officials agree to the content and terms of the attached Program Improvement Plan:

Name of State Executive Officer for Child Welfare Services	Date
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Name of HUB Director/Regional Administrator, ACF	Date
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Amendments

This section should be completed only in the event of renegotiations regarding the content of the PIP, pursuant to 45 CFR 1355.35(e)(4). Copies of approved renegotiated PIPs must be retained and distributed as noted above immediately upon completion of the renegotiation process.

The content of the attached PIP was renegotiated on [enter date]. The renegotiated content of the attached PIP has been approved (initialed) by State personnel and the ACF Regional Office with authority to negotiate such content and is approved by the following Federal and State officials:

Name of State Executive Officer for Child Welfare Services	Date
--	------

Name of HUB Director/Regional Administrator, ACF	Date
--	------

**Children's Bureau
Child and Family Services Reviews
IV. Program Improvement Plan Matrix (PIP Matrix)**

State: _____

ACF Regional Office: **Region I** **Region IV** **Region VII** **Region X**
 Region II **Region V** **Region VIII**
 Region III **Region VI** **Region IX**

State contact and telephone: _____

ACF contact and telephone: _____

Date and quarter submitted: _____

Program Improvement Implementation								
1			2	3	4	5	6	7
Outcome or Systemic Factors and Item(s) Contributing to Non-Conformity			Goal/Negotiated Measure/ Percent of Improvement	Action Steps	Method of Measuring Improvement	Benchmarks Toward Achieving Goal	Benchmarks' Dates of Achievement	Goals' Dates of Achievement
	A ¹	N/A ²						
Outcome S1: Children are, first and foremost, protected from abuse and neglect	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 1: Timeliness of initiating investigations of reports of child maltreatment	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 2: Repeat maltreatment	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:

- 1. Applicable
- 2. Not Applicable

Program Improvement Implementation							
1		2	3	4	5	6	7
Outcome or Systemic Factors and Item(s) Contributing to Non-Conformity		Goal/Negotiated Measure/Percent of Improvement	Action Steps	Method of Measuring Improvement	Benchmarks Toward Achieving Goal	Benchmarks' Dates of Achievement	Goals' Dates of Achievement
	A ¹	N/A ²					
Recurrence of Maltreatment (Statewide data indicator relating to Item 2)	<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:
						Actual:	Actual:
Incidence of Child Abuse and/or Neglect in Foster Cares (Statewide data indicator relating to Item 2)	<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:
						Actual:	Actual:
Outcome S2: Children are safely maintained in their homes whenever possible and appropriate	<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:
						Actual:	Actual:
Item 3: Services to family to protect child(ren) in home and prevent removal	<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:
						Actual:	Actual:
Item 4: Risk of harm to child(ren)	<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:
						Actual:	Actual:
	<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:

- 1. Applicable
- 2. Not Applicable

Program Improvement Implementation								
1			2	3	4	5	6	7
Outcome or Systemic Factors and Item(s) Contributing to Non-Conformity			Goal/Negotiated Measure/Percent of Improvement	Action Steps	Method of Measuring Improvement	Benchmarks Toward Achieving Goal	Benchmarks' Dates of Achievement	Goals' Dates of Achievement
	A ¹	N/A ²						
Outcome P1: Children have permanency and stability in their living situation							Actual:	Actual:
Item 5: Foster care re-entries	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Foster Care Re-entries (Statewide foster care re-entries data indicator)	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 6: Stability of foster care placement	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Stability of Foster Care Placement (Statewide data indicator relating to Item 6)	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 7: Permanency goal for child	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 8:	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:

- 1. Applicable
- 2. Not Applicable

Program Improvement Implementation								
1			2	3	4	5	6	7
Outcome or Systemic Factors and Item(s) Contributing to Non-Conformity			Goal/Negotiated Measure/Percent of Improvement	Action Steps	Method of Measuring Improvement	Benchmarks Toward Achieving Goal	Benchmarks' Dates of Achievement	Goals' Dates of Achievement
	A ¹	N/A ²						
Reunification, guardianship, or permanent placement with relatives							Actual:	Actual:
Length of Time To Achieve Permanency Goal of Reunification (Statewide data indicator relating to Item 8)	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 9: Adoption	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Length of Time To Achieve Permanency Goal of Adoption (Statewide data indicator relating to Item 9)	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 10: Permanency goal of other planned permanent living arrangement	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Outcome P2: The continuity of family relationships and connections is preserved for children	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:

- 1. Applicable
- 2. Not Applicable

Program Improvement Implementation								
1			2	3	4	5	6	7
Outcome or Systemic Factors and Item(s) Contributing to Non-Conformity			Goal/Negotiated Measure/Percent of Improvement	Action Steps	Method of Measuring Improvement	Benchmarks Toward Achieving Goal	Benchmarks' Dates of Achievement	Goals' Dates of Achievement
		A ¹	N/A ²					
Item 11: Proximity of foster care placement	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 12: Placement with siblings	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 13: Visiting with parents and siblings in foster care	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 14: Preserving connections	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 15: Relative placement	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 16: Relationship of child in care with parents	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Outcome WB1: Families have enhanced capacity to provide for their children's needs	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:

1. Applicable
2. Not Applicable

Program Improvement Implementation								
1			2	3	4	5	6	7
Outcome or Systemic Factors and Item(s) Contributing to Non-Conformity			Goal/Negotiated Measure/Percent of Improvement	Action Steps	Method of Measuring Improvement	Benchmarks Toward Achieving Goal	Benchmarks' Dates of Achievement	Goals' Dates of Achievement
		A ¹	N/A ²					
Item 17: Needs and services of child, parents, foster parents	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 18: Child and family involvement in case planning	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 19: Worker visits with child	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 20: Worker visits with parent(s)	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Outcome WB2: Children receive appropriate services to meet their educational needs	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 21: Educational needs of the child	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:

1. Applicable
2. Not Applicable

Program Improvement Implementation								
1			2	3	4	5	6	7
Outcome or Systemic Factors and Item(s) Contributing to Non-Conformity			Goal/Negotiated Measure/Percent of Improvement	Action Steps	Method of Measuring Improvement	Benchmarks Toward Achieving Goal	Benchmarks' Dates of Achievement	Goals' Dates of Achievement
	A ¹	N/A ²						
Outcome WB3: Children receive adequate services to meet their physical and mental health needs	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 22: Physical health of the child	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 23: Mental health of the child	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Systemic Factor 1: Statewide Information System	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 24: State is operating a Statewide information system that, at a minimum, can readily identify the status, demographic characteristics, location, and goals for the placement of every child who is (or within the immediately preceding 12 months, has been) in foster care.	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Systemic Factor 2: Case Review System	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:

- 1. Applicable
- 2. Not Applicable

Program Improvement Implementation							
1		2	3	4	5	6	7
Outcome or Systemic Factors and Item(s) Contributing to Non-Conformity		Goal/Negotiated Measure/Percent of Improvement	Action Steps	Method of Measuring Improvement	Benchmarks Toward Achieving Goal	Benchmarks' Dates of Achievement	Goals' Dates of Achievement
	A ¹	N/A ²					
Item 25: Provides a process that ensures that each child has a written case plan to be developed jointly with the child's parent(s) that includes the required provisions.	<input type="checkbox"/>	<input type="checkbox"/>				Actual:	Actual:
						Projected:	Projected:
Item 26: Provides a process for the periodic review of the status of each child, no less frequently than once every 6 months, either by a court or by administrative review.	<input type="checkbox"/>	<input type="checkbox"/>				Actual:	Actual:
						Projected:	Projected:
Item 27: Provides a process that ensures that each child in foster care under the supervision of the State has a permanency hearing in a qualified court or administrative body no later than 12 months from the date the child entered foster care and no less frequently than every 12 months thereafter.	<input type="checkbox"/>	<input type="checkbox"/>				Actual:	Actual:
						Projected:	Projected:

1. Applicable
2. Not Applicable

Program Improvement Implementation								
1			2	3	4	5	6	7
Outcome or Systemic Factors and Item(s) Contributing to Non-Conformity			Goal/Negotiated Measure/ Percent of Improvement	Action Steps	Method of Measuring Improvement	Benchmarks Toward Achieving Goal	Benchmarks' Dates of Achievement	Goals' Dates of Achievement
		A ¹	N/A ²					
Item 28: Provides a process for termination of parental rights proceedings in accordance with the provisions of the Adoption and Safe Families Act.	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 29: Provides a process for foster parents, preadoptive parents, and relative caregivers of children in foster care to be notified of, and have an opportunity to be heard in, any review or hearing held with respect to the child.	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Systemic Factor 3: Quality Assurance System	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 30: The State has developed and implemented standards to ensure that children in foster care are provided quality services that protect the safety and health of the children.	<input type="checkbox"/>	<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:

1. Applicable
2. Not Applicable

Program Improvement Implementation								
1			2	3	4	5	6	7
Outcome or Systemic Factors and Item(s) Contributing to Non-Conformity			Goal/Negotiated Measure/ Percent of Improvement	Action Steps	Method of Measuring Improvement	Benchmarks Toward Achieving Goal	Benchmarks' Dates of Achievement	Goals' Dates of Achievement
		A ¹	N/A ²					
Item 31:							Projected:	Projected:
The State is operating an identifiable quality assurance system that is in place in the jurisdictions where the services included in the Child and Family Services Plan (CFSP) are provided, evaluates the quality of services, identifies strengths and needs of the service delivery system, provides relevant reports, and evaluates program improvement measures implemented.		<input type="checkbox"/>	<input type="checkbox"/>				Actual:	Actual:
Systemic Factor 4: Training		<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:
							Actual:	Actual:
Item 32:							Projected:	Projected:
The State is operating a staff development and training program that supports the goals and objectives in the CFSP, addresses services provided under titles IV-B and IV-E, and provides initial training for all staff who deliver these services.		<input type="checkbox"/>	<input type="checkbox"/>				Actual:	Actual:
Item 33:		<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:

- 1. Applicable
- 2. Not Applicable

Program Improvement Implementation								
1			2	3	4	5	6	7
Outcome or Systemic Factors and Item(s) Contributing to Non-Conformity			Goal/Negotiated Measure/ Percent of Improvement	Action Steps	Method of Measuring Improvement	Benchmarks Toward Achieving Goal	Benchmarks' Dates of Achievement	Goals' Dates of Achievement
		A ¹	N/A ²					
The State provides for ongoing training for staff that addresses the skills and knowledge base needed to carry out their duties with regard to the services included in the CFSP.							Actual:	Actual:
Item 34: The State provides training for current or prospective foster parents, adoptive parents, and staff of State licensed or approved facilities that care for children receiving foster care or adoption assistance under title IV-E that addresses the skills and knowledge base needed to carry out their duties with regard to foster and adopted children.		<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:
							Actual:	Actual:
Systemic Factor 5: Service Array		<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:
							Actual:	Actual:
Item 35: The State has in place an array of services that assess the strengths and needs of children and families and determine other service needs, address the needs of families in addition to		<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:

- 1. Applicable
- 2. Not Applicable

Program Improvement Implementation								
1			2	3	4	5	6	7
Outcome or Systemic Factors and Item(s) Contributing to Non-Conformity			Goal/Negotiated Measure/Percent of Improvement	Action Steps	Method of Measuring Improvement	Benchmarks Toward Achieving Goal	Benchmarks' Dates of Achievement	Goals' Dates of Achievement
		A ¹	N/A ²					
individual children in order to create a safe home environment, enable children to remain safely with their parents when reasonable, and help children in foster and adoptive placements achieve permanency.							Actual:	Actual:
Item 36: The services in item 35 are accessible to families and children in all political jurisdictions covered in the State's CFSP.		<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:
							Actual:	Actual:
Item 37: The services in item 35 can be individualized to meet the unique needs of children and families served by the agency.		<input type="checkbox"/>	<input type="checkbox"/>					
Systemic Factor 6: Agency Responsiveness to the Community		<input type="checkbox"/>					Projected:	Projected:
							Actual:	Actual:
Item 38:		<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:

- 1. Applicable
- 2. Not Applicable

Program Improvement Implementation								
1			2	3	4	5	6	7
Outcome or Systemic Factors and Item(s) Contributing to Non-Conformity			Goal/Negotiated Measure/Percent of Improvement	Action Steps	Method of Measuring Improvement	Benchmarks Toward Achieving Goal	Benchmarks' Dates of Achievement	Goals' Dates of Achievement
		A ¹	N/A ²					
In implementing the provisions of the CFSP, the State engages in ongoing consultation with tribal representatives, consumers, service providers, foster care providers, the juvenile court, and other public and private child- and family-serving agencies and includes the major concerns of these representatives in the goals and objectives of the CFSP.							Actual:	Actual:
Item 39: The agency develops, in consultation with these representatives, annual reports of progress and services delivered pursuant to the CFSP.		<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:
							Actual:	Actual:
Item 40: The State's services under the CFSP are coordinated with services or benefits of other Federal or federally assisted programs serving the same population.		<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:
							Actual:	Actual:
Systemic Factor 7: Foster and Adoptive Parent Licensing, Recruitment, and Retention		<input type="checkbox"/>	<input type="checkbox"/>				Projected	Projected:
							Actual:	Actual:
Item 41:		<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:

- 1. Applicable
- 2. Not Applicable

Program Improvement Implementation								
1		2	3	4	5	6	7	
Outcome or Systemic Factors and Item(s) Contributing to Non-Conformity		Goal/Negotiated Measure/Percent of Improvement	Action Steps	Method of Measuring Improvement	Benchmarks Toward Achieving Goal	Benchmarks' Dates of Achievement	Goals' Dates of Achievement	
		A ¹	N/A ²					
The State has implemented standards for foster family homes and child care institutions which are reasonably in accord with recommended national standards.							Actual:	Actual:
Item 42: The standards are applied to all licensed or approved foster family homes or child care institutions receiving title IV-E or IV-B funds.		<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:
							Actual:	Actual:
Item 43: The State complies with Federal requirements for criminal background clearances as related to licensing or approving foster care and adoptive placements and has in place a case planning process that includes provisions for addressing the safety of foster care and adoptive placements for children.		<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:
							Actual:	Actual:
Item 44:		<input type="checkbox"/>	<input type="checkbox"/>				Projected:	Projected:

- 1. Applicable
- 2. Not Applicable

Program Improvement Implementation							
1		2	3	4	5	6	7
Outcome or Systemic Factors and Item(s) Contributing to Non-Conformity		Goal/Negotiated Measure/Percent of Improvement	Action Steps	Method of Measuring Improvement	Benchmarks Toward Achieving Goal	Benchmarks' Dates of Achievement	Goals' Dates of Achievement
	A ¹	N/A ²					
The State has in place a process for ensuring the diligent recruitment of potential foster and adoptive families that reflect the ethnic and racial diversity of children in the State for whom foster and adoptive homes are needed.						Actual:	Actual:
Item 45: The State has in place a process for the effective use of cross-jurisdictional resources to facilitate timely adoptive or permanent placements for waiting children.		<input type="checkbox"/>	<input type="checkbox"/>			Projected:	Projected:
						Actual:	Actual:

- 1. Applicable
- 2. Not Applicable

PIP Matrix Narrative Reporting Form

I. Summarize the reasons why benchmarks and/or goals were not achieved as projected:

II. Provide a description of, and schedule for, the actions that the State will take during the next PIP quarter to meet these projected benchmarks and/or goals:

III. Other Comments:

**Attachment B
Children's Bureau
Child and Family Services Reviews
PIP Quarterly Report Tracking Log
For Use By the
ACF Regional Office Staff**

**PIP
Quarterly Reports
Date Received
(enter date)**

1	
2	
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