

# **ADMINISTRATION FOR CHILDREN AND FAMILIES**

## **FY 2001 FINAL ANNUAL PERFORMANCE PLAN, FY 2000 REVISED FINAL PERFORMANCE PLAN, AND FY 1999 PERFORMANCE REPORT**

**for the Government Performance and Results Act of 1993**

*The Administration for Children and Families (ACF), within the Department of Health and Human Services, administers programs which promote the economic and social well-being of children, youth, and families, focusing particular attention on vulnerable populations including low-income children, refugees, Native Americans, and the developmentally disabled.*

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# **PART I: AGENCY CONTEXT FOR PERFORMANCE MEASUREMENT**

## **1.1 Agency mission and long term goals**

The Administration for Children and Families (ACF) and its partners—other Federal agencies, State, local, and Tribal governments, and the private sector—provides national leadership and creates opportunities for low-income, disadvantaged families and individuals to lead economically and socially productive lives, for children to develop into healthy adults, and for communities to become more prosperous and supportive of their members. ACF oversees and finances a broad range of programs for children and families, including Native Americans, persons with developmental disabilities, refugees, and legalized aliens, to help them develop and grow toward a more independent, self-reliant life. These programs carried out by State, county, city, and Tribal governments, and public and private local agencies, are designed to promote stability, economic security, responsibility and self-sufficiency.

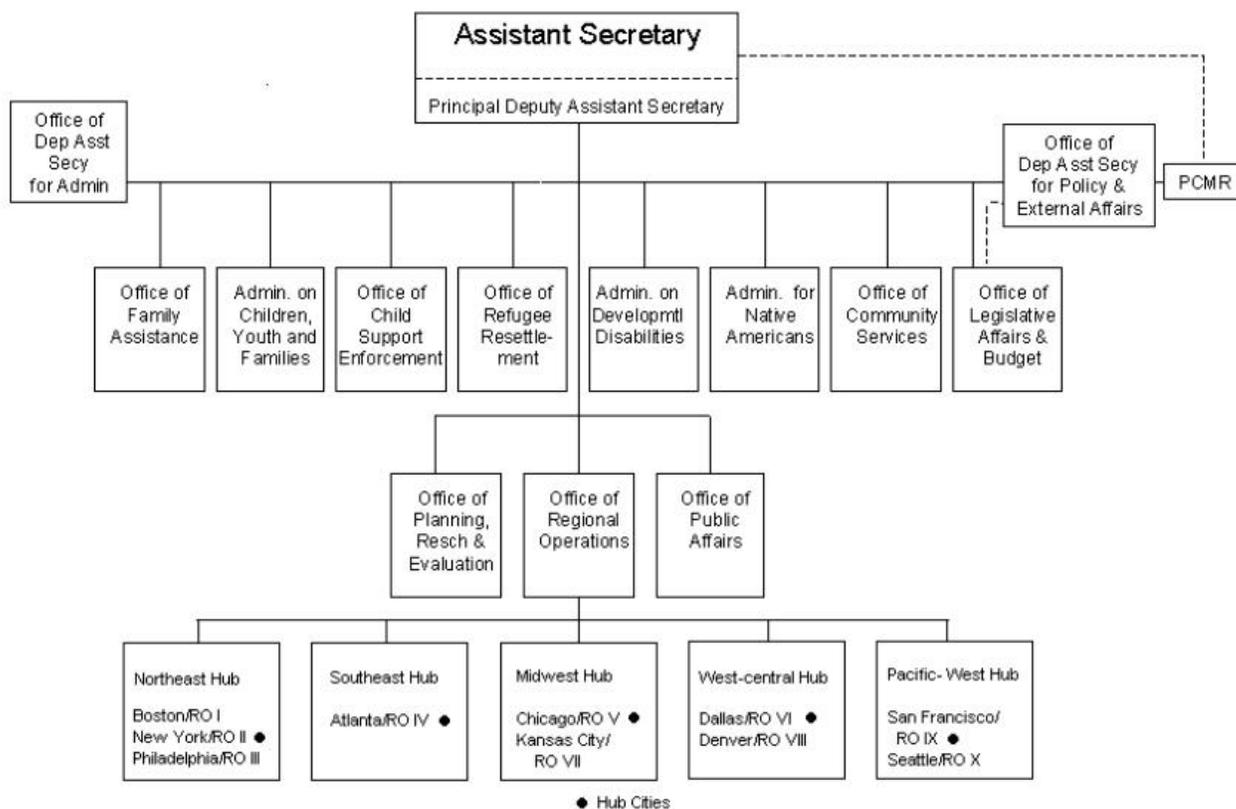
Some ACF programs assist families in financial crisis, emphasizing short-term financial assistance along with assistance in obtaining and maintaining employment. Programs for children and youth focus on those with special problems, including children of low-income families, abused and neglected children, those in institutions or requiring adoption or foster family services, runaway youth, children with disabilities, migrant children, and Native American children. ACF promotes the development of comprehensive, integrated community and home-based service delivery where possible. ACF advises the Secretary on issues pertaining to children and families, including Native Americans, people with developmental disabilities, refugees and legalized aliens.

ACF coordinates development and implementation of family-centered strategies, policies, and linkages among its programs with other Federal and State programs serving children and families. Our efforts with partners enable families to avoid dependency or move from welfare to work through employment, education, training and quality child care services, coupled with short term financial aid. ACF enforces child support and provides community development resources and other supports for low income working families.

Investments in sound growth and development for children, particularly those in low-income families, are basic to productive adulthood and citizenship. Early Head Start, Head Start, and quality child care programs for low-income children are essential to good health, early development and school readiness; before and after-school child care and youth development services are necessary to sustain positive effects.

Communities provide the context within which families may function well or poorly. ACF, along with numerous Federal, State, local, and private partners, is committed to economic development, linking community development strategies with comprehensive "people development" strategies to strengthen communities as a positive factor in the lives of residents.

## 1.2 Organization, Programs, Operations, Strategies and Resources



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The Administration for Children and Families administers twenty-two legislative programs divided among thirty-five budget activities. This plan combines these into fourteen major program areas. (The consolidation and aggregation scheme and the linkage to the Budget are described in Section A.6 of the Appendix.)

- **Temporary Assistance for Needy Families (TANF)** promotes work, responsibility and self-sufficiency and strengthens families through funding of State-designed and administered programs that provide support to needy children and move their parents into work (administered by Office of Family Assistance).
- **Developmental Disabilities** enhances the ability of persons with developmental disabilities to live, work and play in their communities through supporting State and other programs that develop, coordinate and stimulate permanent improvement in service systems, with priority to those whose needs are not otherwise met under other health, education and human services programs (administered by Administration on Developmental Disabilities).
- **Refugee Resettlement** assists refugees and entrants who are admitted into the United States to become employed and self-sufficient as quickly as possible, providing grants to States and other grantees for employment-related services, social adjustment, transitional cash and medical assistance, and other services (administered by Office of Refugee Resettlement).

- **Social Services Block Grant (SSBG)** supports a variety of social services tailored to supplement State investments in the self-sufficiency and well being of low income populations through State grants. SSBG funds also help improve and integrate services, create community-based partnerships, and stimulate innovations (administered by Office of Community Services).
- **Assets for Independence Demonstration Program** establishes demonstration projects to determine the effects of providing to individuals and families with limited means an incentive to accumulate assets by saving a portion of their earned income in individual development accounts to increase their economic self-sufficiency and stabilize and improve families and the community in which the families live (administered by Office of Community Services).
- **Child Support** locates parents, establishes paternity and support obligations and modifies and enforces those obligations to assure financial support is available to children. This work is done through State agencies that administer the program (administered by Office of Child Support Enforcement).
- **Child Care** provides grants to States to assist low income working families who need child care that is safe, affordable and of high quality (administered by Child Care Bureau).
- **Head Start** provides comprehensive child development services to children and families, primarily for preschoolers from low-income families through grants to local, public and private nonprofit agencies (administered by Head Start Bureau).
- **Child Welfare** funds State programs that assist at-risk children and their families in achieving safety, permanence, and well-being through preventive interventions to strengthen the family unit; foster care and adoption assistance to move children more rapidly from foster care to safe, permanent homes; and reunification services to return the child to the home if in the child's best interest (administered by Children's Bureau).
- **Youth Programs** support local agencies, which provide shelter, improve life prospects, and reduce high-risk behavior and sexual abuse of runaway, homeless and street youth; providing alternative activities, safe passages, and the tools needed to move successfully to adulthood. A major focus is on disseminating best practices and building partnerships in all areas of positive youth development (administered by Family and Youth Services Bureau).
- **Community Services Block Grant** provides an array of social services and programs through flexible funding at the State and local level to assist low-income individuals and alleviate the causes and conditions of poverty (administered by Office of Community Services).
- **Domestic Violence Programs** support programs and projects to prevent family violence; provide immediate shelter and assistance for the victims of family violence and their dependents through grants for Battered Women's Shelters; and funding the Domestic Violence Hotline (administered by Office of Community Services).
- **Low-Income Home Energy Assistance** assists low income households meet the costs of heating and cooling their homes, through block grants and emergency contingency funds to States, Indian Tribes, and insular areas which target assistance to low-income households with high energy burdens and vulnerable members (administered by Office of Community Services).

- **Native Americans Programs** promote economic and social self-sufficiency of American Indians, Alaskan Natives, Native Hawaiians, and Native Pacific Islanders by supporting programs and encouraging local strategies in economic and social development (administered by Administration for Native Americans).

The operations of these programs are carried out through central office headquarters staff and through ten regional offices, organized into five major hubs. Providing over \$40 billion in grants to governmental jurisdictions and nonprofit organizations and technical assistance and oversight delivered by approximately 1500 FTEs, ACF enables its partners to achieve results in the goals and strategies listed below. (Specific operational activities are discussed under each program’s performance planning section, which includes references to budget and other resource management documents.)

ACF’s GPRA performance plan addresses four major agency goals with ten strategic objectives.

**Strategic Goal 1: Increase economic independence and productivity for families**

1. *Increase employment,*
2. *Increase independent living*
3. *Increase parental responsibility*
4. *Increase affordable child care*

**Strategic Goal 2: Improve healthy development, safety and well-being of children and youth**

5. *Increase the quality of child care to promote childhood development*
6. *Improve the health status of children*
7. *Increase safety, permanency, and well-being of children and youth*

**Strategic Goal 3: Increase the health and prosperity of communities and Tribes**

8. *Build healthy, safe and supportive communities and Tribes*

**Strategic Goal 4: Build a results-oriented organization**

9. *Streamline ACF organizational layers*
10. *Improve automated data and management systems*

**1.3 Partnerships and coordination**

ACF’s programs are administered in a complex partnership environment in which varying Federal, State, local, non-profit and community-based funding sources and programs develop and carry out programs, deliver services and strive to attain goals. The relationships, funding mechanisms and degrees of autonomy vary from program to program. A primary challenge is for partners to collaborate in crafting effective policies and programs that satisfy mutually agreed-upon objectives.

The broad goals of these diverse jurisdictions and organizations are similar to those of ACF; but State and local programs may differ on specific targets and outcomes relevant to the particular needs of the population groups and communities they serve.

In the development of our strategic objectives, annual performance goals, measures and data sources, ACF has engaged in extensive consultation with partners and stakeholders, both to learn from their experiences and insights and to gain their collaboration and support. To achieve mutually agreed-upon goals and objectives, ACF allows maximum flexibility at the State and local level.

ACF programs have worked intensively with their partners and have made substantial progress in recent years towards a measurable results framework with performance measures and outcomes for operating programs. Results-oriented partnership agreements and targets have been negotiated with individual States. Each program has developed an individualized process for engaging partners in goal setting and definition of measures and targets. For example, the TANF program undertook a legislatively mandated, partner-oriented process to develop the “high performance bonus.” The child support program developed with States a national strategic plan, with indicators and targets. The refugee program worked with both State refugee programs and community based service organizations. In some programs, such as child care, which were new but had no mandated process like TANF, a preliminary set of proxy measures were developed for the first GPRA planning years, while the program undertook a consensus process with the partnership constituencies.

Across HHS, a large number of programs share related objectives. Many HHS programs also share related goals and responsibilities with other Federal agencies. Therefore both internal and external coordination is necessary to administer programs effectively. Interagency consultation has taken place across programs within ACF, (e.g. child care and Head Start, child support and TANF) and within HHS (e.g., between TANF and Medicaid) through seminars and forums convened by the Office of the Assistant Secretary for Management and Budget (ASMB) and the Office of the Assistant Secretary for Planning and Evaluation (ASPE). ACF programs provide outreach for the Child Health Insurance Program, which is administered by the Health Care Financing Administration (HCFA). Child care and Head Start coordinate with HCFA’s Maternal and Child Health program. Such coordination at the implementation and delivery level will produce significant results, even if strict measurements are not practical.

It has been difficult to identify cross-cutting performance measures within ACF because each agency is responsible for its own GPRA reporting, and program data systems are operated by a diversity of grantee partners serving distinct populations. However, ACF has created networks, workgroups, and collaborative initiatives and events that cut across program boundaries and make major contributions to GPRA planning. For example, ACF has measures that link child care and Head Start, and Head Start and health outcomes. Additionally, ACF’s Administration on Developmental Disabilities has GPRA measures that relate to housing, health services, employment and education. Family Violence Prevention programs has measures that focus on Tribes and the National Domestic Violence Hotline.

Given that ACF measures have been developed in collaboration with partners, the consultation process outside of ACF has been fairly extensive, though more so with ACF’s program partners, such as States and grantees, than with other Federal agencies. ACF works closely with Federal Departments such as Labor, Treasury, Education and

Transportation in implementing, operating and improving welfare reform, child care, child support, and other programs. Consultation with Federal agencies outside of HHS on specific GPRA performance plan issues has not been a formal or rigid process. Program-specific data and measurement issues, as well as differing statutes and populations served, make identical performance measures impractical. However, ACF has found that intensive consultation and coordination on program design and objectives provide a climate for close alignment among programs with similar goals. Performance measurement issues are central to cross-agency discussions, e.g., identifying State unemployment records as a data source for TANF measures. There has been extensive programmatic collaboration, including TANF and welfare-to-work grants with the Department of Labor, child care and Head Start with the Department of Education, child support enforcement with the Departments of Justice, the Treasury and Defense. These collaborations have helped develop results-oriented strategies and techniques that contribute to the success of performance goals.

#### **1.4 Summary FY 1999 performance report: accountability through performance measurement**

**Performance Commitment:** GPRA has become an integral part of the everyday operation of the agency. ACF has been managing toward results since the early 1990's. In 1995, it instituted "Achieving Success: Trends and Targets," an annual report on a number of critical program measures which included goals for major programs, identified data sources and provided initial baselines and trend data later used with partners at the State and local community level in identifying achievable targets. This report, first released in FY 1996 and updated annually with the most recently available data, is part of a continuing commitment to share these efforts with partners, stakeholders, customers and the general public. Although many of these measures and targets have changed as a result of recent legislation and the creation of new programs, this summary data has proven useful in assessing current performance and forecasting future target achievement. (See Appendix A.7 for this report).

ACF has also been an active participant in cross-program efforts to develop broader indicators of child well-being, e.g., *Trends in the Well-being of America's Children and Youth*; *America's Children: Key National Indicators of Well-being*; *Healthy People 2010* and the Children's Indicators Consortium study. ACF is committed to working collaboratively with its partners in the refinement of performance measures and the identification of annual performance targets. Crosscutting program initiatives and collaborative efforts are underway at the national, State and local community levels.

ACF's leadership has made a commitment toward "stretch goals" that encourage programs towards measurably higher achievement, within realistic bounds. As this effort is in its early stages across government, continued experience should improve the relationship between planned targets and actual results. In a few programs, such as TANF and child support, goal achievement is linked by program statute to incentives and sanctions. In these cases, the process has been driven by a concern for measures that are realistic. Where an incentives system is not a factor, programs have been encouraged to identify more ambitious targets with the understanding that shortfalls in achievement will be informative

for assessing whether the target has been set too aggressively or what corrective actions should be taken.

In 1997, the Assistant Secretary for Children and Families created agency-wide priorities for welfare reform, child support, child care, infants and toddlers, Head Start, child welfare and increasing our capacity to work with our partners. These seven priorities are not explicitly used to organize this GPRA performance plan, but the program results they embody and the activities to achieve them are reflected throughout the program-specific narrative and performance goals in Part II of this plan.

In FY 1999 the Assistant Secretary launched a performance-based work planning system that incorporates the collective and individual responsibilities of ACF's leadership team and tracks agency-wide results. This work planning system links each senior executive's performance directly to the results accomplished under the workplan. The ACF Workplan (Results Map) is based on the outcomes desired from each of ACF's seven priorities. ACF Executives meet as a group and with their staffs to refine targets, strategies and activities and to determine clear, distinct roles and responsibilities that will move ACF toward effective accomplishment of each ACF priority result. The ACF Workplan (Results Map) is used by the Assistant Secretary to establish performance agreements with her executive staff. Each executive is accountable to the Assistant Secretary to carry out specified performance goals.

In Section A.6 of the Appendix a budget table has been provided in which performance goals and measures for each of the ten strategic objectives are included. These goals support the mission of HHS and can be related to the HHS Strategic Plan via the table in Section A.3 of the Appendix.

### **Summary of FY 1999 Performance Success**

ACF relies on State administrative data systems for performance reporting, since States and local community organizations administer most of our programs. Final reports are due ninety to 120 days after the fiscal year ends. This time lag in receiving and validating data reports on actual achievements makes it difficult to provide a comprehensive summary of FY 1999 performance until later in FY 2000.

The recent legislative environment has supported a focus on results, in part through enactment of statutory bonus provisions based on performance. For example, the Child Support Performance and Incentive Act of 1998 put in place a performance-based incentive system that rewards States on the basis of their performance on five measures: paternity establishment, orders obtained, collection of current support, collection of past due support and cost effectiveness. In addition, the Adoption and Safe Families Act (ASFA) created the Adoption Incentive program, under which States receive incentive funds tied to their success in increasing the number of children adopted from the foster care system. The TANF statute contains a High Performance Bonus provision which rewards States that are most successful in achieving the purposes of the TANF program. Further, the TANF statute rewards the top five States with the largest decrease in their ratio of nonmarital births to total births, provided that these States also show a decrease in their abortion rate relative to 1995. Final regulations have been published following extensive consultations

and the qualifying States have been announced. On December 4, 1999, the President announced the 27 States that shared in the first year High Performance Bonus awards of \$200 million.

Additionally, ACF selected four key measures as High Impact Agency goals, part of a government-wide effort to focus on results. The establishment of these goals has more intensively focused our efforts with partners and has proven to be an incentive for improving State management and administrative data systems. Because some of these measures are both Presidential initiatives and High Impact Agency goals, ACF has provided regular progress reports to both the Department and the National Partnership for Reinventing Government. These four measures include the following target information in the most recent status report:

1. Increase self-sufficiency for low-income families by moving one million welfare recipients into new employment by FY 2000.
  - For FY 1998, 46 states reported 1.3 million job entries. The job entry data for the TANF program indicates that we met the goal.
2. Increase parents' financial support for their children by increasing the amount of total child support collections to \$20.8 billion by October 2000, an increase of 75% over FY 1996 and 160% over 1992.
  - Preliminary data indicates that \$15.5B collections were received in total child support for FY 1999.
3. By 2000, consistent with the President's adoption goal for 2002, increase the number of children who are adopted from the public foster care system to 46,000.
  - Adoptions increased from 28,000 in FY 1996 to 36,000 in FY 1998.
4. Streamline more than 30 separate grant programs into a single comprehensive system of electronic processing and transfers to benefit grantees by more timely and efficient grants processing, more accurate data, less down time and enabling quicker start-up. This improvement will also overcome the Year 2000 programming flaw embedded in current grant programs.
  - Thirty-seven systems were replaced by a single comprehensive system of electronic processing.

### **Summary of performance challenges**

The diversity of programs, target populations, levels of government, and range of partners makes efforts to establish and achieve goals and outcome measures extremely challenging. While ACF changed the way it measures the success of programs; it also implemented a major shift in the way it does business with partners. A changing role with States and grantees allowed ACF to re-examine the culture of the agency in ways that accelerated major reforms in many programs. In order to focus on the results, ACF simultaneously worked on correcting performance information, and strengthened partnerships with States and grantees through the development of agreed-upon goals, measures and targets.

Nevertheless, it is difficult to create in a short period of time a mature set of performance goals and data collection strategies for our many new and revised programs. It takes considerable time to bring partners to the table, develop shared priorities and goals, and address weaknesses in data collection and shortcomings of available measures. Moreover,

there is risk and uncertainty for all participants in measuring outcomes. Finally, the lack of readily available information and the restrictions on data collection inhibit performance measurement. Therefore, making new investments in data collection and information systems are a key priority. Many of these outcomes are accomplished over time and cannot be attributed to a particular budget year.

## • PART II: PROGRAM PLANNING AND ASSESSMENT

ACF's program efforts are carried out through partnership with the State, local and Tribal governments and non-profit/private sector grantees that implement its programs. Social research, demonstration and evaluation programs are directed at developing reliable knowledge to support program policies, learning about effects on children and families, identifying paths to program quality improvement, and discovering better ways to conduct technical assistance, disseminate information, and deliver effective services.

Performance goals (outcome, intermediate outcome, output, and process) have been stated under the program sections throughout the eight strategic program objectives and two management improvement objectives in this plan. This approach provides a framework for individual programs and program activities to collaborate and direct their efforts to achieve ACF-wide cross-cutting program goals. This framework enables ACF partners in State, Tribal and local governments and nonprofit and private agencies to use the various program resources within ACF to focus on early childhood enrichment and economic and social well-being and productivity of families. In most cases, the performance indicators are clearly embedded within the performance goal/measure. "Data sources" under the various measures refer to OMB-approved program data collection instruments. The programs, which support each of the goals and objectives, are listed below:

### **Strategic Goal 1: Increase economic independence and productivity for families**

1. *Increase employment*  
Temporary Assistance for Needy Families  
Developmental Disabilities: Employment  
Refugee Resettlement  
Social Services Block Grant
2. *Increase independent living*  
Developmental Disabilities: Housing  
Assets for Independence
3. *Increase parental responsibility*  
Child Support
4. *Increase affordable child care*  
Child Care: Affordability

### **Strategic Goal 2: Improve healthy development, safety and well-being of children and youth**

5. *Increase the quality of child care to promote childhood development*  
Child Care: Quality  
Head Start
6. *Improve the health status of children*  
Head Start: Health Status
7. *Increase safety, permanency, and well-being of children and youth*  
Child Welfare  
Developmental Disabilities: Education  
Developmental Disabilities: Health  
Youth Programs

**Strategic Goal 3: Increase the health and prosperity of communities and Tribes**

- 8. *Build healthy, safe and supportive communities and Tribes*
  - Community Services Block Grant
  - Family Violence Prevention Program
  - Low-Income Home Energy Assistance
  - Native Americans Programs

**Strategic Goal 4: Build a results-oriented organization**

- 9. *Streamline ACF organizational layers*
- 10. *Improve automated data and management systems*

In many cases, baselines will have been established in either FY 1998 or FY 1999 for the FY 2001 measure. ACF will be in a better position to discuss the availability and validity of the data after we review and verify the results from the various States and grantees for the FY 1999 plan.

Program research and evaluations will continue to focus on measuring and understanding the effects of ACF programs on children and families and providing information to design and improve the results of those programs, as well as informing performance measurement methodologies.

Because ACF is interested in trends of improvement over time, measured against a carefully-chosen starting point, many (though not all) of the baseline choices in the following section are likely to remain the same in subsequent annual editions of this plan, rather than rolling forward to a new baseline year. Such baseline stability is important if, for example, the baseline year has been selected because it indicates when a new program initiative, statute or rule begins to have a measurable effect with reliable data.

<b>STRATEGIC GOAL 1: INCREASE ECONOMIC INDEPENDENCE AND PRODUCTIVITY FOR FAMILIES</b>
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**Rationale**

Economic independence and self-sufficiency are central to families being able to lead stable and productive lives. Achieving this goal is dependent upon assisting welfare-dependent individuals and recently-arrived refugees to obtain sustained employment through appropriate work requirements and time-limited assistance. Strategies to increase income and other essential supportive services through provision of affordable child care and enforcement of child support are essential to assuring that children are not living in poverty and that they are adequately cared for while their parent(s) are working.

The job market, economic cycles, changing demographics, and the mores of family formation and child bearing (e.g., rates of divorce, which create the need for child support or the incidence of out-of-wedlock teen pregnancies, which increase the caseloads of hard-to-serve welfare recipients) influence outcomes under this goal. Such economic and social factors influence people's ability to find work, meet their families' needs and support obligations, and achieve self-sufficiency.

For nearly all the "economic independence" programs, State welfare reform decisions will also have a significant impact on program directions and results. ACF is constantly in dialogue with its partners to learn their objectives and share knowledge about practices that improve results.

**The objectives and major program areas under this goal are:**

1. *Increase employment*
  - Temporary Assistance for Needy Families
  - Developmental Disabilities: Employment
  - Refugee Resettlement
  - Social Services Block Grant (SSBG)
2. *Increase independent living*
  - Developmental Disabilities: Housing
  - Assets for Independence
3. *Increase parental responsibility*
  - Child Support
4. *Increase affordable child care*
  - Child Care

***1. Increase employment***

**Approach for the Strategic Objective:** Increase employment and economic independence by reducing reliance on public welfare programs, providing job training and encouraging job creation. Focus on the abilities and skills of individuals, enabling them to be more self-sufficient and to pursue jobs in their communities.

**TEMPORARY ASSISTANCE FOR NEEDY FAMILIES**

**Program Description, Context, Legislative Intent and Broad Program Goals**

On August 22, 1996, President Clinton signed "The Personal Responsibility and Work Opportunity Reconciliation Act of 1996," or PRWORA, into law—a comprehensive, bipartisan welfare reform plan that dramatically changed the nation's welfare system into one that requires work in exchange for time-limited assistance. The Temporary Assistance for Needy Families (TANF) program replaced the former Aid to Families with Dependent Children (AFDC) and Job Opportunities and Basic Skills Training (JOBS) programs, ending the Federal entitlement to assistance. In TANF, States and territories operate programs, and Tribes have the option to run their own programs. (See the paragraph on Tribal TANF under Objective 8 in the section on Native Americans Programs.) States, territories, and Tribes each receive a block grant allocation with a requirement on States to maintain a historical level of State spending known as maintenance of effort. The block grant covers benefits, administrative expenses, and services. States, territories, and Tribes determine eligibility and benefit levels and services provided to needy families.

ACF provides leadership to help State and Tribal governments as they design and implement their programs and move clients from welfare to work, while protecting the

well-being of children through child care and other services. PRWORA gives States great flexibility to design their TANF programs in ways that promote work, responsibility, and self-sufficiency and strengthen families. Except as expressly provided under the statute, the Federal government may not regulate the conduct of States. States may use TANF funding in any manner "reasonably calculated to accomplish the purposes of TANF." These purposes are: to provide assistance to needy families so that children can be cared for in their own homes; to reduce dependency by promoting job preparation, work and marriage; to prevent out-of-wedlock pregnancies; and to encourage the formation and maintenance of two-parent families.

The nation has an enormous stake in this new approach to public assistance. ACF is committed to working with States to promote work, personal responsibility, and self-sufficiency in ways that will strengthen families. Specifically, we will develop reliable information on effective ways to do this, facilitate communication across States, identify best practices, promote peer technical assistance, and offer expert technical assistance.

A concerted effort also is underway to find jobs for welfare recipients in HHS and to challenge other agencies and the private sector to hire welfare recipients. Partnerships are being forged with health care providers and others to develop job opportunities. Attention is being given to removing barriers to work for welfare recipients who are victims of domestic violence, have developmental disabilities, or have serious personal or family problems which interfere with their ability to work.

#### SUMMARY OF FY 1999 PERFORMANCE

The TANF performance measures are developmental. ACF has no FY 1999 performance data to report since States are given up to 11 months to provide data for each quarter. Past performance is not comparable because the performance measures used to track progress in the AFDC program, which was supplanted by the TANF program, are substantially different from those ACF established for the TANF program. For example, the JOBS "work participation" measures/standards only applied to about one-half of the AFDC caseload, the activities that counted toward participation were different and the performance standard were less rigorous. In FY 1995, almost all States met the 20 percent all family JOBS participation rate standard. States were less successful with the Unemployed Parent (UP) participation standards under JOBS. The UP participation standards were 50 percent in FY 1995 and 60 percent in FY 1996. Only 24 States met the standard in FY 1995 and 25 States met the standard in FY 1996. Since Congress allowed the States to phase in the implementation of the TANF program beginning in FY 1999, ACF does not have AFDC/JOBS performance data for all states for FY 1997.

PRWORA established mandatory work requirements and minimum annual work participation rate standards. States were subject to these standards beginning in July 1997 or six months after the State implemented the TANF program. The minimum work participation rate standards for FY 1998 are 30 percent for the all families rate and 75 percent for the two-parent families rate. All States and the District of Columbia met or exceeded the FY 1998 all families rate. Of the 44 States that had two-parent families in their TANF program, 29 met or exceeded the FY 1998 two-parent rate. The national

average rates for all families and two-parent families are 35.4 percent and 42.3 percent respectively.

The TANF performance measures of job entry, employment retention and employment earnings gain rate were not measures that were collected under the AFDC program. ACF did collect information on families with earnings. This data indicates an increasing percentage of AFDC/TANF families with earned income. Performance under this measure has increased from 9 percent in FY 1994 to 23 percent in FY 1998.

ACF's goal under the Vice President's National Partnership for Reinventing Government "High Impact Agency" initiative was to increase self-sufficiency for low-income families by moving one million welfare recipients into new employment by 2000. For FY 1998, 46 States reported 1.3 million job entries. This High Performance Bonus job entry data for the TANF program indicates that the new employment goal was met.

### Summary Table

Performance Goals	Targets	Actual Performance	Reference
<p>1a. In FY 2001, all States meet the TANF work participation rates:</p> <ul style="list-style-type: none"> <li>All family rate=35% work participation</li> </ul> <p>FY 2000 All families rate=40% work participation</p> <p>FY 2001 All families rate= 45% work participation</p> <p>Two parent families rate=90% work participation</p>	<p>FY 01: 100%</p> <p>FY 00: 100%</p> <p>FY 99: 100%</p> <p>FY 01:100%</p> <p>FY 00:100%</p> <p>FY 99: 100%</p>	<p>FY 01:</p> <p>FY 00:</p> <p>FY 99:</p> <p>FY 98:100%</p> <p>FY 01:</p> <p>FY 00:</p> <p>FY 99:</p> <p>FY 98: 66%</p>	Px 19
<p>1b. In FY 2001, increase the percentage of adult TANF recipients who become newly employed from the FY 1998 baseline year of 38.6% to 43%. **</p>	<p>FY 01: 43%</p> <p>FY 00: 42%</p> <p>FY 99: N/A</p>	<p>FY 01:</p> <p>FY 00:</p> <p>FY 99:</p> <p>FY 98:38.6%</p>	Px 19
<p>1c. In FY 2001, increase the percentage of adult TANF recipients/former recipients employed in one quarter of the year who continue to be employed in the subsequent quarter from the FY 1998 baseline year of 80% to 84%.</p>	<p>FY 01: 84%</p> <p>FY 00: 83%</p> <p>FY 99: N/A</p>	<p>FY 01:</p> <p>FY 00:</p> <p>FY 99:</p> <p>FY 98: 80%</p>	Px 19
<p>1d. In FY 2001, increase the percentage rate of earnings gained by employed adult TANF recipients/former recipients between a base quarter and the second subsequent quarter from the FY 1998 baseline year of 23.1% to 28%.</p>	<p>FY 01: 28%</p> <p>FY 00: 27%</p> <p>FY 99: N/A</p>	<p>FY 01:</p> <p>FY 00:</p> <p>FY 99:</p> <p>FY 98:23.1%</p>	Px 19

<b>Availability of FY 1999 Data:</b> Final performance level data for FY 1999 will be available approximately 15 months after the end of the FY. States are being given up to 11 months to provide data for each quarter. Time will be needed for validation and verification of the data.		
<b>Total Funding</b>	FY01: \$16696.3 FY00: \$16906.3 FY99: \$17186.2	Bx: budget just. section Px: page # performance plan **High Impact Agency goal

**Program activities, strategies and resources**

Economic independence and productivity of families is a key strategic goal that Congress wanted to achieve in the creation of TANF. Beyond providing States with flexibility in program design and funding, Congress established work participation performance standards and created a High Performance Bonus (HPB) incentive system to facilitate the achievement of this goal. Under the HPB guidance issued March 17, 1998 and August 13, 1998 (covering performance in FY 1997 and FY 1998), the focus is on newly-employed recipients and retention rates and earnings gain rates of employed recipients and former recipients. Participation in the HPB is voluntary so that ACF does not have data from all States. However, 46 States submitted data for FY 1999 bonus award. 42 States submitted data for FY 1997 to compete for the improvement measures.

PRWORA provides for financial penalties for not meeting the work participation targets and rewards for high performance and significant improvement. ACF is identifying model welfare-to-work programs and strategies and providing this information to States. ACF will also seek to increase the availability of jobs for TANF recipients both in the private and public sectors, including Federal entry level jobs.

Achieving economic independence for many TANF families begins with either direct job search or eliminating barriers to employment, e.g., lack of basic skills, and proceeds to acquiring job experiences, a private sector job, increased wages, and eventually self-sufficiency. ACF believes that there are three key elements in this process: getting a job, retaining the job, and earnings progression. ACF proposes the following measures and performance targets for the FY 2001 annual performance plan.

**PERFORMANCE GOALS**

ACF has had extensive consultation with States and other customers/partners for the purpose of developing regulations on work participation standards, the HPB, and the TANF data collection system. Consultation is continuing. A final rule, covering TANF work participation standards and data reporting requirements was published on April 12, 1999. A Notice of Proposed Rulemaking governing the FY's 2002 and 2003 high performance bonus awards was published December 6, 1999.

Note: ACF views the work participation rate as a process measure and the other work measures as interim outcome measures. The first year bonus guidance did not produce any (preliminary) data until December 1998 with final quarterly data submitted in August 1999. Moreover, until there has been more program history, targets are somewhat speculative.

- 1a. FY 2000: All States meet the TANF work participation rates for FY 2000:**
- All families rate: 40%
  - Two parent families rate: 90%

**FY 2001: All States meet the TANF work participation rates for FY 2001:**

- All families rate: 45%
- Two parent families rate: 90%

- 1b. FY 2000: Increase the percentage of adult TANF recipients who become newly employed from the FY 1998 baseline year of 38.6% to 42%. (See “high impact” goal in Section A-5 of the Appendix.)**

**FY 2001: Increase the percentage of adult TANF recipients who become newly employed from the FY 1998 baseline year of 38.6% to 43%. (See “high impact” goal in Section A-5 of the Appendix.)**

- 1c. FY 2000: Increase the percentage of adult TANF recipients/former recipients employed in one quarter of the year who continue to be employed in the subsequent quarter from the FY 1998 baseline year of 80% to 83%.**

**FY 2001: Increase the percentage of adult TANF recipients/former recipients employed in one quarter of the year who continue to be employed in the subsequent quarter from the FY 1998 baseline year of 80% to 84%.**

- 1d. FY 2000: Increase the percentage rate of earnings gained by employed adult TANF recipients/former recipients between a base quarter and the second subsequent quarter from the FY 1998 baseline year of 23.1% to 27%.**

**FY 2001: Increase the percentage rate of earnings gained by employed adult TANF recipients/former recipients between a base quarter and the second subsequent quarter from the FY 1998 baseline year of 23.1% to 28%.**

Data Sources: see discussion under “Data Sources, Verification, and Validation,” below

The work participation performance targets for FY 1999 through FY 2001 were established by Congress. All States met the all families work participation target for FY 1998 (35%). ACF believes that States can meet the higher all families’ targets for the subsequent years. However, only 29 of 44 States with two-parent family programs met the FY 1998 two-parent target rate of 75 percent. The two-parent participation target rate increases to 90 percent for subsequent years. States have the option to move their two-parent cases into a separate State program and thus avoid the two-parent work participation requirements.

While some States have exercised this option, the statutory two-parent participation target of 90 percent remains a rigorous standard.

ACF has modified the work performance goal descriptions to reflect percentage increase in performance rather than numeric changes and has established only modest increases in target levels for FY 1999 through FY 2001. These actions were taken for the following reasons. The performance achieved by the States in FY 1998 under the job entry, retention and earnings gain rate measures reflects a substantial accomplishment. Given the continuing decline in the TANF caseload (13 percent decline between FY 1998 and FY 1999), the absolute performance numbers are likely to decline thus making use of numeric changes unrealistic. In addition, while there is increasing evidence that the remaining TANF population has more barriers to employment, it is not clear that substantial increased performance is achievable.

#### OPERATIONAL PROCESSES, SKILLS, TECHNOLOGIES AND RESOURCES

ACF is implementing a wide range of projects to help States produce the desired outcomes. These projects include:

- Marketing a culture change prototype, to encourage local offices to help clients move from welfare-to-work;
- Convening State officials to identify their agencies' technical assistance needs;
- Developing a catalog and other sources of innovative practices;
- Sponsoring research and convening conferences to discuss promising practices in the area of welfare-to-work and workforce investment; and
- Conducting and encouraging training on the need for welfare agencies to draw on the broader resources of other government agencies, the private sector, and community-based organizations.

With these projects in mind, ACF is continuing to improve its performance by training employees in marketing, negotiating, and consulting, using automated technology, data bases, and electronic communication and by implementing team-based work procedures.

#### EXTERNAL INFLUENCES

With the primary responsibility for welfare reform now lodged in the States, and in a number of cases in counties and cities, ACF's ability to unilaterally affect goal achievement is limited. ACF will work in partnership with State and local governments toward achieving the goal.

The health of the economy could have a major effect on the achievement of this goal. Traditional business cycles have varying effects across geographic areas and sectors of the economy. Historically, some groups in the labor force (e.g., women who head families, minorities, and women without high school diplomas) are much more vulnerable to unemployment than the population as a whole. Unemployment rates among these groups remain about two to three times the overall rate, even during periods of economic recovery.

## INTERNAL AND EXTERNAL COORDINATION

Extensive coordination is underway throughout HHS on initiatives concerning welfare and employment. ACF and the Office of the Assistant Secretary for Planning and Evaluation are co-lead agencies. Participating agencies are: the Health Care Financing Administration, the Health Resources and Services Administration, the Administration on Aging, the Office of the Assistant Secretary for Public Health, the Substance Abuse and Mental Health Administration, the Agency for Health Care Policy and Research, the Centers for Disease Control and Prevention, the National Institutes of Health, the Office of Civil Rights, the Office of the Assistant Secretary for Management and Budget, the Office of the Assistant Secretary for Public Affairs, the Office of Intergovernmental Affairs, and the Office of the Assistant Secretary for Legislation.

In addition to HHS's own programs and initiatives, HHS will be coordinating its efforts with other complementary Federal and national efforts. Under the Welfare-to-Work program, jointly administered by HHS and the Department of Labor (DOL), DOL awarded grants totaling \$3 billion to State and local entities in 1998 and 1999. The program requires that at least 70 percent of the funds be targeted to current and former TANF recipients and others; up to 30 percent of the Welfare to Work funds be spent on persons at high risk for long-term dependency; and funds be used for job creation, wage subsidies, on-the-job training, and employment support and follow-up. Under the Consolidated Appropriations Act for FY 2000, the Department of Labor has sole responsibility for financial and participant reporting.

Finally, the Welfare-to-Work Partnership is a non-partisan non-profit effort created to lead the business community's efforts to help move those on public assistance into jobs in the private sector. HHS will need to track and coordinate with these initiatives in order to ensure the most effective use of resources for those in transition from welfare.

## DATA SOURCES, VERIFICATION, AND VALIDATION

There are two possible data sources for measuring the proposed performance targets. The first is TANF administrative data. The statute directs the Secretary to collect aggregated data (caseload summaries) and disaggregated data (by individual and family) on the TANF program quarterly. ACF has developed an automated TANF data reporting system to collect this information. This system was modified to collect data under the TANF final rule effective October 1, 1999. The TANF work participation data is also collected through this system. The consistency and validity of this State reported data is assessed through system edits and consistency checks, special data computation runs, and data trend analysis. Within limited resources, ACF will be assessing the source data for the information supplied by States.

With respect to the employment measures, States have been given the option for the first year of the HPB to collect this information through their administrative records or State Unemployment Insurance agency wage records (UI) or both. Most States are using UI information with some supplementation with administrative record data. ACF has conducted a study using data from ten States to assess the viability of using UI wage data for the HPB performance measures. ACF concluded that this database has a high degree of

consistency and reliability across States, the costs are reasonable, and there is sufficient technical support to facilitate the data matches.

On December 6, 1999, ACF issued proposed regulations governing FY 2002 and FY 2003 bonus awards. Under these proposed rules, States would have the option of providing work performance data based on quarterly matches with State Unemployment Insurance data or information on TANF adult recipients. National data matches would use the National Directory of New Hires database.

## **DEVELOPMENTAL DISABILITIES (GENERAL)**

### **Program Description, Context, Legislative Intent and Broad Program Goals**

There are nearly four million Americans with developmental disabilities. Developmental disabilities are severe, chronic disabilities attributable to mental and/or physical impairment which manifest before age 22 and are likely to continue indefinitely. They result in substantial limitations in three or more areas: self-care, receptive and expressive language, learning, mobility, self-direction, capacity for independent living, and economic self-sufficiency, as well as the continuous need for individually planned and coordinated services.

The major goal of the programs is to assist people with developmental disabilities to reach maximum potential through increased independence, productivity, and community integration. ACF's partnerships with State governments, local communities, and the private sector address all elements of the life cycle: prevention, diagnosis, early intervention, therapy, education, training, employment, and community living and leisure opportunities.

In ACF, the Administration on Developmental Disabilities (ADD) and its partners in the developmental disability (DD) community have been participating in the development of the "Roadmap"—six program goals and four program-specific outcome measurement areas. The first goal (Employment) is discussed in this section of the GPRA performance plan. Other goals appear in appropriate sections later in this plan.

ACF's DD grantee partners fall into four complementary groups. Each serves individuals with developmental disabilities and their families in a non-duplicating, unique, and interlocking way:

- Developmental Disability Councils (DDC) in each State promote, through systemic change, capacity building, and advocacy services, a State-wide, consumer and family-centered, comprehensive system and a coordinated array of services, supports, and other assistance for individuals with developmental disabilities and their families;
- Protection and advocacy (P&A) systems in each State protect the legal and human rights of individuals with developmental disabilities;
- University Affiliated Programs (UAP) provide interdisciplinary pre-service preparation of students and fellows, community service activities, and the dissemination of information and research findings; and

- Projects of National Significance (PNS) provide funding through grants and contracts that support the development of national and State policy to enhance the independence, productivity, and integration and inclusion in their communities of individuals with developmental disabilities.

ACF and its DD partners have worked together in a consensus-building process to develop a wide range of measures, grouped within agreed-upon categories, that all partners could accept as representative, when taken as a whole, for their programmatic interventions. These numerous measures were then incorporated into program reporting instruments, to permit accumulation nation-wide, of future-year targets and past-year actual performance for DD's State-based programs. Among these, the few most programmatically significant measures were selected to be reported in this performance plan. DD partners in the States are continuing to develop experience with projecting future-year targets and collecting accurate data for past-year performance.

ADD performance measure targets and data on actual performance levels are not generated by ADD, but rather are generated by partners during their planning processes and in their data collection efforts. The targets generated by P&As and UAPs are acquired on an annual basis from their planning processes, and are typically available in September preceding the fiscal year for which the target applies. The targets generated by DDCs are acquired on a triennial basis, with annual updating. The next triennial period is FY 2001 to 2003, and the target data for that three-year period will be available by September 2000. Data on actual performance levels for a particular fiscal year are reported in annual program performance reports (PPRs), which are submitted in January of the following fiscal year.

#### SUMMARY OF FY 1999 PERFORMANCE

In FY 1999, all appropriated funding was made available to DD Councils and Protection and Advocacy systems in the States. University Affiliated Programs were funded, both for their core funding and also for their Training Initiative Projects. Under the Projects of National Significance, funding was provided for financial assistance for twenty-two family support model demonstration projects, and funding was also provided in three priority areas of this program. The priority areas are: "Ongoing Data Collection and Information Dissemination," "Breaking Through the Glass Ceiling to Attain First Class Citizenship," and "Reinventing Quality." In FY 1999, ADD leveraged \$2.1 million from its Federal partners in support of positive outcomes for people with developmental disabilities in terms of employment, housing, education, health, and community support as a result of ADD intervention. To ensure the quality of programs, ADD continued to provide technical assistance to its partners. During the year, ADD solicited data from its partners regarding their FY 1998 performance and their future year targets, which is an ongoing effort that ADD regards as a priority.

To facilitate submission and analysis of performance measure data by geographically dispersed partners, the Electronic Data Submission (EDS) system was developed. This system is now in place and will continue to be used during FY 2001. The system consists of an extranet, using Internet-based technology and password protection. The grantees of ADD submit their reports annually by accessing the Internet, at the following URL:

<https://extranet.acf.dhhs.gov>; they then enter a "Grants Extranet ID" and a password to access their portion of the extranet that contains the necessary data entry forms for their reports. These forms include all the necessary fields for submitting complete reports. When the filled-forms have been completed by a grantee, their reports are accessible to reviewers in ADD. When grantees' report is approved, it is locked into the ADD Management Information System (MIS). The data in the ADD MIS regarding ADD grantees and programs is then available to ADD staff through report generating software. Because grantee submissions can be analyzed quickly and accurately, and readily compared with target data, these automated systems will enable ADD to more effectively track data and identify anomalies that require correction by grantees.

Individual States are responsible for planning their own goals in the developmental disabilities programs. Consequently an individual State may select a particular performance goal, and provide target data and performance data on the associated performance measures. From year to year, the number of States that report target or performance data for a particular performance measure may vary somewhat.

## DEVELOPMENTAL DISABILITIES (EMPLOYMENT)

### Summary Table

Performance Goals	Targets	Actual Performance	Reference
<p>Program Goal: Increase entry into and retention of employment for people with developmental disabilities consistent with their interests, abilities, and needs.</p> <p>1e. In FY 2001, increase to 9,700 the number of adults with developmental disabilities who obtain integrated jobs as a result of DD program intervention.</p>	<p>FY 01: 9,700  FY 00: 9,517  FY 99: 9,517</p>	<p>FY 01:  FY 00:  FY 99:  Baseline  FY 98: 9,665  FY 97: 6,945</p>	Px 25
<p>1f. In FY 2001, increase to 4,400 the number of businesses/ employers that employ and support people with developmental disabilities as a result of DD program intervention.</p>	<p>FY 01: 4,400  FY 00: 4,353  FY 99: 4,353</p>	<p>FY 01:  FY 00:  FY 99:  Baseline  FY 98: 1,198  FY 97: 824</p>	Px 25
<p>1g. In FY 2001, increase to \$2.7 million the dollars leveraged from ADD's Federal partners in support of positive outcomes for people with developmental disabilities in terms of employment, housing, education, health, and community support as a result of ADD intervention.</p>	<p>FY 01: \$2.7  FY 00: \$2.4  FY 99: \$3.5*</p>	<p>FY 01:  FY 00:  FY 99: \$2.1  FY 98: \$2.6  FY 97: \$2.6</p>	Px 25-26

<b>Availability of FY 1999 Data:</b> Actual performance level data for FY 1999 is expected to be available in March 2000.		
*ADD fell short in reaching its FY 1999 target of \$4.0 million dollars leveraged from Federal partners. Unforeseen challenges in identifying mutual opportunities with Federal partners have delayed realization of leveraging targets. These delays are anticipated to result in reduction of later year targets as well.		
<b>Total Funding includes all ADD programs</b>	FY 01: \$122.8 FY 00: \$122.8 FY 99: \$119.7	Bx: budget just. section Px: page # performance plan

**PERFORMANCE GOALS**

The DD employment goal is: “Increase entry into and retention of employment for people with developmental disabilities consistent with their interests, abilities, and needs.” This goal includes the following outcomes: “Students with developmental disabilities have vocational supports while in school and on the job, receive assistance in identifying and planning careers, and have access to employment and other work experiences including post-secondary opportunities that accommodate students with disabilities. Adults with developmental disabilities have job choices and career opportunities that are integrated, accessible, equitable, and supported. Employers are well informed of the capabilities of individuals with disabilities and about support practices and accommodations.”

*1e. FY 2000: Maintain at the FY 1999 target level of 9,517 the number of adults with developmental disabilities who obtain integrated jobs as a result of DD program intervention.*

*FY 2001: Increase to 9,700 from the FY 1999 target of 9,517 the number of adults with developmental disabilities who obtain integrated jobs as a result of DD program intervention.*

Data source: DDC annual Program Performance Report (PPR)

*1f. FY 2000: Maintain at the FY 1999 target level of 4,353 the number of businesses/employers that employ and support people with developmental disabilities as a result of DD program intervention.*

*FY 2001: Increase to 4,400 from the FY 1999 target of 4,353 the number of businesses/employers that employ and support people with developmental disabilities as a result of DD program intervention.*

Data source: DDC annual Program Performance Report (PPR)

*1g. FY 2000: Increase to \$2.4 million from the FY 1999 actual of \$2.1 million dollars leveraged from ADD's Federal partners in support of positive outcomes for people with developmental disabilities in terms of employment, housing, education, health, and community support as a result of ADD intervention.*

***FY 2001: Increase to \$2.7 million the dollars leveraged from ADD's Federal partners in support of positive outcomes for people with developmental disabilities in terms of employment, housing, education, health, and community support as a result of ADD intervention.***

Data source: ADD administrative records

## OPERATIONAL PROCESSES, SKILLS, TECHNOLOGIES AND RESOURCES

To achieve desired outcomes and meet the Roadmap goals, DD programs and ACF will use approaches consistent with their complementary missions. Therefore, DDCs that assist in the development of comprehensive and coordinated service delivery systems through systemic change, capacity building, and advocacy activities will employ strategies that include demonstration of new approaches, outreach training, public education, and informing policy makers. P&As will use strategies that protect the human and legal rights of individuals with developmental disabilities. These include legal, administrative, and other remedies, information and referral, investigating incidents of abuse and neglect, educating policy makers, etc. UAPs will provide interdisciplinary training for professional and direct care personnel, community services, technical assistance, and will disseminate information and research findings. The PNS program provides ACF with the opportunity to focus funds on emerging areas of concern for individuals with developmental disabilities, their families, the DD program components, and other interested public and private non-profit entities.

To facilitate submission of performance measure data by geographically dispersed partners and to analyze it to create a unified national picture, an electronic data submission system is now in place and will continue to be used during FY 2001.

## EXTERNAL INFLUENCES

States, State and local school systems and the network of related services providers must be able to sustain their commitment if State targets are to be achieved. For example, to meet employment goals for working age adults with developmental disabilities, jobs will need to be available for those who are qualified. This will depend, in large part, on economic conditions in States and localities. (Similar outside influences and constraints apply in one way or another to health, housing, community support, and education.)

## INTERNAL AND EXTERNAL COORDINATION

To improve and enhance services for children with developmental disabilities and their families, ACF will coordinate closely with the Social Security Administration and the Department of Education. Collaboration within HHS among the Health Care Financing Administration, the Health Resources and Services Administration, and ACF is essential. Regarding employment for working age adults, the same internal partners coordinate with the Departments of Labor and Transportation. In both cases, participation by special committees, such as the President's Committee on Mental Retardation and the President's Committee on Employment of People with Disabilities, will enhance the effort. State Medicaid and human service agencies are essential partners, and the public schools and community services

networks will assist as well. Finally, the private sector has the potential to employ individuals with disabilities, to the ultimate advantage of both employees and employers.

## DATA SOURCES, VERIFICATION, AND VALIDATION

Verification and validation of data will occur through ongoing review and analysis of annual electronic reports, technical assistance site visits, and input from individuals with developmental disabilities and their families and other partners. Interagency agreements and memoranda of understanding will provide the data for the last set of measures, (1g) “dollars leveraged”.

Various data sources are used to report on program targets and program outcomes, such as annual program performance reports, planning reports, and administrative records. These sources will be tracked through the Electronic Data Submission (EDS) system. The ADD MIS system based on the results from the EDS will be used to compare targets and actual performance of ADD partners. When anomalies and variations from expected targets appear, ADD will work with individual partners to either improve the reported outcomes and to gain insight into the reason for an anomaly, both directly and with help from technical assistance contractors. Partners may be requested to pursue corrective actions to ensure that present and future data are valid.

## REFUGEE RESETTLEMENT

### **Program Description, Context, Legislative Intent and Broad Program Goals**

ACF provides assistance and services to persons admitted to the United States as refugees, asylees, Cuban or Haitian entrants and Amerasian immigrants. The major program goals are to provide resources and technical assistance to States and other grantees in order to help refugees achieve economic self-sufficiency and social adjustment within the shortest time possible following their arrival in the U.S.

Federal resettlement assistance to refugees is provided primarily through a State-administered refugee resettlement program. States provide transitional cash and medical assistance and social services to refugees, as well as maintaining legal responsibility for the care of unaccompanied refugee children.

ACF’s Office of Refugee Resettlement (ORR) provides funding for a broad range of social services to refugees, both through States and in some cases through direct service grants, for the purpose of helping refugees to obtain employment and achieve economic self-sufficiency and social adjustment as quickly as possible. After deducting set asides mandated by Congress, ORR, as in previous fiscal years, allocated 85 percent of the social service funds on a formula basis.

ORR also provided funds to State-administered programs for special social services for refugees receiving cash assistance under the TANF program. Although the goals of the TANF program are closely aligned with ACF’s goal of early employment and self-sufficiency for refugees, State TANF programs are generally designed for mainstream recipient populations. Unlike most TANF populations, refugees new to the U.S. require

extensive and sometimes repeated orientation in the American work culture and the expectation of American employers. This orientation and acculturation must be conducted in the native language of the refugee, but few TANF programs are designed to provide such specialized orientation. To assist TANF recipients in FY 1998, ORR provided \$10 million to States to allow an estimated 33,366 refugee TANF recipients to meet their TANF work activities in the existing refugee service system.

For FY 2001, ACF is requesting an increase of \$4.5 million to provide cash and medical assistance and employment services for refugees and \$2.5 million for victims of torture.

## SUMMARY OF FY 1999 PERFORMANCE

Currently, ACF is in the process of reviewing and validating FY 1999 annual performance data. It is not possible to predict accurately whether FY 1999 program targets will be met. Final annual performance data for FY 1999 will be available by May 2000. In FY 1999, there was a larger than usual bulge in refugee arrivals during the spring and early summer months due to the Kosovo crisis. Outcomes for summer refugee arrivals were not reported until December 1999. ACF is confident that our partners will make every effort to meet the established targets, however, it is uncertain how many Kosovo refugees will elect to return to Kosovo and how many will stay in the U.S. to participate in our employment programs and services. This year presents a unique set of circumstances and challenges for States with significant numbers of Kosovar refugees. The restoration of peace in Kosovo presents an option for Kosovo refugees to stay in the U.S. or return to Kosovo. This situation is without precedent in the refugee resettlement program. ACF is therefore unable to predict the impact that this unique set of circumstances will have on State's performance for FY 1999.

### **Discussion of FY 1998 Performance in the State-Administered Program**

ORR tracked State and county performance throughout the year. Performance for FY 1998 (the most recent complete data available) was as follows:

**Entered Employments** totaled 52,298, an 11 percent rise from the number recorded in FY 1997 (46,800). The FY 1998 target was 54,112.

**Terminations due to Earnings** totaled 14,005, a 6 percent decline from FY 1997 (14,948). The FY 1998 target was 20,361.

**Reductions due to Earnings** totaled 8,808, a 39 percent rise from FY 1997 (5,411). The FY 1998 target was 8,845.

**Average Wage At Placement** (\$6.91) rose 6 percent from FY 1997 (\$6.49). The FY 1998 target was \$6.56.

**Employment Retentions** (38,040) exceeded FY 1997 (34,409) by 10 percent. The FY 1998 target was 40,917.

**Entered Employments with Health Benefits** reached 27,124, a 7 percent rise from FY 1997 (25,187). The FY 1998 target was 31,291.

These performance measure outcomes must be viewed in the overall context of increasing arrival numbers. The number of new arrivals in FY 1998 increased 11.87% over FY 1997. While the number of job placements increased by 11 percent, 73 percent of refugees who found employment retained their employment for ninety days, consistent with 74 percent in FY 1997. The number of cash assistance terminations declined by 6 percent in FY 1998. Fifty-one percent of full-time placements offered health insurance compared with 68 percent the year before.

Twenty-two States and seven California counties exceeded their placements from last year. Arizona, Maine, Vermont, and West Virginia exceeded their placement last year by more than a third, as did Los Angeles, Orange and San Francisco counties.

Twenty-eight States and five California counties increased the number of cash assistance terminations over the previous year. Two States (Nebraska and New Hampshire) reported that every job placement terminated assistance, while in North Dakota, all but seven of its 336 placements did.

Twenty-six States and six California counties improved the job retention rate over the previous year. In 28 States and 4 counties, more than three-quarters of job placements were retained for 90 days or more. Retention rates of over 90 percent were reported in Alabama, Arkansas, Colorado, Idaho, Kansas, Missouri, Nebraska, New Hampshire, North Dakota, Pennsylvania, South Dakota, Utah, Vermont and Wisconsin. Among larger States, retention rates exceeded 80 percent in Arizona, Georgia, Oregon and Texas. Among California counties, Contra Costa, Fresno, Los Angeles and Stanislaus recorded high rates of retention.

FY 1998 saw significant improvement in the quality of jobs found for refugees. Forty-two States and ten California counties reported higher wages at placement than in FY 1997. New York (\$8.48), South Dakota (\$8.77), and San Francisco County (\$8.09) reported the highest average wage at placement. Twenty other States reported average wage at placement of \$7.00 or above, compared with only seven the year before.

Refugees found employment not only at higher wages, but also with more benefits. Twenty-five States and seven California counties increased their rates of health benefit availability over FY 1997. Arkansas found health insurance for all 12 of its 12 job placements (100 percent) and Rhode Island found health insurance for 28 of its 29 job placements (97 percent). Four other States – Arizona, Colorado, Ohio and South Dakota reported that at least 90 percent of its entered employments included health benefits. In nine other States, at least 80 percent of refugees found employment with health benefits available.

ORR also tracked the cost per job placement in each State and California County. This measure is the ratio of the total employment service funds used by the State for employment services divided by the number of entered employments recorded during the fiscal year. The State average unit cost was \$1,512 per job placement. The range was quite

wide, however, from a low of \$282 per placement (Missouri) to a high of \$5,283 per placement (Hawaii). In California counties, unit costs ranged from \$834 per placement (Orange) to \$5,060 per placement (San Francisco). California's overall average unit cost was \$1,805.

Some States earned favorable outcomes with a unit cost less than one-third of the national average: Indiana (\$346), Louisiana (\$391) and Iowa (\$531). Among larger States, Texas (\$724) recorded a good outcome and a low unit cost.

### Summary Table

Performance Goals	Targets	Actual Performance	Reference
1h. In FY 2001, increase the number of refugees entering employment through ACF-funded refugee employment services by at least 5% annually from FY 1997 actual performance of 46,800 to 56,885.	FY 01: 56,885 FY 00: 54,176 FY 99: 51,597	FY 01: FY 00: FY 99: FY 98:52,298 FY 97 46,800	Px 32
1i. In FY 2001, increase the number of entered employments with health benefits available as a subset of full-time job placements by 5% annually from the FY 1997 actual performance of 25,186 to 30,613.	FY 01: 30,613 FY 00: 29,156 FY 99: 27,767	FY 01: FY 00: FY 99: FY 98: 27,124 FY 97: 25,186	Px 32
1j. In FY 2001, increase the number of refugee cash assistance cases closed due to employment by at least 5% annually as a subset of all entered employments from the FY 1997 actual performance of 14,948 to 18,169.	FY 01: 18,169 FY 00: 17,304 FY 99: 16,480	FY 01: FY 00: FY 99: FY 98: 14,005 FY 97: 14,948	Px 32
1k. In FY 2001, increase the number of 90-day job retentions as a subset of all entered employments by at least 5% annually from the FY 1997 actual performance of 34,409 to 41,824.	FY 01: 41,824 FY 00: 39,833 FY 99: 37,936	FY 01: FY 00: FY 99: FY 98: 38,040 FY 97: 34,409	Px 32
1l. In FY 2001, increase the number of refugees who enter employment through the Matching Grant (MG) program as a percentage of all MG employable adults by at least 5% annually from the calendar year 1997 actual performance of 7,819 to 9,504.	CY 01: 9,504. CY 00: 9,051 CY 99: 8,620	CY 01: CY 00: CY 99: CY 98: 8,049 CY 97: 7,819	Px 32-33
1m. In FY 2001, increase the number of refugee families (cases) that are self-sufficient (not dependent on any cash assistance) within the first 4 months after arrival by at least 4% annually from the calendar year 1997 actual performance of 5,279 to 6,176.	CY 01: 6,176 CY 00: 5,938 CY 99: 5,710	CY 01: CY 00: CY 99: CY 98: 5,194 CY 97: 5,279	Px 33
Annual, unduplicated FY 1999 data is due from states 45 days after end of year, circa November 15. Individual state reports may be missing and time is needed to validate and verify the data. Final state data will be available in April 2000, final MG data in May 2000.			

<b>Total Funding</b>	FY 01: \$433.6 FY 00: \$454.8 FY 99: \$480.9	*Bx: budget just. section Px: page # performance plan
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## PERFORMANCE GOALS

ACF has developed outcome measures and establishes annual performance outcome goals (targets) on each of the six refugee program performance measures in partnership with States participating in the State-administered program of refugee resettlement. The outcome measures are aimed at increasing refugee early employment and self-sufficiency. States are required to make every effort to improve their outcomes each year over the previous year's performance. The outcome measures were agreed to by a workgroup comprised of State Refugee Coordinators and ACF in November 1994.

State-administered program outcome measures are:

- Entered employments (job placements)
- 90-day employment retentions
- Cash assistance terminations due to earnings
- Average hourly wage at placement
- Cash assistance reductions due to earnings
- Entered employments with health benefits available

ACF also requires nonprofit agencies participating in the Matching Grant Voluntary Agency Program to set outcome goals each year on five outcome measures negotiated with the Matching Grant agencies. These are:

- Entered employments (job placements)
- Self-sufficiency at 120 days (cases and persons)
- Self-sufficiency at 180 days (cases and persons)
- Average hourly wage at placement
- Entered employments with health benefits available

## STATE-ADMINISTERED PROGRAM

Specific program goals to be achieved in FY 2001 have been set on the four most critical of the six outcome measures. In the FY 2000 plan, a measure on “cash assistance reductions due to employment” was dropped and replaced by “entered employments with health benefits available.” This change is a result of the use of generous income disregards in welfare reform, which makes cash assistance reductions a less effective measure of program effectiveness than availability of health benefits, which is a measure of the quality of the job placement. For the FY 1999 - 2001 targets, a common baseline year of 1997 (the earliest year with a complete data set) was established for both programs serving refugees, replacing the baselines used previously. Baselines for the State-administered program use fiscal year data. The Matching Grant program baselines use the calendar year to reflect the matching grant program period.

**1h. FY 2000: Increase the number of refugees entering employment in FY 2000 through ACF-funded refugee employment services by at least 5% annually from the FY 1997 actual performance of 46,800 to 54,176 in FY 2000.**

**FY 2001: Increase the number of refugees entering employment in FY 2001 through ACF-funded refugee employment services by at least 5% annually from FY 1997 actual performance of 46,800 to 56,885 in FY 2001.**

**1i. FY 2000: Increase the number of entered employments with health benefits available as a subset of full-time job placements by 5% annually from the FY 1997 actual performance of 25,186 to 29,156 in FY 2000.**

**FY 2001: Increase the number of entered employments with health benefits available as a subset of full-time job placements by 5% annually from the FY 1997 actual performance of 25,186 to 30,613 in FY 2001.**

**1j. FY 2000: Increase the number of refugee cash assistance cases closed due to employment by at least 5% annually as a subset of all entered employments from the FY 1997 actual performance of 14,948 to 17,304 in FY 2000.**

**FY 2001: Increase the number of refugee cash assistance cases closed due to employment by at least 5% annually as a subset of all entered employments from the FY 1997 actual performance of 14,948 to 18,169 in FY 2001.**

**1k. FY 2000: Increase the number of 90-day job retentions as a subset of all entered employments by at least 5% annually from the FY 1997 actual performance of 34,409 to 39,833 in FY 2000.**

**FY 2001: Increase the number of 90-day job retentions as a subset of all entered employments by at least 5% annually from the FY 1997 actual performance of 34,409 to 41,824 in FY 2001.**

Data sources: ORR-6.

#### MATCHING GRANT VOLUNTARY AGENCY PROGRAM

**1l. FY 2000: Increase the number of refugees who enter employment through the Matching Grant program as a subset of all MG employable adults by at least 5% annually from the calendar year 1997 actual performance of 7,819 to 9,051 persons in calendar year 2000.**

**FY 2001: Increase the number of refugees who enter employment through the Matching Grant program as a subset of all MG employable**

*adults by at least 5% annually from the calendar year 1997 actual performance of 7,819 to 9,504 persons in calendar year 2001.*

*Im. FY 2000: Increase the number of MG refugee families (cases) that are self-sufficient (not dependent on any cash assistance) within the first 4 months after arrival by at least 4% annually from the calendar year 1997 actual performance of 5,279 cases to 5,938 cases in calendar year 2000.*

*FY 2001: Increase the number of MG refugee families (cases) that are self-sufficient (not dependent on any cash assistance) within the first 4 months after arrival by at least 4% annually from the calendar year 1997 actual performance of 5,279 cases to 6,176 cases in calendar year 2001.*

Data source: Matching Grant Progress Report

**Ability to predict future performance:** ORR continues to focus on performance and to encourage grantees to be courageous in setting goals. ORR negotiates annual goals with each of its grantees and stresses continuous improvement. The extent to which ORR can predict future performance is limited, because of the emergency humanitarian nature of the refugee resettlement program. Response to international mass migrations of persecuted persons, such as the Kosovars, places additional demands on our domestic resettlement partners by dramatically increasing the numbers of refugees receiving ORR services. However, the robust economy has enabled our service network to place additional refugees in jobs each year. This trend is expected to continue as long as the economy remains healthy.

## OPERATIONAL PROCESSES, SKILLS, TECHNOLOGIES AND RESOURCES

ACF conducts on-site monitoring of selected States and other grantees to help them achieve improved client employment and self-sufficiency outcomes. ACF also targets States with large refugee populations that receive significant ACF refugee program funding for monitoring. In the monitoring process, ACF assists States and grantees to identify strategies to improve outcomes and provides technical assistance on implementing program improvements.

## EXTERNAL INFLUENCES

The Refugee Program is affected by foreign policy decisions and crises. Its ability to quickly resettle new arrivals depends not only on local job markets but also on the rate of influx, refugees' special needs, educational levels, and English proficiency.

## INTERNAL AND EXTERNAL COORDINATION

ACF refugee resettlement policies and activities are coordinated with the U.S. Department of State and with State and community agencies, the Immigration and Naturalization Service, the Social Security Administration, the U.S. Department of Agriculture, Food and Consumer Service, as well as with TANF, Medicaid and other programs within HHS.

## DATA VERIFICATION AND VALIDATION

Data are submitted quarterly by all States participating in the State-administered program via the quarterly performance report (Form ORR-6). Data for the Matching Grant are submitted to ACF three times per year on the Matching Grant Progress Report form. Baseline data for all measures in the State-administered program are derived from FY 1997 annual unduplicated outcome data as reported on the annual Outcome Goal Plans. Baseline data for the Matching Grant program are derived from the Calendar Year 1997 Report. Matching Grant unduplicated annual performance data are submitted to ACF in February of each year.

Desk monitoring and tracking of quarterly performance report data occur quarterly in the State-administered program and 3 times per year in the Matching Grant program. Data are validated by periodic on-site monitoring, in which refugee cases are randomly selected and reviewed. Outcomes reported by service providers are verified with both employers and refugees to ensure accurate reporting of job placements, wages and retentions.

## SOCIAL SERVICES BLOCK GRANT

### **Program Description, Context, Legislative Intent and Broad Program Goals**

The Social Services Block Grant (SSBG) provides funding to States for a broad array of services. The SSBG is based on two fundamental principles: (1) State and local governments and communities are best able to determine the needs of individuals to help them achieve self sufficiency; and (2) social and economic needs are interrelated and must be met simultaneously.

Due to the nature of the program, SSBG has minimal reporting requirements. However, SSBG funds support outcomes across the human service spectrum and these outcomes are associated with strategic goals and objectives elsewhere in this plan, e.g. employment, child care, child welfare, adoptions, and youth services. A block grant by definition frees its recipients, in this case, States, to invest the funds flexibly and generally carries limited oversight and reporting requirements.

SSBG funds are used for direct services listed in the charts below. SSBG funds also help States improve and integrate services, create community-based partnerships, and stimulate innovations. In effect, they help hold the human services delivery system together. SSBG grants are made directly to the 50 States, the District of Columbia and Puerto Rico, Guam, the Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands to fund social services tailored to meet the needs of individuals and families residing within the jurisdiction. Grants are determined by a statutory formula based on each State's population. States are fully responsible for determining the use of their funds.

## SUMMARY OF FY 1999 PERFORMANCE

The following chart shows FY 1997 expenditures for Federal dollars in various SSBG service areas as reported by States. The data represents reports from 40 States. States were included if they reported data on both expenditures and recipients for all years. As a result

of this methodological requirement, data from 11 States (Alaska, Connecticut, Kansas, Kentucky, Massachusetts, New Hampshire, Ohio, Rhode Island, Tennessee, Vermont and Wisconsin) were excluded.

The 40 States that were included received approximately 85 percent of the Federal SSBG appropriation. With the exception of Ohio, which received the seventh largest SSBG appropriation, the 10 States with the largest SSBG appropriations are included.

<b>SSBG SERVICE CATEGORIES</b>	<b>FY 1997 EXPENDITURES</b>	<b>SSBG SERVICE CATEGORIES</b>	<b>FY 1997 EXPENDITURES</b>
Adoption services	\$ 15,035,460	Independent/transitional living	\$ 832,373
Case management	\$ 135,663,217	Information and referral	\$ 14,481,145
Congregate meals	\$ 2,737,491	Legal services	\$ 7,927,722
Counseling services	\$ 35,894,466	Pregnancy and parenting	\$ 9,545,758
Day care-adults	\$ 13,247,938	Prevention/intervention	\$ 116,481,905
Day care-children	\$ 251,878,312	Protective services--adult	\$ 55,089,523
Education/training svcs	\$ 16,524,056	Protective services--child	\$ 116,291,988
Employment services	\$ 22,789,959	Recreation services	\$ 789,736
Family planning service	\$ 24,544,261	Residential treatment	\$ 38,354,776
Foster care services--adult	\$ 7,150,279	Special services—disabilities	\$ 205,974,621
Foster care services--child	\$ 142,510,617	Special services—youth	\$ 33,261,605
Health related services	\$ 10,184,944	Substance abuse services	\$ 5,690,435
Home based services	\$ 242,537,735	Transportation	\$ 18,052,590
Home delivered meals	\$ 17,037,312	Other services	\$ 104,610,971
Housing services	\$ 2,027,363	Other non-service expenditures	\$ 326,532,862
		Administrative costs	\$ 258,166,314
		<b>Total SSBG expenditures</b>	<b>\$ 2,251,847,734</b>
		N=40 States	

The next chart shows FY 1998 expenditures for Federal dollars in various SSBG service areas as reported by States. The data represents reports from 44 States. States were included if they reported data on both expenditures and recipients for all years. As a result of this methodological requirement, data from 6 States (Connecticut, Massachusetts, New Hampshire, New Mexico, Oklahoma and Wisconsin) were excluded.

<b>SSBG SERVICE CATEGORIES</b>	<b>FY 1998 EXPENDITURES</b>	<b>SSBG SERVICE CATEGORIES</b>	<b>FY 1998 EXPENDITURES</b>
Adoption services	\$ 19,904,460	Independent/transitional living	\$ 17,857,574
Case management	\$ 90,880,502	Information and referral	\$ 16,972,068
Congregate meals	\$ 2,352,155	Legal services	\$ 8,468,747
Counseling services	\$ 39,723,893	Pregnancy and parenting	\$ 10,191,832
Day care-adults	\$ 11,303,335	Prevention/intervention	\$ 118,251,755
Day care-children	\$ 233,007,872	Protective services—adult	\$ 68,022,799
Education/training svcs	\$ 9,150,850	Protective services—child	\$ 90,880,502
Employment services	\$ 65,970,629	Recreation services	\$ 169,817,931
Family planning service	\$ 41,214,662	Residential treatment	\$ 76,360,628

Foster care services--adult	\$ 4,913,945	Special services—disabilities	\$ 35,465,513
Foster care services--child	\$ 200,251,313	Special services—youth	\$ 245,775,728
Health related services	\$ 11,280,734	Substance abuse services	\$ 6,317,627
Home based services	\$ 261,112,492	Transportation	\$ 17,181,002
Home delivered meals	\$ 15,579,023	Other services	\$ 121,698,526
Housing services	\$ 3,714,160	<b>Total SSBG Services Expen.</b>	<b>\$ 2,013,622,256</b>
		Administrative costs	\$ 264,266,354
		<b>Total SSBG expenditures</b>	<b>\$ 2,277,886,610</b>
		N=44 States	

### Summary Table

Performance Goals	Targets	Actual Performance	Reference
<p>Program Goal: Maintain access to child day care services for low-income families so parents can work or go to school.</p> <p>1n. In FY 2001, maintain the number of child recipients of day care services that are funded in whole or in part by SSBG funds at the FY 1998 baseline of 2,364,852. (Developmental)</p>	<p>FY 01: 2,364,852  FY 00: New in 2001  FY 99: N/A</p>	<p>FY 01:  FY 00:  FY 99:  FY 98: 2,364,852  FY 97: 2,207,622  FY 96: 1,863,160  FY 95: 1,697,606</p>	Px 38
<p>Program Goal: Maintain the number of recipients of home-based services that are funded by SSBG.</p> <p>1o. In FY 2001, maintain the number of adult recipients of home based services that are funded in whole or in part by SSBG funds at the FY 1998 baseline of 252,275. (Developmental)</p>	<p>FY 01: 252,275  FY 00: New in 2001  FY 99: N/A</p>	<p>FY 01:  FY 00:  FY 99:  FY 98: 252,275  FY 97: 259,464  FY 96: 258,828  FY 95: 279,497</p>	Px 38

<p>Program Goal: Increase the number of recipients of special services for the disabled that are funded by SSBG.</p> <p>1p. In FY 2001, increase the number of adult recipients of special services for the disabled that are funded in whole or in part by SSBG funds by 5% annually from the FY 1998 baseline of 292,158. (Developmental)</p>	<p>FY 01: 338,200 (+5%)  FY 00: New in 2001  FY 99: N/A</p>	<p>FY 01:  FY 00:  FY 99:  FY 98: 292,158  FY 97: 470,723  FY 96: 317,101  FY 95: 243,931</p>	<p>Px 38</p>
<p>Program Goal: Maintain the number of recipients of child protective services that are funded by SSBG.</p> <p>1q. In FY 2001, maintain the number of recipients of child protective services that are funded in whole or in part by SSBG funds in FY 2001 at the FY 1998 baseline of 1,264,365. (Developmental)</p>	<p>FY01: 1,264,365  FY 00: New in 2001  FY 99: N/A</p>	<p>FY 01:  FY 00:  FY 99:  FY 98: 1,264,365  FY 97: 1,037,860  FY 96: 1,147,397  FY 95: 1,624,303</p>	<p>Px 38</p>
<p>Program Goal: Increase the number of recipients of information and referral services that are funded by SSBG. (Developmental)</p> <p>1r. In FY 2001, increase the number of recipients of information and referral services funded in whole or in part by SSBG funds by 2% annually from the FY 1998 baseline of 1,152,974. (Developmental)</p>	<p>FY 01: 1,223,545 (+2%)  FY 00: New in 2001  FY 99: N/A</p>	<p>FY 01:  FY 00:  FY 99:  FY 98: 1,152,974  FY 97: 815,251  FY 96: 816,734  FY 95: 1,068,087</p>	<p>Px 38</p>
<p><b>Total Funding</b></p>	<p>FY 01: \$1700.0  FY 00: \$2380.0  FY 99: \$1909.0</p>	<p>Bx: budget just. section  Px: page # performance plan</p>	

PERFORMANCE GOALS

Congress intended that SSBG (initially Title XX) funding be directed at one or more of five national goals. These goals are closely aligned with the key priority goals identified in the

ACF annual performance plan. The first of these goals is to achieve or maintain economic self-support to prevent, reduce, or eliminate dependency. One of the primary needs of parents who previously relied on welfare support in entering the workforce is affordable child care. States can apply funding from SSBG to child day care in whole or in part.

- 1n. FY 2001: Maintain the number of child recipients of day care services that are funded in whole or in part by SSBG funds at the FY 1998 baseline of 2,364,852.***

A second national goal is to prevent or reduce inappropriate institutional care by providing for community based care, home based care or other forms of less intensive care. Several of the services to which SSBG funding can be applied are intended to increase independent living among disabled or low-income individuals. Such services increase opportunities for individuals to maintain successful and healthy lives within the community, and reduce the need for placement in more restricted environments. These services include independent living services, home based services, and home delivered meals, housing services, and special services for individuals with disabilities. Data indicates that the demand for special services to individuals with disabilities is increasing.

- 1o. FY 2001 Maintain the number of adult recipients of home based services that are funded in whole or in part by SSBG funds at the FY 1998 baseline of 252,275.***

- 1p. FY 2001: Increase the number of adult recipients of special services for the disabled that are funded in whole or in part by SSBG funds by 5% annually from the FY 1998 baseline of 292,158.***

A third national goal is to prevent or remedy neglect, abuse or exploitation of children and adults unable to protect their own interests or preserving, rehabilitating or reuniting families. SSBG funds can be applied to a range of child welfare services and are a valuable source to States of funding for this critical area. These services include child protective services, child foster care services, and adoption services. In addition, prevention and intervention services, special services for individuals with disabilities and special services for youth at risk are services that are very important to the child welfare population. It is anticipated that in spite of funding, this critical service will be maintained at the baseline level.

- 1q. FY 2001: Maintain the number of recipients of child protective services that are funded in whole or in part by SSBG funds at the FY 1998 baseline of 1,264,365.***

It is anticipated that as SSBG funds are reduced in other services, I & R services will increase.

- 1r. FY 2001: Increase the number of recipients of information and referral services funded in whole or in part by SSBG funds by 2% annually from the FY 1998 baseline of 1,152,974.***

Data source for measures 1m – 1q: SSBG post-expenditures reports from the States.

## DATA SOURCES AND ISSUES

SSBG data contain multi-year information and some of the dollars spent on services in FY 1998 may have been transferred from previous years or other programs.

States report both total expenditures and SSBG expenditures. Although all States submit post-expenditures reports, many States were unable to provide information on total expenditures in their post-expenditures reports, so including this item would have excluded many more States from the analyses.

Post-expenditures data received from States is regularly put through a validation process. Problems arising through this process are discussed with States and technical assistance is provided where practical. While several problems exist, more States are reporting and continuous progress is being made to increase the validation rates and make the data more usable.

### ***2. Increase independent living***

**Approach for the Strategic Objective:** Empower individuals with developmental disabilities to move into their own homes, increasing their personal control and participation in their community.

(Note: Objective 2 does not refer to the “Independent Living Program” for youth aging out of foster care, which is discussed under Objective 7.)

## DEVELOPMENTAL DISABILITIES (HOUSING)

(See information on DD partnership process, performance goals, data, and resources under Strategic Objective 1, above.)

### Summary Table

Performance Goals	Targets	Actual Performance	Reference
<p>Program Goal: Increase the opportunities of adults with developmental disabilities to choose where and with whom they live and to have the services they need to support these choices.</p> <p>2a. FY 2001, increase to 2,200 the number of people with developmental disabilities owning or renting their own homes as a result of DD program intervention.</p>	<p>FY 01: 2,200 FY 00: 2,132 FY 99: 2,079</p>	<p>FY 01: FY 00: FY 99: Baseline FY 98: 19,649 FY 97: 915 (21 states)</p>	<p>Px 40</p>

<b>Availability of FY 1999 Data:</b> Performance level data for FY 1999 is expected to be available in March 2000.		
<b>Total Funding for all ADD programs</b>	FY 01: \$122.3 FY 00: \$122.3 FY 99: \$119.2	Bx: budget just. section Px: page # performance plan

**PERFORMANCE GOALS**

Individual States are responsible in the developmental disabilities programs for planning their own goals. Consequently an individual State may select housing as a goal, and provide target data and performance data on this associated housing performance measure. From year to year, the number of States that report target or performance data for this particular performance measure may vary.

The DD housing goal: “Increase the opportunities of adults with developmental disabilities to choose where and with whom they live and to have the services they need to support these choices” includes the following outcomes: “Individuals with developmental disabilities have opportunities and information needed to make choices about where to live. People with developmental disabilities have the ability to own their own homes. Living in the community is affordable, accessible, and equitable.”

*2a. FY 2000: Increase to 2,132 from the FY 1999 target of 2,079 the number of people with developmental disabilities owning or renting their own homes as a result of DD program intervention.*

*FY 2001: Increase to 2,200 from 2,079 the number of people with developmental disabilities owning or renting their own homes as a result of DD program intervention.*

Data source: DDC annual Program Performance Report (PPR)

(See information on DD partnership process, performance goals, data, and resources under Strategic Objective 1, above.)

**ASSETS FOR INDEPENDENCE (Individual Development Accounts)**

**Program Description, Context, Legislative Intent and Broad Program Goals**

The Assets for Independence Demonstration Program was established by the Assets for Independence Act (AFI Act), under title IV of the Community Opportunities, Accountability and Training and Educational Services Human Services Reauthorization Act of 1998, P.L. 105-285 (also known as Individual Development Accounts or IDA).

The Assets for Independence Demonstration Program is a directed, matched savings program for lower income individuals and families. Participants enter into a Savings Plan Agreement with the project grantee which establishes a schedule and goal of savings from earned income, to be matched at an agreed rate which can be from one dollar to eight dollars for each dollar saved. Matching contributions are made by the grantee at least

quarterly from equal parts of Federal grant funds and non-Federal share contributions to the project. Matched savings may be expended for either (1) the purchase of a principal residence by a first-time homebuyer, (2) the capitalization of a business, or (3) expenses of post-secondary education.

The major goals of the program are to provide for the establishment of demonstration projects designed to determine: (1) the social, civic, psychological, and economic effects of providing to individuals and families with limited means an incentive to accumulate assets by saving a portion of their earned income; (2) the extent to which an asset-based policy that promotes saving for post-secondary education, homeownership and small business capitalization may be used to enable individuals and families with limited means to increase their economic self-sufficiency; and (3) the extent to which an asset-based policy stabilizes and improves families and the community in which the families live.

Eligible applicants are private, not-for-profit 501(c)(3) organizations, or State and local governmental agencies or Tribal governments applying jointly with eligible not-for-profit organizations. Grantees are selected competitively on the basis of applications which present the background and capabilities of the applicant, and a description of the target population; project theory, design, and plan; a plan for providing information needed for program evaluation; additional resources available to support project participants; and a description of the results and benefits expected to result from the project. Applications must include a commitment for a cash non-Federal share equal to the amount of the Federal grant.

The Program Announcement requires all grantees to use IDA MIS software or its equivalent to track participant and account characteristics and experience. Section 412 of the AFIA requires annual reporting by grantees on the basis of this data. The statute requires that at least 2 percent of grant funds be used for data collection. Section 414 requires an annual report to the Congress based on these grantee reports, and calls for an overall evaluation of the program over its five-year duration and its impact on a variety of factors listed in that section, including potential financial returns to the Federal Government and other investors in IDAs over a 5-year and 10-year period. Section 414 also calls for the evaluation of at least one site using control groups for comparisons with project participants.

## PERFORMANCE GOALS

This program is new; a first round of forty (40) demonstration grants were funded in August and September 1999 for 5-year demonstration programs. Each of these grants will produce yearly progress reports within 60 days of completion of the first program year. The Secretary will submit an interim progress report to Congress using the information in these progress reports. A process for developing measures based on the three overall goals for the program will be a part of the Evaluation Plan to be developed under a one-year Task Order recently issued by HHS. This will provide the conceptual framework for the evaluation of the program along with a presentation of an evaluation design. This design phase will include data collection strategies for measures to be used in the research. The contractor will present the design for evaluation in August 2000.

Section 412 of the AFIA requires that the following information be reported annually by all program grantees:

- The number and characteristics of individuals making a deposit into an individual development account;
- The amounts in the Reserve Fund established with respect to the project;
- The amounts deposited in the individual development accounts;
- The amounts withdrawn from the individual development accounts and the purposes for which such amounts were withdrawn;
- The balances remaining in the individual development accounts;
- The savings account characteristics (such as threshold amounts and match rates) required to stimulate participation in the demonstration project, and how such characteristics vary among different populations or communities;
- Which service configurations of the qualified entity (such as configurations relating to peer support, structured planning exercises, mentoring and case management) increased the rate and consistency of participation in the demonstration project and how such configurations varied among different populations or communities; and
- Such other information as the Secretary may require in the evaluation of the demonstration project.

Section 414 of the AFIA requires that the Secretary enter into a contract with an independent research organization to evaluate the demonstration projects conducted pursuant to the act, individually and as a group, and lists the following factors to be addressed:

- The effects of incentives and organizational or institutional support on savings behavior in the demonstration project.
- The savings rates of individuals in the demonstration project based on demographic characteristics including gender, age, family size, race or ethnic background, and income.
- The economic, civic, psychological, and social effects of asset accumulation, and how such effects vary among different populations or communities.
- The effects of individual development accounts on savings rates, homeownership, level of postsecondary education attained, and self-employment, and how such effects vary among different populations or communities.
- The potential financial returns to the Federal Government and to other public sector and private sector investors in individual development accounts over a 5-year and 10-year period of time.
- The lessons to be learned from the demonstration projects conducted under this title and if a permanent program of individual development accounts should be established.
- Such other factors as may be prescribed by the Secretary.

The FY 2001 request for the Individual Development Accounts is \$25,000,000, the full amount authorized in the AFIA. With average grant size of approximately \$300,000, this would allow for the administration of approximately 150 accounts per site at approximately 80 sites in FY 2001, for a total of some 10,500 participating IDA holders. When added to the accounts opened in the first two years of the program, this brings the total to approximately 22,000 and will provide a solid core of data for evaluation by the year 2003.

<b>Total Funding</b>	FY 01: \$25.0 FY 00: \$10.0 FY 99: \$10.0	Bx: budget just. section
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**EXTERNAL INFLUENCES**

ACF will work in partnership with selected States and local grantees toward achieving the goals of this program. Some of the external variables that will impact on the achievement of the goals include the health of the local economy and the availability of jobs; systemic barriers to low income employment such as availability of transportation and affordable day care; support of the banking, business, and foundation communities in providing non-Federal matching contributions; and the availability of support structures that will enhance job retention and advancement of IDA program participants.

**INTERNAL AND EXTERNAL COORDINATION**

ACF’s Office of Community Services established a working group that met weekly in the initial planning and the development of the Program Announcement, which was published January 27, 1999 in accordance with the mandate of the legislation. Members of the working group included representatives of the Treasury Department; Assistant Secretary for Planning and Evaluation, Office of General Counsel; the Office of the Assistant Secretary, ACF; and within ACF, representatives of the Office of Legislation and Budget, the Office of Planning, Research and Evaluation, ORR, OFA and the Office of Administration. Since publication of the program announcement, the working group has met on an occasional basis, and with representatives of the IRS, USDA, SSA, and OFA on issues around tax implications of IDAs and asset disregard for purposes of Federal program eligibility.

**DATA SOURCES, VERIFICATION AND VALIDATION**

Each grantee must provide a plan for collecting, validating and providing relevant, accurate and complete data for internal management information, statutory reporting and project evaluation purposes; and clear expression of a commitment to cooperation with the statutorily mandated evaluation of the national Assets for Independence Demonstration Program. Under the AFI Act project grantees are required to use at least 2% but not more than 9.5% of grant funds to provide the research organization evaluating the demonstration project with such information with respect to the demonstration project as may be required for the evaluation.

The Assets for Independence Act allocates a portion of the appropriated funds to support an evaluation of the overall demonstration program in addition to the funds grantees are required to expend on data collection. The agency requires the grantee to provide a well thought-out plan for collecting, validating and reporting the necessary data in a timely fashion. The grantee is also encouraged to identify the kinds of data it believes would facilitate the management information, reporting, and evaluation purposes. The grantee also agrees to cooperate with the evaluation of the national program. Grantees are urged to carry out an ongoing assessment of the data and information collected as an effective management/feedback tool in implementing their project. The grantee must state its

agreement to use the "MIS IDA" information system software developed by the Center for Social Development, or a comparable and compatible system, for the maintenance, collection, and transmission of data from their project.

### ***3. Increase parental responsibility***

**Approach for the Strategic Objective:** Establish paternities for children born out-of-wedlock and ensure that parents support their children.

## **CHILD SUPPORT ENFORCEMENT**

### **Program Description, Context, Legislative Intent and Broad Program Goals**

The mission of ACF's Child Support Enforcement (CSE) program is to assure that assistance in obtaining support is available to children by locating parents, establishing paternity and support obligations, and modifying and enforcing those obligations. This mission supports two broad initiatives at the Secretarial level and for the Office of the Vice President. The performance targets in this plan are consistent with the HHS goal of self-sufficiency for low-income families through employment and child support collections. The targets are also consistent with the Vice President's High Impact goal of increasing total child support collections to \$20.8 billion by the end of FY 2000, an increase of 96% over FY 1996. The Office of Child Support Enforcement (OCSE) works in cooperation with State agencies to achieve these goals.

The CSE Program is federally funded, i.e., the Federal government pays 66% of State administrative costs, 90% of paternity laboratory costs, and (subject to a cap and other limitations) 80% of approved automation costs, but it is administered by State and local governments. The Federal role is to provide direction, guidance, technical assistance, oversight, and some critical services to States' CSE Programs for activities mandated under title IV-D of the Social Security Act.

The CSE Program was selected as a GPRA pilot for FY 1995 and FY 1996. As a result, a consensus National Child Support Enforcement Strategic Plan was completed on February 28, 1995 by State and Federal partners. Performance measures for each goal and objective in the Plan followed by July 18, 1996. The goals, objectives and performance measures in this Performance Plan are aligned with those in the strategic plan. Previous GPRA performance plans reported on paternities established and dollars collected while State and Federal partners jointly developed the CSE program's performance measures. FY 1999 data on the five performance plan measures of paternity establishment, order establishment, collections of current support, collections on past-due support, and cost-effectiveness will be available for the first time in March of 2000.

*Welfare Reform:* The Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) is having a dramatic impact on the child support program. The new law adds major new responsibilities to both State and Federal partners in the program. Both State and Federal staff are handling an increased workload in order to implement the provisions of the new law.

*Incentive funding:* The CSE program includes an incentive funding scheme with a formula based in statute. The current incentive funding scheme, which pays rewards to States based on cost effectiveness, will remain in effect until FY 2001, while the new system, enacted by the Child Support Performance and Incentive Act of 1998 (CSPIA), is phased in from FY's 2000-2002. With the enactment of PRWORA, the Secretary of Health and Human Services was required to develop a new revenue-neutral, performance-based incentive funding formula in consultation with States.

A Federal/State work group developed incentive funding recommendations in alignment with previous collaborative strategic planning and performance measurement development efforts. The formula, to be phased in starting in FY 2000, will be instrumental in driving the CSE program toward achievement of the performance targets in this plan. This performance plan employs the same five performance measures enacted by CSPIA, which are provided below:

- **Statewide paternity establishment percentage (PEP)**

$$\frac{\text{Number of Children in State with Paternity Established or Acknowledged during the FY}}{\text{Number of Children in State Born Out-of-Wedlock in the Preceding FY}}$$

- **Percentage of IV-D cases with support orders:**

$$\frac{\text{Number of IV-D Cases with Support Orders}}{\text{Number of IV-D Cases}}$$

- **IV-D collection rate for current support:**

$$\frac{\text{Collections on Current Support in IV-D Cases}}{\text{Current Support Amount Owed in IV-D Cases}}$$

- **IV-D arrearage cases paying:**

$$\frac{\text{Number of IV-D Cases Paying Toward Arrears}}{\text{Number of IV-D Cases with Arrears Due}}$$

- **Total dollars collected per \$1 of expenditures:**

$$\frac{\text{Total of IV-D Dollars Collected}}{\text{Total of IV-D Dollars Expended}}$$

In order to implement the new incentive system, OCSE has been providing training to States on the incentive measures, the formula for calculating payments and revised data reporting. OCSE's auditors are closely monitoring the ability of States to report reliable data and are also assessing the validity of State-reported data.

During FY 2001, we will be measuring the CSE Program's success using these outcome measures which are part of the new incentive system to gauge the achievement of the goals and objectives of the National CSE Strategic Plan. The sixth measure included in this

Performance Plan is an internal gauge of State satisfaction with the performance of the Federal office that is unrelated to incentives, but is a National CSE Strategic Plan measure.

## SUMMARY OF FY 1999 PERFORMANCE

FY 1999 data reported from the States was due October 30, 1999 with revised reports due December 30, 1999. A preliminary summary of FY 1999 performance should be available by March 2000. A summary of FY 1998 performance follows.

**Caseload:** There were almost 19.7 million cases reported in FY 1998. This was a 3.1 percent increase over FY 1997. The total caseload reflects a 10.2 percent increase in the number of non-TANF cases, and a 4.6 percent drop in TANF/FC cases. This decrease is most likely due to the implementation of Welfare Reform and time-limited TANF benefits. Over the past five years there has been a 32.6 percent increase in cases with collections.

**Paternities Established:** 844,000 paternities were established for children in the IV-D caseload in FY 1998 and over 614,000 paternities were established through in-hospital acknowledgment programs. This is a total of over 1.5 million paternities established and acknowledged for FY 1998. This is a 12.1 percent increase over FY 1997.

**Orders Established:** Approximately 1.1 million orders for child support were established in FY 1998.

**Collections:** Total child support collections were \$14.3 billion for FY 1998. This was a 7.4 percent increase in collections over FY 1997. Non-TANF collections were almost \$11.7 billion in FY 1998, an increase of 11.2 percent over FY 1997. TANF collections were \$2.6 billion and shows a 6.8 percent decrease which were most likely due to the decreasing TANF caseload. However, most of the TANF cases became non-TANF cases.

**Accounts Receivable:** The total amount of current support due for FY 1998 was \$13.7 billion. About 50.7 percent or \$6.9 billion of that amount was collected. Of prior year support due, \$2.4 billion or 7.8 percent was collected.

**Expenditures:** In FY 1998, total administrative expenditures were up 4.6 percent to \$3.6 billion. Comparison to total collections of \$14.3 billion, yields a cost-effectiveness ratio of \$4.00, an increase of 2.7 percent over FY 1997.

OCSE believes using past performance on four of the five incentive measures described earlier is not appropriate for the reasons outlined below. The following circumstances warrant discarding the previous baseline from FY 1996 (with the exception of the cost-effectiveness ratio) and establishing a new baseline using FY 1999 data when it becomes available.

**Changes to Reporting System:** OCSE recently made significant revisions to its statistical and financial reporting forms to reflect the goals and objectives of the strategic plan and the performance-based incentive funding system enacted by the Child Support Performance and Incentive Act of 1998. The new forms added new data elements and revised definitions. Statistical data that will allow us to calculate these measures that gauge State

performance in paternities established, orders established, current support collections, and past-due collections will be reported for the first time between October 30 and December 30, 1999. The only exception is the cost-effectiveness ratio that will remain unchanged during the transition from old to new reporting and incentive systems. Federal auditors will also be performing unprecedented data reliability audits on FY 1999 State-reported data. In addition, new statewide automated systems in over 40 States should report new data requirements more reliably with fewer errors, duplicated counts, etc. As of December 9, 1999, only 36 States have reported on their performance.

**Statutory Evolution of the Program:** The child support program has never been in a steady state. Significant legislation with new requirements and new collection tools has been enacted every few years through the 29-year history of the program. The capabilities and responsibilities of the program in 1999 are far greater than the program had in 1995, prior to enactment of Welfare Reform. We believe comparison of past performance of the program on these measures is not useful or even possible and would result in a comparison of "apples and oranges". Data definitions for FY 1999 differ significantly from the past and have been prescribed by statute. For example, for incentive purposes, States may exclude cases where they have no jurisdiction, such as those involving foreign countries and Indian tribes. In addition, the statute divides collections into three new categories (current assistance, former assistance, and never assistance) which are integral to the incentive calculation and dramatically alter reporting systems. While the majority of the measures are new, the cost effectiveness ratio has been a traditional measure of the program. State-reported child support collections and program expenditures have been reported consistently and reliably for many years.

**Implementing Welfare Reform:** FY 1999 is also a good break point for looking at performance for two reasons relating to the enactment of Welfare Reform in 1996. First, the program is still experiencing and assessing Welfare Reform's dramatic effects on the portion of the caseload on public assistance which have resulted in decreases in TANF cases and collections on those cases. Second, by the end of FY 1999 the program had implemented the majority of Welfare Reform's significant collection tools and other requirements that will impact performance.

The FY's 1999 - 2001 performance targets are ambitious and reflect anticipation for results from a range of new collection tools and program improvements such as new hire reporting and increasing statewide automation. Also, a strong economy augurs well for collecting support from more employed noncustodial parents. However, implementation of these new collection tools has not been completed in some States and therefore they may not realize as large an increase in collections as expected.

## Summary Table

Performance Goals	Targets	Actual Performance	Reference
<p><b>Program Goal: All children have parentage established</b></p> <p>Objective: Increase the number of paternities established, particularly those established within one year of birth.</p> <p>3a. In FY 2001, maintain the paternity establishment percentage (PEP) among children born out-of-wedlock at 96% (FY 1999 baseline available March 2000).</p>	<p>FY 01: 96% FY 00: 96% FY 99: 96%</p>	<p>FY 01: FY 00: FY 99: New baseline *</p>	<p>Px 49</p>
<p><b>Program Goal: All children in IV-D cases have financial and medical support orders.</b></p> <p>Objective: Increase the percentage of IV-D cases with orders for financial support.</p> <p>3b. In FY 2001, maintain the percentage of IV-D cases having support orders at 76%. (FY 1999 baseline available March 2000).</p>	<p>FY 01: 76% FY 00: 76% FY 99: 74%</p>	<p>FY 01: FY 00: FY 99: New baseline *</p>	<p>Px 50</p>
<p><b>Program Goal: All children in IV-D cases receive financial and medical support from both parents.</b></p> <p>Objective: Increase the collection rate.</p> <p>3c. In FY 2001, maintain the IV-D collection rate for current support at 71%. (FY 1999 baseline available March 2000).</p>	<p>FY 01: 71% FY 00: 71% FY 99: 70%</p>	<p>FY 01: FY 00: FY 99: New baseline *</p>	<p>Px 51</p>
<p>Objective: Increase paying cases.</p> <p>3d. In FY 2001, increase the percentage of paying cases among IV-D arrearage cases to 50%. (FY 1999 baseline available March 2000).</p>	<p>FY 01: 50% FY 00: 46% FY 99: 46%</p>	<p>FY 01: FY 00: FY 99: New baseline *</p>	<p>Px 51</p>

Objective: Make the process more efficient and responsive.			Px 52
3e. In FY 2001, maintain the cost-effectiveness ratio (total dollars collected per \$1 of expenditures) at \$5.00. (FY 1999 baseline available March 2000).	FY 01: \$5.00 FY 00: \$5.00 FY 99: \$5.00	FY 01: FY 00: FY 99: FY 98: \$4.00 FY 97: \$3.90 FY 96: \$3.93	
**The numerator of this goal is the High Impact Agency goal.			
* Please refer to discussion on pages 46-47 providing the rationale for FY 1999 performance data being used as the baseline year for these measures. Significant revisions in the statistical and financial reporting forms has caused OCSE to make this change.			
<b>Availability of FY 1999 Data:</b> FY 1999 data should be available by March of 2000. The first reports are due October 30, 1999 with revised reports following by December 30, 1999. During the fall and winter, OCSE performs an analysis of the data and often communicates with States about possible errors or aberrations from the historic trend of performance. OCSE compiles a preliminary data report each spring followed by the Annual Report to Congress.			
<b>Total Funding:</b>	FY 01: \$3562.9 FY 00: \$3259.6 FY 99: \$2965.5	Bx: budget just. section Px: page # performance plan ** High Impact Agency goal	

## PERFORMANCE GOALS

PROGRAM GOAL: All children have parentage established.

Objective: Increase the number of paternities established, particularly those established within one year of birth.

**3a. FY 2000: Maintain the paternity establishment percentage (PEP) among children born out-of-wedlock at 96% (FY 1999 baseline available March 2000).**

**FY 2001: Maintain the paternity establishment percentage (PEP) among children born out-of-wedlock at 96% (FY 1999 baseline available March 2000).**

Data source: OCSE 157

This measure directly indicates achievement of the performance target by comparing paternities established during the fiscal year with the number of nonmarital births during the preceding fiscal year. The statute allows for States to use the IV-D PEP or a Statewide PEP. We have decided to use the universal PEP because most States have indicated they will use the universal PEP as well. The rates above include paternities established by the IV-D program and paternities established by hospital-based programs. Maintaining the target rate in FY 2001 requires more work as States not only keep up with establishing paternities on out-of-wedlock births but also work backloads of older IV-D cases needing paternity established.

Approach: Early interventions will be sought through expanding in-hospital based paternity establishment programs and partnering with birth record agencies, pre-natal clinics and other entities, encouraging voluntary acknowledgments, in accordance with the requirements of PRWORA. Partners will work together and with customers to help both parents understand their parental responsibilities and to promote the establishment of paternity in a non-adversarial manner wherever possible. In collaboration with partners and stakeholders, we will explore a variety of activities to help individuals better understand their parental responsibilities, including contributing to direct education programs in high schools, counseling, public awareness campaigns, public service announcements, and brochures about the CSE program. We will increase technical assistance, training and education activities.

PROGRAM GOAL: All children in IV-D cases have financial and medical support orders.

Objective: Increase the percentage of IV-D cases with orders for financial support.

**3b. *FY 2000: Increase the percentage of IV-D cases having support orders to 76% (FY 1999 baseline available March 2000).***

***FY 2001: Maintain the percentage of IV-D cases having support orders at 76% (FY 1999 baseline available March 2000).***

Data source: OCSE 157

A support order is needed to collect child support. This measure directly indicates achievement of the performance target by comparing the number of IV-D cases with support orders with the number of IV-D cases. Maintaining the target rate in FY 2001 requires more work as new child support cases are added to State workloads each year, increasing the overall caseload in need of services.

Approaches: PRWORA also gives States new tools to establish an order more quickly such as administrative authority to require genetic testing, subpoena financial and other information, and access to a wide array of records. More States are voluntarily shifting from court-based to agency-based order establishment procedures. PRWORA requires expedited administrative procedures for the establishment of orders. PRWORA expands paternity acknowledgment programs to birth record agencies, which would set the stage for order establishment. PRWORA requires that all States enact the Uniform Interstate Family Support Act which grants States expansive long-arm jurisdiction that will allow them to establish support orders against non-residents avoiding the lengthy two-state process.

The Child Support Performance and Incentive Act of 1998 requires the Secretary of HHS to recommend a medical support indicator for inclusion in the new incentive system. The Secretary has reported to Congress recommending postponement of the development of an indicator until 2001.

PROGRAM GOAL: All children in IV-D cases receive financial and medical support from both parents.

Objective: Increase the collection rate.

**3c. FY 2000: Increase the IV-D collection rate for current support to 71% (FY 1999 baseline available March 2000).**

**FY 2001: Maintain the IV-D collection rate for current support at 71% (FY 1999 baseline available March 2000).**

Data source: OCSE 157

This measure, a proxy for the regular and timely payment of support, directly indicates achievement of the performance target by comparing total dollars collected for current support in IV-D cases with total dollars owed for current support in IV-D cases. Maintaining the target rate in FY 2001 requires more work as States caseloads generally increase every year.

Approaches: Focus will be placed on improved enforcement techniques with emphasis on automated mechanisms for enforcement, collections and payments to families. We will emphasize improvement of numerous processes that result in the support of children. These improvements include: (1) simplifying the payment process; (2) reducing barriers to noncustodial parents providing support payments; (3) increasing the number of cases handled using automated systems; (4) using alternative disposition strategies such as consensual agreements and other non-judicial agreements; (5) improving interstate case processing; (6) increasing coordination and integration of services with other agencies; and (7) increasing access to services.

PRWORA gives States new tools to increase collection of support such as license revocation, new hire reporting, centralized collection and disbursement, enhancement of wage withholding procedures, and uniform procedures for interstate cases.

This FY 2000 target is consistent with the *High Impact Goal*: By the end of the year 2000, increase self-sufficiency for low-income families by increasing the amount of total child support collections to \$20.8 billion by the end of FY 2000, an increase of 75% over FY 1996. Preliminary data indicates that \$15.5 billion was collected in FY 1999. This goal provides a whole number and accompanying percentage increase while OCSE's GPRA targets focus on increases in rates of collection in both current and past due child support.

Objective: Increase paying cases.

**3d. FY 2000: Maintain the percentage of paying cases among IV-D arrearage cases at 46% (FY 1999 baseline available March 2000).**

**FY 2001: Increase the percentage of paying cases among IV-D arrearage cases to 50% (FY 1999 baseline available March 2000).**

Data source: OCSE 157

This measure directly indicates achievement of the performance target by comparing the total number of IV-D cases paying any amount toward arrears with the total number of IV-D cases with arrears due. More direct measurement of a national arrearage collection rate was not possible because States have laws that count arrears in widely varying ways. This measure, developed by the State/Federal Incentive Formula effort, differs from the Strategic Plan measure State and Federal partners have proposed inclusion of this modified measure in the Strategic Plan. Increasing the target rate for FY 2001 requires more work as State caseloads increase each year. Some new cases enter the caseload with arrearages already accrued before the State can take any action.

Approaches: Obtaining payment of arrears is often difficult. States must collect current support and any arrearages that have accrued. Noncustodial parents often cannot keep up with both current support and arrears, hence arrears payments suffer. Focus will be placed on improved enforcement techniques with emphasis on automated mechanisms for enforcement, collections and payments to families. We will emphasize improvement of numerous other processes that result in the support of children, including (1) simplifying the payment process; (2) reducing barriers to noncustodial parents providing support payments; (3) increasing the number of cases handled using automated systems; (4) using alternative disposition strategies such as consensual agreements and other non-judicial agreements; (5) improving interstate case processing; (6) increasing coordination and integration of services with other agencies; and (7) increasing access to services. PRWORA gives States new tools to increase collection of support such as license revocation, new hire reporting, centralized collection and disbursement, and uniform procedures for interstate cases. Other collection techniques aimed at arrears include seizing assets held in financial institutions and administrative offset.

Objective: Make the process more efficient and responsive.

**3e. FY 2000: Maintain the cost-effectiveness ratio (total dollars collected per \$1 of expenditures) at \$5.00. (FY 1996 baseline \$3.93).**

**FY 2001: Maintain the cost-effectiveness ratio (total dollars collected per \$1 of expenditures) at \$5.00. (FY 1999 baseline available March 2000).**

Data sources: OCSE 34A and OCSE 396A

This measure directly indicates achievement of the performance target by comparing total IV-D dollars collected by States with total IV-D dollars expended by States. Maintaining the target rate for FY 2001 requires more work as State caseloads and the total amount of child support owed increases each year.

Approaches: Under current law, cost effectiveness is used for the basis of incentive payments. It is important to monitor the allowable costs of the program in relation to the amount collected. Focus will be placed on increased efficiency of State programs through automated systems of case management, enforcement, collection and disbursement, staffing, administrative processes and increased collections resulting from approaches described previously under current collections and arrears cases paying. Federal audits will

focus on administrative costs to ensure States do not shift costs from block grants to matching programs.

In August 1998, the Inspector General issued its Child Support Enforcement State Satisfaction Survey. Forty-seven States are “very” or “somewhat satisfied” with the Federal agency’s efforts. These and other findings will be used as benchmarks as ACF considers similar surveys in future years.

Approaches: OCSE is continuing an internal tactical planning process that will align Federal operations with the National Strategic Plan. OCSE has employed a partnership approach in all major services it provides to States. For example, the development of the new hire reporting system, incentive funding proposal, and technical assistance and training plans have all been developed collaboratively with State partners through the use of State/Federal work groups.

#### OPERATIONAL PROCESSES, SKILLS, TECHNOLOGIES AND RESOURCES

ACF will aggressively implement the child support provisions of the law through technical assistance, tracking parents, and helping collect court-ordered support payments. This strategy will be achieved through a variety of means, including implementing Federal policy, technical assistance, training, information dissemination, a more performance-based incentive funding structure, and Federal oversight and assistance with State-based quality assurance.

The Federal Parent Locator Service will be expanded to facilitate location of noncustodial parents, their employers and their assets in order to promote the establishment and enforcement of child support orders. The National Directory of New Hires will be operationalized and linked to the Federal Case Registry to locate absent parents across State lines. ACF will promote implementation of administrative offsets for child support with the Internal Revenue Service.

ACF will continue efforts to broaden parental responsibility, especially the involvement of fathers in the lives of their children through several means. First, focusing attention on the positive role fathers has in improving their children’s well being. Second, ensuring that the HHS research agendas pay adequate attention to the role of fathers in families and the effects of fathering on children’s well being. Third, using positive messages and language regarding fathers and fatherhood in publications and announcements; and, finally, ensuring that HHS’s own workforce policies encourage and enable fathers to balance work and family life responsibilities.

Working in partnership with States, ACF will use the following resources and tools to achieve the FY 2001 performance goals:

- Federal match of State administrative expenditures (66%) and enhanced match for Statewide automated systems (80%, capped at \$400 million);
- One-third of incentive funding provided to States will be based on cost effectiveness of programs; two-thirds of incentive funding will be based on

- paternity establishment, order establishment, current support collections, arrears cases paying and cost effectiveness (overall incentives capped at \$422 million).
- Section 1115 research grants, 1% and 2% set aside funding to provide technical assistance, supportive contracts, demonstration grants and child access and visitation grants;
- Expanded Federal Parent Locator Service including a database of new hires and child support cases to assist States in locating parents and obtaining support through wage withholding;
- Federal Tax Refund/Administrative Offset program to offset income tax refunds and selected Federal benefits payments to child support obligors;
- ACF central office child support and systems staff and regional office employees estimated at 234;
- Self assessments by States to help managers identify cases that need services thus increasing performance; and
- Federal staff working collaboratively with State staff to implement new tools and requirements of welfare reform and the National CSE Strategic Plan.

## EXTERNAL INFLUENCES

The achievement of the performance targets in this plan will be significantly affected by many external factors. A number of factors can interact with the CSE program in ways that help or hinder achievement of performance goals including (1) the impact of how States structure their Temporary Assistance to Needy Families programs and policies; (2) the health of the economy; (3) wage and unemployment rates; and (4) demographic and social trends such as divorce and non-marital birth rates. These and other external factors impact on State agency caseloads, paternity establishment workloads, and ability to collect support payments.

States are at different points in the development of enforcement systems and infrastructure. Through its considerable national and regional technical assistance initiatives, many of which incorporate State self-assessment and peer technology transfers, ACF is customizing its efforts to individual State needs. Additionally, the incentive process will add impetus to those States that may need to assign a higher priority to their child support programs.

Performance projections for FY 2001 indicate that all of the first five measures will either remain stable or increase slightly. One reason is continuing development of State automated systems. ACF is unsure of the effect of certified automated systems operating in all 54 jurisdictions. While systems will allow for more effective child support enforcement in most performance areas, they are also likely to result in improved data reporting, which can alter current estimates of performance up or down. It is too early to predict the dynamics of the effect of systems on performance in FY 2001.

Another reason is phased implementation of proposed incentives legislation beginning in FY 2000. It is expected that States that orient their performance toward the anticipated incentive measures will achieve increased performance in FY 1999-2000. These projections also assume the majority of States will be using automated systems in FY 1999 and beyond, although it is expected that some States with large caseloads will be continuing to develop their systems. It also assumed that all States would be using the

majority of tools resulting from enactment of the Personal Responsibility and Work Opportunity Reconciliation Act.

## INTERNAL AND EXTERNAL COORDINATION

ACF has instituted several mechanisms for ensuring internal and external coordination. Child Support reforms are being coordinated at several levels. The Office of Child Support Enforcement was a GPRA pilot and many of the PRWORA reforms have been integrated into the GPRA project activities. The GPRA process involves extensive consultation and collaboration with the CSE State partners. Additionally there are child support implementation working groups for all the major reform activities under PRWORA. These groups are comprised of Federal, State and local agency staff and also involve consultation with advocacy groups and national organizations.

HHS has coordinated efforts to increase parental responsibility through the promotion and encouragement of father involvement through a Fathers' Work Group that has representatives from all HHS agencies. This group meets regularly to foster coordination and collaboration across HHS and has developed working relationships with many of the non-governmental groups working to promote more father involvement in the lives of children. The faith-based community has been contacted to help in spreading the word on parental responsibility and child support services.

OCSE has partnered extensively with a range of Federal agencies/programs and State and local entities. The Expanded Federal Parent Locator Service employs the Social Security Administration and Department of Labor in implementing the National Directory of New Hires and Federal Case Registry. Treasury's Financial Management Service is a partner in the IRS Tax Refund Offset and the Administrative Payment Offset programs. The State Department is a partner in denying and revoking passports of individuals who meet certain delinquency criteria.

In order to bring more resources toward holding noncustodial parents responsible, the OCSE Law Enforcement Initiative has partnered with the Department of Justice, U.S. Attorneys, the FBI, the HHS Inspector General, and numerous State and local law enforcement agencies. OCSE has reached out to the Department of Labor Welfare to Work program in order to secure funds to benefit noncustodial parent job training. Other ACF programs such as Head Start and Foster Care have been enlisted to educate clients about child support services.

The performance targets stated in this plan are consistent with the following initiatives:

*High Impact Goal:* By the end of the year 2000, increase self-sufficiency for low-income families by increasing the amount of total child support collections to \$20.8 billion by the end of FY 2000, an increase of 75% over FY 1996. Preliminary data indicates that \$15.5 billion was collected in FY 1999. This goal provides a whole number and accompanying percentage increase while OCSE's GPRA targets focus on increases in rates of collection in both current and past due child support.

*HHS Secretarial Initiative:* Increase self-sufficiency for low-income families through employment and child support collections.

## DATA VERIFICATION AND VALIDATION

States currently maintain information on the necessary data elements for the first five program measures. Some States maintain this data manually, while others use an automated system. All States were required to have a comprehensive, statewide, automated CSE system in place by October 1, 1997. Implementation of these systems, in conjunction with clean up of case data, will improve the accuracy and consistency of reporting.

As part of OCSE's certification of automated systems, their ability to produce valid data will be reviewed. Self-evaluation by States and OCSE audits will provide an on-going review of the validity of data input and the ability of automated systems to produce accurate data. There is a substantial time lag in data availability. Final and accurate data for FY 1998 was available in the early summer of 1999, while data for FY 1999 should be available in the spring of 2000.

The Office of the Inspector General's State Satisfaction Survey was conducted using the standard controls. The Inspector General is an independent auditor of HHS programs.

### ***4. Increase affordable child care***

**Approach for the Strategic Objective:** Increase access to affordable, quality child care for low income, working families.

## CHILD CARE: AFFORDABILITY

### **Program Description, Context, Legislative Intent and Broad Program Goals**

The Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) of 1996 established the Child Care and Development Fund to provide assistance to working low-income families to achieve and maintain economic self-sufficiency. Funds are block-granted to the States for use in enhancing the overall quality of child care and to help low-income parents purchase child care services needed to support employment. States, through their appointed Lead Agencies, make many of the decisions on how funds will be used and where emphasis will be placed in achieving the over all goals of improving access to quality child care.

The major change created by PROWRA is the requirement for States to serve families through a single, integrated child care system. Three title IV-A child care programs, Aid to Families with Dependent Children (AFDC) including Job Opportunities and Basic Skills Training (JOBS) program, Transitional Child Care (TCC), and At-Risk Child Care (ARCC) have been repealed and replaced by new funding under section 418 of the Social Security Act. All child care funding is now administered under the Child Care and Development Block Grant (CCDBG) Act rules. Existing CCDBG regulations were revised to reflect these changes and were released in July of 1998.

The FY 2001 increase of \$817 million for a total of \$2 billion will be used to expand the Child Care and Development Block Grant (CCDG) program. This increase will provide quality, affordable child care as a support for low-income working families, essential both to parents' continued employment and children's healthy development and learning.

Access to quality, affordable child care is critical to the achievement of self-sufficiency by welfare clients. Child care subsidies also help the working poor remain self-sufficient. ACF will continue to promote expansion of child care services as a key element in its strategy for helping families achieve economic independence. Doing so will involve working with our partners to increase the supply of child care, to develop measures of, and supports for, child care quality, and to provide information to help parents make sound choices about child care.

In addition, partnerships among providers of child care, Head Start, public and private early childhood education, health, nutrition, mental health and parental employment preparation are essential to meeting the needs of young children and their families. ACF will continue to encourage collaboration at the federal, State and individual program levels to this end.

#### SUMMARY OF FY 1999 PERFORMANCE

Child Care and Development Fund grantees have many efforts underway to address access to child care for low-income families. As work continues in partnership with States to improve the data collection efforts, a number of indicators, including informal feedback from grantees, show that the number of children served by CCDF is increasing. For example, because some States have reduced the level of parent co-payments required, or have set lower co-payment amounts for the very lowest income families, they are able to increase the number of children served. A number of States indicate having raised their income eligibility standards in an effort to extend child care services to additional families. Other States have initiated new partnerships with the business community and with other early childhood service providers to expand the number of programs that offer child care services that match the hours parents are working or in training. The Child Care Bureau continues to encourage grantees to work toward making child care more affordable and accessible for low income families by offering technical assistance to grantees and information to grantees and the general public about successful initiatives across the country.

Despite this progress, existing resources are inadequate to meet the need for child care assistance. On October 19, 1999, the Secretary of Health and Human Services released a report indicating that nationally, in an average month in 1998, only 1.5 million of the 9.9 million low and moderate-income children eligible for CCDF assistance actually received help through the program—just 15 percent of children eligible under State criteria. The gap between eligibility and receipt of services would be greater if States had chosen to define the eligible population to include all of the low and moderate-income working families that are potentially eligible under Federal law—85 percent of State median income—an estimated 14.7 million children would have been eligible for subsidies in 1998, of whom only 10 percent were served.

Where possible, ACF has used FY 1998 data to establish baselines and projected targets for the Child Care performance measures. An intensive technical assistance effort has been instituted by the Bureau to aid States and Territories in developing high quality data. Due to this effort, the Bureau believes that FY1999 data is the most appropriate baseline on the national level for many of the performance measures, although significant reporting problems remain at the State/Territory level. Child Care and Development Fund grantees were required to submit final program data reports for FY 1999 by December 31, 1999. Performance data for FY 1999 should be available by April 30, 2000. A few of the performance measures will require the establishment of new reporting and/or data gathering methods. The Child Care Bureau intends to address these issues in several ways during FY 2000. Some of the information needed to track state performance is contained in the new FY 2000 and FY 2001 CCDF State Plans. These Plans will be used during FY 2000 to establish baselines. The Bureau also is exploring the addition of items related to performance measures reporting to the State Plan Preprint which is under revision for use in FY 2002 and FY 2003. Data needed for reporting performance on two measures related to child care quality (accreditation of facilities and the awarding of credentials to teaching staff) are available through national awarding/accrediting bodies. Baselines for these measures will be established in FY 2000.

### Summary Table

In the performance plan submitted in prior years, ACF identified proxy performance measures that addressed the three goals of the CCDF—affordability, availability, and quality of child care. At that time, ACF indicated that the Child Care Bureau would engage its grantees (the States) as stakeholders in a consensus-building process in FY 1999 to identify the actual measures for future reporting. That process was completed in September 1999 and the current measures listed below replace the proxy measures used as placeholders in previous reports. Working in partnership with the States, in FY 2000 the Child Care Bureau will complete the establishment of baseline data for these new and final performance measures.

Performance Goals	Targets	Actual Performance	Reference
<p><b>Program Goal: Increase the number of children of low income working families and families in training and education who have access to affordable child care.</b></p> <p>4a. In FY 2001, increase the number of children served by CCDF subsidies from the 1998 baseline average of 1.5 million served per month to 2.22. (Revised)</p>	<p>FY 01: 2.22 FY 00: 1.92 FY 99: N/A</p>	<p>FY 01: FY 00: FY 99: * FY 98: 1.53</p>	Px 60
<p>4b. In FY 2001, increase the percentage of potentially eligible children who receive CCDF subsidies from the FY 1998 baseline of 10% to 11.5%. (New)</p>	<p>FY 01:11.5% FY 00:11% New in 2001 FY 99: N/A</p>	<p>FY 01: FY 00: FY 99: * FY 98: 10%</p>	Px 60

4c. In FY 2001, decrease the average percentage of family income spent in assessed child care co-pay among families receiving CCDF subsidies from the FY 1998 baseline of 6.2% to 5.8%. (Revised)	FY 01: 5.8% FY 00: 5.8% FY 99: N/A	FY 01: FY 00: FY 99: * FY 98: 6.2%	Px 60
4d. In FY 2001, increase the number of slots in state regulated child care settings from the FY 2000 baseline. (Developmental—NOTE: This measure is not limited to subsidized child care slots.)	FY 01: FY 00: New in 2001 FY 99: N/A	FY 01: FY 00: Baseline	Px 61
4e. In FY 2001, increase the number of families working and/or pursuing training/education with support of CCDF subsidies from the FY 1998 baseline of 802,000 to 1.1 million. (New)	FY 01: 1.1 FY 00: 1.0 New in 2001 FY 99: N/A	FY 01: FY 00: FY 99: * FY 98: .802	Px 61
<b>*Availability of Data for FY 1999 Performance Report:</b> FY 1999 Data is due from States December 31, 1999. If all States meet this deadline, FY 1999 Actual Performance will be available by April 30, 2000.			
<b>Total Funding for Child Care Programs (including ELF in FY 01)</b>	FY 01: \$5169.9 FY 00: \$3552.6 FY 99: \$3175.9	Bx: budget just. section Px: page # performance plan	

## PERFORMANCE GOALS

The child care program is a recent consolidation under PRWORA of several earlier grant programs. Final regulations were released in July of 1998. ACF began the process of developing child care performance goals and performance outcome, output, and process measures shortly after the final regulations were released and continued to refine the measures throughout FY 1999. The Child Care Bureau discussed the goals and measures in a national conference, via telephone conferences and written communication, and in other meetings with partners in the States, Territories, and Tribes over the past year. The current set of appropriate and achievable program goals and measures was developed through this consensus-building process that incorporated significant opportunities for input from stakeholders. Data for many of the measures is available through existing reports that state grantees submit on an on-going basis. Baselines for these measures have been set with FY 1998 data. A few of the measures remain developmental and the methodology for data collection and reporting must be established during FY 2000.

(Additional child care program goals relating to quality of care may be found under ACF Strategic Objective 5, below.)

While the number and percentage of potentially eligible children receiving subsidized child care (4a) are outputs of the number of budget dollars invested (inputs), these quantities are results-oriented because the availability of child care subsidies directly supports self-sufficiency programs. An adequate supply of child care is an important intermediate stage on the way to improving family economic independence as well as a continuing necessity for sustaining such independence. ACF has also worked to develop outcome measures of both the affordability and the supply of care. One such measure is the co-payment measure (4c), which reflects State efforts in support of families gradually becoming more self-reliant by assuring that child care costs do not consume an excessive share of family

income. Measure 4d is an indicator of the general supply of regulated child care available in the market.

PROGRAM GOAL: Increase the number of children of low income working families and families in training and education who have access to affordable child care.

**4a. *FY 2000: Increase the number of children to 1.92 million served by CCDF subsidies from the FY 1998 baseline of average 1.5 million children served per month.***

***FY 2001: Increase the number of children to 2.22 million served by CCDF subsidies from the FY 1998 baseline of average 1.5 million children served per month.***

**4b. *FY 2000: Increase the percentage of potentially eligible children who receive CCDF subsidies to 11 percent from the 1998 baseline of 10%.***

***FY 2001: Increase the percentage of potentially eligible children who receive CCDF subsidies to 11.5 percent from the 1998 baseline of 10%.***

Data sources: Annual Aggregate Report, ACF-800; Child Care Quarterly Case -Level Report, ACF-801; Child Care Annual Report, ACF-700 (for Tribes only)

The above performance goals directly indicate achievement by counting the average actual number of children receiving services each month. The number served is directly related to the funding provided to the State grantees. This measure also interacts with the measures below on amount of co-pay charged to parents, as well as other State-determined policies such as eligibility criteria and provider payments. If the funding level does not change, additional children can be served only if the States make policy changes—such as increasing the parent co-pay. This measure also interacts with the quality measures under Strategic Objective 5 below since costs associated with increased quality will reduce the number of children receiving services, if funding remains unchanged.

**4c. *FY 2000: Decrease to 5.8 percent the average percentage of family income spent in assessed child care co-pay among families receiving CCDF subsidies from the baseline of 6.2% in FY1998.***

***FY 2001: Maintain at 5.8 percent the average percentage of family income spent in assessed child care co-pay among families receiving CCDF subsidies.***

Data sources: Child Care Quarterly Case-Level Report, ACF-801

The above performance goal indicates the affordability of child care for families served by expressing the out-of-pocket cost as a percentage of family income.

In addition to the issues of whether low-income families can afford child care services, the presence of child care services in the open market is a basic but important indicator of accessibility of services. The following performance goal addresses the availability of regulated child care slots in the market.

- 4d. FY 2001: Increase the number of slots in state regulated child care setting. (Developmental--Note: This measure is not limited to subsidized child care slots.)**

Data source: Under development. The number of regulated child care slots is being proposed as an optional data element for the annual aggregate ACF-800 data collection. The public comment period for the proposed revisions ends February 21, 2000 at which time it will be sent for OMB approval. The first data collection of this element will occur December 31, 2000.

The following performance goals assess the relationship between access to child care subsidies and parental ability to work or attend training/education leading to greater economic productivity.

- 4e. FY 2000: Increase the number of families working and/or pursuing training/education with support of CCDF subsidies to 1 million from the FY 1998 baseline of 802,000.**

**FY 2001: Increase the number of families working and/or pursuing training/education with support of CCDF subsidies to 1.1 million from the FY 1998 baseline of 802,000.**

Data source: Child Care Quarterly Case Level Report, ACF 801, Item #6, Response 1, 2, or 3

## OPERATIONAL PROCESSES, SKILLS, TECHNOLOGIES AND RESOURCES

Since the passage of PRWORA, ACF has spent over \$7 million per year in technical assistance to further grantees' ability to increase the accessibility, affordability, and quality of child care. Efforts continue to include systems development, with particular emphasis on helping States meet requirements for reporting and consumer education, assisting them in developing inclusion initiatives (e.g., for children with disabilities), and guidance on building successful linkages between child care programs and programs such as health services, early childhood education and Head Start.

## INTERNAL AND EXTERNAL COORDINATION

Quality early childhood programs provide a crucial linkage for comprehensive, healthy child development to prepare children to be successful in school and later in life. Quality programs also provide needed supports to parents who are moving toward self-sufficiency through training and work. In recognition of the importance of comprehensive services, ACF encourages State partners to create linkages between child care and health, family support, early childhood education and other services at the State and community levels. In

addition, ACF continues to collaborate at the federal level in order to facilitate coordination at the community level. To this end, ACF's child care program office continues to work within ACF in coordination with the TANF program, Head Start, and the Administration on Developmental Disabilities. For example, the Child Care and Head Start Bureaus jointly sponsor the QUILT (Quality in Linking Together) project which provides assistance to Head Start and child care grantees on successful ways to form program partnerships. Within HHS, the child care program participates with the Maternal and Child Health Bureau to sponsor the Healthy Child Care America Campaign, aimed at improving the health and safety of child care by creating strong linkages between the child care and health communities. Externally, ACF continues to partner with the Department of Labor's Welfare-to-Work grants program, the States (both individually and through national associations such as the American Public Human Services Association and the National Governors' Association), various national child care associations, and with the research community (e.g., the Child Care Research Consortium, funded by HHS). Special efforts are being made to foster partnerships between the private and the public sector. The Bureau sponsored Partnerships Project provides technical assistance to States and local communities in building coalitions and designing funding strategies involving both public and private entities.

In developing early childhood programs, States and communities craft together resources from a variety of sources, including the Child Care and Development Fund, Head Start, Early Head Start, Social Services Block Grant, Title I, Even Start, USDA Child and Adult Care Food Program, State funded pre-kindergarten programs, other State funding sources, foundations, charities and businesses. Collaboration builds on the strengths of each program and blends them together in a coordinated fashion for the benefit of both children and their families. Collaboration benefits the child by promoting continuity in services from infancy through school-age and benefits the parents by ensuring that early childhood programs support work.

The CCDF State Plans for FY 2000 and FY 2001 contain information concerning state initiatives around collaboration and, to some extent, the results of their initiatives. ACF will be able to report on these efforts in FY 2000 and FY 2001.

## DATA VERIFICATION AND VALIDATION

The Federal Child Care Information System collects all aggregate and case-level data required in the statute for the Child Care and Development Fund program. Aggregate State-level data is submitted via the Internet and stored in a database in the Child Care Bureau. All data that is received by the Federal Child Care Information System will be stored in a national data set. Data standards have been set and training and technical assistance has been provided to all States and territories regarding reporting requirements and submission procedures. Those few States that continue to have difficulties in collecting and transmitting required data are receiving additional on-site technical assistance.

The Federal Child Care Information System will collect two sets of child care data: State-level data and case-level data, from the 50 States, the District of Columbia, Puerto Rico and the Territories of American Samoa, the Commonwealth of the Northern Mariana Islands

Guam, and the Virgin Islands. States are responsible for compiling this information at the State level (for the majority of States this is done through an automated child care information system) and transmitting it electronically to the Federal Child Care Information System.

Upon receiving child care data from the States, the Federal Child Care Information System will notify States that their transmission was successful. It also performs a series of edit checks to determine whether the data meet data quality standards. A data quality assessment is provided to give feedback on missing, out-of-range, and internally inconsistent data, as well as cross-file notes. Data that fail to meet these data quality standards will be marked as either suspect or unacceptable and listed in data quality reports, which are sent to States and personnel within ACF. Data marked as unacceptable will be cleaned or blanked. Data sources for the few remaining developmental performance measures will be identified. Verification and validation procedures for these data sources (which may include sources outside the State Lead Agencies) will be addressed as the sources are identified.

(These data verification and validation approaches also apply to the Child Care Quality objective, which follows.)

<b>STRATEGIC GOAL 2: IMPROVE HEALTHY DEVELOPMENT, SAFETY AND WELL-BEING OF CHILDREN AND YOUTH</b>
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### **Rationale**

The future of the Nation—its democracy, the economy, and the social fabric—depends upon how America protects and nurtures its children. Critical indicators of child well being include health status, educational attainment, economic status, family structure, quality of early childhood development experiences, safety, and stability. Head Start, child care, child welfare, and youth programs together provide a broad range of services that contribute to the economic and emotional security, health, safety, and stability of home environments while providing stimulating learning experiences for children and youth. In addition to our work to ensure safety and security for children served by the child welfare system, ACF will continue to provide leadership and support for public and private nonprofit programs across the Nation that shelter runaway and homeless youth, reunite them with their families when possible, and assist them in making satisfactory transitions to independence when necessary. ACF is committed to helping these “older children” effectively meet the challenges of adolescence and development into adulthood.

Economic hard times increase stresses on families and sometimes may be associated with increases in foster care placements or the need for child abuse interventions. Certain measures may be affected by national policy and practice debates such as whether family reunification or termination of parental rights is in the best interest of an at-risk child. The ability of families to provide good parenting may also be affected by the availability of resources outside of ACF's purview, such as housing, mental health or substance abuse services. ACF and its partners depend on other programs to provide ancillary services for low-income families and youth in crisis, but these services are often limited or unavailable.

**The objectives and major program areas under this goal are:**

5. ***Increase the quality of child care to promote childhood development***
  - Child Care: Quality
  - Head Start
6. ***Improve the health status of children***
  - Head Start: Health Status
7. ***Increase safety, permanency, and well being of children and youth***
  - Child Welfare
  - Developmental Disabilities: Education
  - Developmental Disabilities: Health
  - Youth Programs

***5. Increase the quality of child care to promote childhood development***

**Approach for the Strategic Objective:** Provide high quality early childhood programs, such as Head Start or accredited child care programs, so that early childhood experiences enhance children's development and school readiness.

**CHILD CARE: QUALITY**

**Program Description, Context, Legislative Intent and Broad Program Goals**

In our efforts to break the cycle of poverty and dependency, it is essential to focus both on parents and the upcoming generation. Parents are more likely to succeed in employment and self-sufficiency if they have confidence in their child care arrangements. Beyond issues of health and safety, child care impacts the cognitive, emotional, and social development of children. Research has begun to document the most important early influences on children's development and factors, which contribute to the quality of early child care.

ACF works with State administrators, professional groups, service providers, and others to identify elements of quality and appropriate measures; to inform States, professional organizations, and parents about what constitutes quality in child care; to influence the training of child care workers and accreditation; to improve linkages with health care services and with Head Start, and to otherwise take steps to improve the quality of child care nationally.

Infants and toddlers have been specifically designated by the Assistant Secretary for Children and Families as a priority for attention by all ACF programs. Close cooperation with Early Head Start is underway to address these populations. The second year of funding for the President's Child Care Initiative for working families includes an increase of \$600 million to create the Early Learning Fund, a critical investment in ensuring that our youngest and most vulnerable children—infants, toddlers, and preschoolers—have the chance to learn, to develop fully, and to stay safe. The Early Learning Fund will provide challenge grants to communities (distributed by States) to improve care in a variety of child care settings.

(See also background information under Child Care "Affordability" goal, above)

## SUMMARY OF FY 1999 PERFORMANCE

States continue to expand the innovative ways in which they are using quality improvement funds within the CCDF to assure more children are cared for in environments that support their developmental needs. For example, related to an earmark established by Congress to improve care for infants and toddlers, most States are reporting specific initiatives designed to increase training for providers working with infants and toddlers. Many States have established infant-toddler initiatives that include grants and loans to improve quality, recruitment efforts, health consultation for providers, and incentives for providers to become accredited. As compared to 1997 CCDF Plans, States are more likely to report the availability of higher reimbursement rates related to quality, provider grants and loans, and efforts to increase the compensation received by workers in child care.

The Child Care Bureau supports grantees' efforts in this area by developing guidance materials listing successful programs and models for quality improvement activities, and by making information on quality improvement available to grantees and the public through the National Child Care Information Center. The Bureau, in partnership with HHS' Maternal and Child Health Bureau, sponsors the Healthy Child Care America campaign in order to develop and strengthen linkages between child care providers, health professionals, and families, and ultimately to improve the health and safety of children in child care settings. In addition, the Bureau has sponsored national conferences and leadership forums on use of technology to support improved quality in child care, collaboration among early childhood programs, building public/private partnerships and other related topics.

One key strategy for improving the quality of care, as well as its affordability and availability, is to create linkages between CCDF, early childhood programs, and other agencies that provide crucial services to children and families. The Child Care Bureau, through policy and technical assistance, has worked to promote collaboration. In their FY 1997 and FY 1999 CCDF Plans, State Lead Agencies were required to report on their activities to coordinate child care services with other child-serving entities. Below is a summary of these reported activities. The Child Care Bureau will be analyzing collaborative activities reported in FY 2000 and FY 2001 Plans to track progress over time.

In FY 1997 and FY 1999 Plans, 39 States reported that they coordinate with Head Start agencies to provide coordinated child care services, 27 administered or coordinated with the State Head Start Collaboration Project, and 31 coordinated programs, activities, services, and training opportunities with the State Department of Education or Public Instruction. Thirty-two reported coordination with the Department of Health to improve immunization rates, provide training to providers, monitor compliance with health and safety regulations, and improve the child care programs. In addition, 19 States administered or closely coordinated to create statewide Healthy Child Care campaigns or to develop statewide networks for the delivery of health systems through child care programs. Twenty State Lead Agencies said they coordinate directly with tribal communities to improve service delivery to dually eligible children. Thirty-one coordinated with the

TANF agency, 20 with organizations working on school-age care issues, and 23 with the agency administering early intervention programs for children with disabilities.

### Summary Table

In the performance plan submitted in prior years, ACF identified proxy performance measures that addressed the three goals of the CCDF—affordability, availability, and quality of child care. At that time, ACF indicated that the Child Care Bureau would engage its grantees (the States) as stakeholders in a consensus-building process in FY 1999 to identify the actual measures for future reporting. That process was completed in September 1999 and the current measures listed below replace the proxy measures used as placeholders in previous reports. Working in partnership with the States, in FY 2000 the Child Care Bureau will complete the establishment of baseline data for these new and final performance measures

Performance Goals	Targets	Actual Performance	Reference
<b>Program Goal: The quality of child care services will improve over time.</b>			Px 67
5a. In FY 2001, increase by 1% the number of child care facilities nationwide that are accredited by a nationally recognized early childhood development professional organization from the FY 1999 baseline.	FY 01: FY 00: FY 99: N/A	FY 01: FY 00: FY 99: Baseline *	
5b. In FY 2001, increase the number of Child Development Associate credentials awarded nationwide from the FY 1999 baseline. (New)	FY 01: FY 00: New in 2001 FY 99: N/A	FY 01: FY 00: FY 99: Baseline *	Px 68
5c. In FY 2001, increase the number of States conducting routine unannounced inspections of regulated providers from the FY 2000 baseline. (New)	FY 01: FY 00: New in 2001 FY 99: N/A	FY 01: FY 00: Baseline *	Px 68
* <b>Availability of FY 1999 Data:</b> Data for these measures are not currently available in that they are not included in required state reports. However, outside sources of the data are being identified and it is expected that FY 1999 performance will set the baseline for 5a and 5b. Data sources are in process of being identified. Data on credentials awarded for FY 1999 is expected to be available by June 1, 2000. Baseline for 5c will be set in FY 2000 through a process of working with the State Lead Agencies for the CCDF to identify State level data sources.			
<b>Total Funding for Child Care including Quality</b>	FY01: \$5169.9 FY00: \$3552.6 FY99: \$3175.9	Bx: budget just. section Px: page # performance plan	

### PERFORMANCE GOALS

Under the Child Care and Development Block Grant, a minimum of 4 percent of funds must be used to improve the quality of child care and offer additional services to parents, such as resource and referral counseling regarding the selection of appropriate child care

providers to meet their child's needs. Additional funds are also earmarked for quality improvements.

To improve the health and safety of available child care, many States have provided training, grants and loans to providers, improved monitoring, developed child care worker compensation enhancement projects, and other innovative programs. Tribes may use a portion of their funds to construct child care facilities provided there is no reduction in the current level of child care services.

The above investments are inputs and, in some cases, intermediate outputs. These child care measures have been identified given the current state of available data. Recognized accreditation organizations provide credible ratings of individual provider quality.

Because baseline data are not yet available for the child care measures, target percentage increases cannot be specified at this time. However, data for FY 1999 performance is anticipated to be available by June 2000 for the first two measures. Data for FY 2000 may be available by April 2001 for the third measure. As the baseline data become available, target percentage increases will be specified.

***5a. FY 2000: Increase by 1% the number of child care facilities that are accredited by nationally recognized early childhood development professional organizations and accrediting entities from the FY 1999 baseline.***

***FY 2001: Increase by an additional 1% the number of child care facilities that are accredited by nationally recognized early childhood development professional organizations and accrediting entities from the FY 1999 baseline.***

Data source: National Early Childhood Professional Organizations and Accrediting Entities. The Child Care Bureau will continue to work with stakeholders, including States and National Organizations, to capture information concerning accreditation programs and to collaboratively develop a strategy to more formally address this information need. We anticipate that the data source will be identified by the end of the year.

The above performance goal is an indicator of quality improvement on a nationwide basis. Child care facility accreditation has been linked to better outcomes for children and is growing in acceptance as a marker of good quality care. Several States use Child Care and Development Fund quality improvement funds in various ways to support facility accreditation.

Through intense efforts with program stakeholders to explore alternative ways to measure progress in improving the quality of child care services, the following performance goals have been developed. These goals address the levels of safety necessary to support children's development in child care settings and the higher levels of quality reflected by facilities in which staff have achieved nationally recognized educational credentials.

**5b. *FY 2000: Increase the number of Child Development Associate credentials awarded nationwide from the FY 1999 baseline.***

***FY 2001: Increase the number of Child Development Associate credentials awarded nationwide from the FY 1999 baseline.***

Data source: Child Care State Plans. In addition, the Child Care Bureau will continue to work with stakeholders, including States and National Organizations, to capture information and to collaboratively develop a strategy to more formally address this information need. We anticipate that any additional data source will be identified by the end of the year.

**5c. *FY 2001: Increase the number of States conducting routine unannounced inspections of regulated providers from the FY 2000 baseline.***

Data source. The number of States conducting routine unannounced inspections is being proposed as an optional data element for the annual aggregate ACF-800 data collection. The comment period for the proposed revisions ends February 21, 2000 at which time it will be sent for OMB approval. The first data collection of this element will occur December 31, 2000.

## INTERNAL AND EXTERNAL COORDINATION

In addition to the partnerships mentioned previously, ACF is working with HHS health agencies, including Maternal and Child Health, Community Health Centers, mental health programs, and the Health Care Financing Administration (and their constituencies) to achieve health targets.

NOTE: See Child Care "Affordability" goal above for "data verification/validation" and "operational processes, skills, technologies and resources."

## HEAD START

### **Program Description, Context, Legislative Intent and Broad Program Goals**

Head Start is a national program that provides comprehensive developmental education, health, mental health, nutrition and social services for America's low-income, preschool children ages three to five and their families. The basic philosophy that undergirds the Head Start program is that children benefit from quality early childhood experiences and that effective intervention can be accomplished through high quality comprehensive services for children, along with family and community involvement. Head Start provides diverse services to meet the goals of three major content areas: early childhood development and health services; family and community partnerships; and program design and management. Approximately 1,520 community-based organizations develop unique and innovative programs to meet specific needs, following the guidelines of Program Performance Standards,

last updated in January 1998. In 1998, there were 15,872 centers and 48,004 classrooms, in which 822,316 children were served. It is estimated that 27 percent of 3-year-olds and 48 percent of 4-year-olds from families at or below the Federal poverty line are enrolled in the program. Thirty-six percent of the families served are African-American; 32 percent are White; 26 percent are Hispanic; 3 percent are American Indian; and 3 percent are Asian.

Grants are awarded to local public or private non-profit agencies; the 1998 Head Start Reauthorization made profit-making agencies eligible as well. The community must contribute twenty percent of the total cost of a Head Start program. Head Start programs operate in all 50 States, the District of Columbia, Puerto Rico, and the U.S. territories.

The 1994 Head Start Reauthorization established a new program, Early Head Start, for low-income pregnant women and families with infants and toddlers. The program was designed with the advice of the Advisory Committee on Services to Families with Infants and Toddlers, which was established by the Secretary of HHS. The program focuses on four cornerstones essential to quality programs: child development, family development, community building, and staff development. The program is accompanied by a major research effort to identify, develop, and apply measures of quality and outcomes for children and families. In 1999, Early Head Start served approximately 39,000 children in 525 programs around the country.

The primary goal of Head Start is to promote the social competence and school readiness of low-income children. The program embraces the comprehensive view of school readiness recommended by the National Education Goals Panel (Kagan, Moore & Bredekamp, 1995). This view encompasses five developmental domains key to school readiness: physical well being and motor development; social and emotional development; approaches to learning; language development and emerging literacy; and cognition and general knowledge. In order to carry out its primary goal, the Head Start Program Performance Measures are organized around five program goals:

- Enhance children's healthy growth and development;
- Strengthen families as the primary nurturers of their children;
- Provide children with educational, health, and nutritional services;
- Link children and families to needed community services; and
- Ensure well-managed programs that involve parents in decision-making.

Each of these program goals represents a cornerstone of the Head Start program. The child and family-oriented program goals represent outcomes or results that the program is designed to produce. The last three program goals contain the process measures that are key to the attainment of the first two.

For the first time, Head Start is collecting its own data on child and family outcomes, in addition to the process data long available through program report and monitoring. The Family and Child Experiences Survey (FACES) is a longitudinal study of a nationally representative sample of 3200 children and families in 40 Head Start programs. OMB approval was granted in July 1997, following a field test of 2400 children in spring 1997. Full implementation began in fall 1997 and includes assessment of the same children before and after their Head Start experience (whether one or two years), as well as after a year of kindergarten. Data sources include parent interviews, staff interviews, teacher questionnaires,

classroom observations, and direct child assessments. FACES is designed as a periodic, longitudinal data collection activity, which is currently yielding baseline data for 1999. Because of the need to collect longitudinal data, including pre- and post-test and follow-up data on child performance in order to assess progress, it is not feasible to provide FACES data on an annual basis. However, regular, periodic data collection of both program quality and outcome measures will ensure that the Head Start program provides a regular, national picture of program quality. Current plans project a three-year cycle of data collection with new, nationally-representative samples of Head Start programs. Administrative data will continue to be collected annually through the Program Information Report.

The requested increase in Head Start, \$1 billion, will fund 70,000 additional children including expanded services to infants and toddlers and continued quality improvements. Head Start quality improvement increases will be made available to programs to pay for courses that lead to a degree, to support teachers' access to and success in completing degree courses and to increase teacher compensation tied to the achievement of AA or BA or advanced degrees.

#### SUMMARY OF FY 1999 PERFORMANCE

A study of Head Start's nationally representative sample of children, families and programs has yielded encouraging results. First, Head Start classroom quality is good on average, with approximately 75 percent of over 500 observed classrooms rated good quality or higher on the Early Childhood Environment Rating Scale. No classrooms scored below a minimal level of quality, unlike many studies of other preschool and child care settings. In addition, Head Start classroom quality is linked to child outcomes. For example, children score higher on early literacy measures when they experience richer teacher-child interaction, more language-learning opportunities, and a classroom well-equipped with learning resources.

Head Start children have been found to be ready for school, having many of the cognitive and social skills that indicate readiness to learn more in kindergarten. FACES uses measures of child performance for which there are national norms available, such as the Peabody Picture Vocabulary Test – III and subtests of the Woodcock-Johnson Psychoeducational Battery-Revised. Note that national mean scores are the average scores achieved by children at all levels of income. Children in the highest quarter of the FACES sample scored close to the national mean on vocabulary, math, letter identification and dictation tasks at the end of Head Start, although the median score for Head Start children was approximately 10 points below the national mean. During the Head Start year, children in Head Start made significant gains in some areas (i.e., vocabulary and social skills), while showing a need for improvement in other areas (i.e., letter recognition) suggesting that programs could be doing more. By the end of kindergarten, Head Start children show significant gains in knowing letters, writing letters, and writing their names compared to national norms.

Grantees have maintained a high level of employing parents in the Head Start program; nearly 30% of present Head Start employees are parents of Head Start children. Head Start intends to meet the goal established in the legislation for qualified teaching staff. We

believe this will have a significant impact in the outcomes for children that address “readiness for school.”

In addition, Head Start parents have demonstrated remarkable involvement and satisfaction with the program. During this fiscal year, an independent study of customer satisfaction with Head Start yielded the highest ratings of any program in the Federal Government. Findings from the Head Start FACES study, based on a national probability sample of parents, confirm the findings reported in the American Customer Satisfaction Index. For example, parents in both studies demonstrate a high degree of satisfaction with Head Start's support of their child's growth and development, preparation for kindergarten, and provision of health and other services. They also indicate Head Start's openness to their own cultural backgrounds, ideas, and participation, as well as fostering their role in the wider community. Taken together, the findings of these two studies amply demonstrate that Head Start's customers are highly satisfied with the quality of the program they receive, and support the continued provision of these important benefits to children and families.

The indicators below refer to numerical measures of gain in word knowledge (vocabulary), mathematical skills, letter identification, fine motor skills (e.g., writing, copying designs), social skills (classroom social behavior such as following instructions, turn-taking, attention, etc.)

**Summary Table**

Performance Goals	Targets	Actual Performance	Reference
<p><b>Program Goal: Enhance Children’s Growth and Development:</b></p> <p>Objectives: (1) Children demonstrate improved emergent literacy, numeracy and language skills.            (2) Children demonstrate improved general cognitive skills.</p> <p>5d. In FY 2001, maintain at the FY 1999 baseline of 10 points the average gain in word knowledge. (New)</p> <p>5e. In FY 2001, maintain at the FY 1999 baseline of 3 points the average gain in mathematical skills. (New)</p> <p>5f. In FY 2001, maintain in FY 2000 and increase in FY 2001 the FY 1999 baseline of 1.5 points the average gain in letter identification. (New)</p>	<p>FY 01: 10            FY 00: 10            FY 99: N/A</p> <p>FY 01: 3            FY 00: 3            FY 99: N/A</p> <p>FY 01: 3.4            FY 00: 1.5            FY 99: N/A</p>	<p>FY 01:            FY 00:            FY 99: 10</p> <p>FY 01:            FY 00:            FY 99: 3</p> <p>FY 01:            FY 00:            FY 99: 1.5</p>	<p>Px 74</p>

<p>(3) Children demonstrate improved gross and fine motor skills.</p> <p>5g. In FY 2001, increase to 1.24 from the FY 1999 baseline of 1.05 points the average gain in fine motor skills. (New)</p>	<p>FY 01: 1.24 FY 00: 1.05 FY 99: N/A</p>	<p>FY 01: FY 00: FY 99: 1.05</p>	<p>Px 74</p>
<p>(4) Children demonstrate improved positive attitudes toward learning. (5) Children demonstrate improved social behavior and emotional well being.</p> <p>5h. In FY 2001, maintain at the FY 1999 baseline of 1.4 points the average gain in social skills. (New)</p>	<p>FY 01: 1.4 FY 00: 1.4 FY 99: N/A</p>	<p>FY 01: FY 00: FY 99: 1.4</p>	<p>Px 74</p>
<p>(6) Children demonstrate improved physical health.</p> <p>5i. In FY 2001, raise to 80% from the FY 1999 baseline of 77% the percentage of children rated by parent as being in excellent or very good health. (New)</p>	<p>FY 01: 80% FY 00: 77% FY 99: N/A</p>	<p>FY 01: FY 00: FY 99: 77%</p>	<p>Px 75</p>
<p><b>Program Goal: Strengthen Families</b> Objective: (1) Head Start parents demonstrate improved parenting skills.</p> <p>5j: In FY 2001, raise to 70% from the FY 1999 baseline of 66% the percentage of parents who read to child three times per week or more. (New)</p> <p>In FY 1999, maintain the percentage of children who are taken to the library at least once a month. (Measure dropped in FY 2000.)</p>	<p>FY 01: 70% FY 00: 66% FY 99: N/A</p> <p>FY 00: (dropped) FY 99: 30%</p>	<p>FY 01: FY 00: FY 99: 66%</p> <p>FY 99: 30% FY 98: 30%*</p>	<p>Px 76</p>
<p>* This percentage is based on the most recent FACES survey information.</p>			
<p>(2) Parents improve their self-concept and emotional well being. (3) Parents make progress toward their educational, literacy and employment goals.</p> <p>5k. In FY 2001, maintain at the FY 1999 baseline of 30%, the number of Head Start parents who are employed as Head Start staff.</p>	<p>FY 01: 30% FY 00: 30% FY 99: 30%</p>	<p>FY 01: FY 00: FY 99: 30.6% FY 98: 29%</p>	<p>Px 76</p>
<p>* Of approximately 163,600 employees, 50,000 are parents.</p>			

<p><b>Program Goal: Children receive educational services.</b> Objective: (1) Programs provide developmentally appropriate educational environments.</p> <p>5l. In FY 2001, increase to 100% from an estimated FY 1999 percentage of 93% the number of classroom teachers with a degree in early childhood education (ECE), a child development associate credential, a State-awarded preschool certificate, a degree in a field related to ECE plus a State awarded certificate or who are in CDA training and have been given a 180 day waiver, consistent with the provisions of Section 648A(a)(1) of the Head Start Act.</p>	<p>FY 01: 100% FY 00: 100% FY 99: 100%</p>	<p>FY 01: FY 00: FY 99: 93%* FY 98: 95%</p>	<p>Px 76-77</p>
<p>(2) Staff interact with children in a skilled and sensitive manner.</p> <p>5m. In FY 2001, maintain at the FY 1999 baseline of 73 points the average lead teacher score on an observational measure of teacher-child interaction. (New)</p>	<p>FY 01: 73 FY 00: 73 FY 99: N/A</p>	<p>FY 01: FY 00: FY 99: 73</p>	<p>Px 77</p>
<p><b>Availability of FY 1999 Data: All measures have FY 1999 actual performance data included.</b></p>			
<p><b>Total Funding for All Head Start Measures:</b></p>	<p>FY 01: \$6267.0 FY 00: \$3867.0 FY 99: \$4658.1</p>	<p>Bx: budget just. section Px: page # performance plan</p>	

**PERFORMANCE GOALS**

**PROGRAM GOAL:** Enhance children's growth and development.

Head Start's educational program is designed to meet the needs of each child, the community served, and its ethnic and cultural characteristics. Every child receives a variety of learning experiences to foster intellectual, social, and emotional growth.

The measures, baseline data and targets for the following indicators are based on data from the Family and Child Experiences Survey (FACES), a periodic longitudinal data collection from a nationally representative sample of 3200 Head Start children and families. The instruments used in FACES were designed to tap the major domains of social competence, also called school readiness. Children's cognitive development and early academic skills were measured through a direct child assessment administered by trained assessors. Children's developing social skills and approaches to learning were assessed by means of standardized scales filled out by teachers and parents and by direct observation of children's social play. Classroom quality was assessed through direct observations during the course of the Head Start day by trained observers using tools common to large-scale studies of early educational settings. Average scores are calculated for a nationally representative sample of children completing the Head Start program. These scores represent the concept that, over the course of the Head

Start year, on average, children should be expected to demonstrate progress. In some areas, Head Start children are already meeting this standard, while in other areas, increased programmatic attention to these goals will be required to meet the standard. This increased attention is being addressed through multiple approaches at the program level.

Objectives: Children demonstrate improved emergent literacy, numeracy and language skills.

Children demonstrate improved general cognitive skills.

**5d** *FY 2000: Maintain at the FY 1999 baseline of 10 points the average gain in word knowledge.*

*FY 2001: Maintain at the FY 1999 baseline of 10 points the average gain in word knowledge.*

**5e.** *FY 2000: Maintain at the FY 1999 baseline of 3 points the average gain in mathematical skills.*

*FY 2001: Maintain at the FY 1999 baseline of 3 points the average gain in mathematical skills.*

**5f.** *FY 2000: Maintain at the FY 1999 baseline of 1.5 points the average gain in letter identification.*

*FY 2001: Raise from the FY 1999 baseline of 1.5 to 3.4 points the average gain in letter identification.*

Objective: Children demonstrate improved gross and fine motor skills.

**5g.** *FY 2000: Maintain at the FY 1999 baseline of 1.05 points the average gain in fine motor skills.*

*FY 2001: Increase from the FY 1999 baseline of 1.05 to 1.24 points the average gain in fine motor skills.*

Objectives: Children demonstrate improved positive attitudes toward learning

Children demonstrate improved social behavior and emotional well being.

**5h.** *FY 2000: Maintain at the FY 1999 baseline of 1.4 points the average gain in social skills.*

*FY 2001: Maintain at the FY 1999 baseline of 1.4 points the average gain in social skills.*

Objective: Children demonstrate improved physical health.

**5i. FY 2000: Maintain at the FY 1999 baseline of 77% the percentage of children rated by parent as being in excellent or very good health.**

**FY 2001: Raise from the FY 1999 baseline of 77% to 80% the percentage of children rated by parent as being in excellent or very good health.**

Data sources: Family and Child Experiences Survey (FACES) including child assessments, parent interviews and teacher ratings.

**PROGRAM GOAL:** Strengthen families

An essential part of Head Start is the involvement of parents in parent education, program planning, and operating activities. Many parents serve as members of policy councils and committees and have a voice in administrative and managerial decisions. Participation in classes and workshops on child development and staff visits to the home allow parents to learn about the needs of their children and about educational activities that can take place at home. Presently, approximately 50,000 parents of Head Start children are employed as paid program staff. Head Start aims to foster family and community partnerships so community resources can be brought to bear in helping families meet their needs. Services are geared to each family after its specific needs are determined, in areas such as education, training and employment services, counseling, and crisis/emergency intervention and services.

The Head Start Family and Child Experiences Survey (FACES) included interviews with parents of Head Start children. In the spring of 1998, 2,688 parents interviewed were a nationally representative sample of all those with children enrolled in Head Start. As part of these interviews, a series of questions were asked about satisfaction with Head Start services and perceptions of their Head Start experiences.

Parents participating in the Head Start FACES study reported very high levels of satisfaction with the program's performance in each of eight areas. Responses were given on a 5-point scale, ranging from "very dissatisfied" to "very satisfied."

<b>Head Start Performance</b>	<b>% parents "satisfied"</b>	<b>% parents "very satisfied"</b>
Head Start prepared their child for kindergarten.	over 96%	85%
Head Start is open to their ideas and participation.	over 97%	77%
Head Start helped their child grow and develop.	98%	86%
Head Start supported and respected the family's culture and background.	98%	87%
Head Start identified and provided services for the child -- health screenings, help with speech and language development.	96%	86%
Head Start maintained a safe program.	98%	89%
Head Start identified and helped provide services to help the families.	84%	65%
Head Start helped parents become more involved in groups that are active in the community.	87%	60%

Additional questions from the FACES parent interview gave a very positive picture of parent attitudes toward their child's and their own experiences with Head Start. For example, 96 percent of parents reported that their child "has been happy in the program"

often or always; over 97 percent reported that their child "is treated with respect by teachers"; and nearly 96 percent noted that the teacher is supportive of them as parents.

These findings from the Head Start FACES study, based on a national probability sample of parents, confirm the findings reported in the recent American Customer Satisfaction Index. For example, parents in both studies demonstrate a high degree of satisfaction with Head Start's support of their child's growth and development, preparation for kindergarten, and provision of health and other services. They also indicate Head Start's openness to their own cultural backgrounds, ideas, and participation, as well as fostering their role in the wider community. Taken together, the findings of these two studies amply demonstrate that Head Start's customers are highly satisfied with the quality of the program they receive, and support the continued provision of these important benefits to children and families.

Objective: Head Start parents demonstrate improved parenting skills.

**5j** *FY 2000: Maintain at the FY 1999 baseline of 66% the percentage of parents who read to child three times per week or more.*

*FY 2001: Raise from the FY 1999 baseline of 66% to 70% the percentage of parents who read to child three times per week or more.*

Data Sources: Family and Child Experiences Survey (FACES) parent interviews

Objectives: Parents improve their self-concept and emotional well being.

Parents make progress toward their educational, literacy and employment goals.

**5k.** *FY 2000: Maintain at the FY 1999 baseline of 30% the number of Head Start parents who are employed as Head Start staff.*

*FY 2001: Maintain at the FY 1999 baseline of 30% the number of Head Start parents who are employed as Head Start staff.*

Data sources: Head Start Program Information Report.

PROGRAM GOAL: Children receive educational services.

Objective: Programs provide developmentally appropriate educational environments.

Head Start has devoted quality improvement dollars specifically for the purpose of upgrading teacher qualifications.

**5l.** *FY 2000: Increase from an estimated 93% to 100% the number of classroom teachers with a degree in early childhood education (ECE), a child development associate credential, a State-awarded preschool*

*certificate, a degree in a field related to ECE plus a State-awarded certificate, or who are in CDA training and have been given a 180 day waiver, consistent with the provisions of Section 648A(a)(2) of the Head Start Act.*

*FY 2001: Maintain at 100% the number of classroom teachers with a degree in early childhood education (ECE), a child development associate credential, a State-awarded preschool certificate, a degree in a field related to ECE plus a State-awarded certificate, or who are in CDA training and have been given a 180 day waiver, consistent with the provisions of Section 648A(a)(2) of the Head Start Act.*

Data Sources: PIR

Objective: Staff interact with children in a skilled and sensitive manner.

*5m. FY 2000: Maintain at the FY 1999 baseline of 73 points the average lead teacher score on an observational measure of teacher-child interaction.*

*FY 2001: Maintain at the FY 1999 baseline of 73 points the average lead teacher score on observational measure of teacher-child interaction.*

Objective: Programs support and respect children's culture.

Head Start programs endeavor to meet the needs of diverse communities and cultures in America. 64 percent of all Head Start programs enrolled children from more than one dominant language, and 20 percent enrolled children from four or more dominant language groups. Besides staffing Head Start centers with staff speaking the same language as the enrolled children, Head Start provides special programs for special populations. Head Start programs teach an appreciation of the cultures of all enrolled children and provide culturally relevant classroom and other activities.

Objective: Programs provide individualized services for children with disabilities.

In FY 1999 Head Start served more than 109,000 children with disabilities, which was 13 percent of the total enrollment. Disabilities included visual, hearing, speech, and health impairments, mental retardation, serious emotional disturbances, specific learning disabilities, and developmental delays. In FY 1999, 93 percent of these children had Individualized Education Plans (IEPs).

## OPERATIONAL PROCESSES, SKILLS, TECHNOLOGIES AND RESOURCES

Most of the Head Start program's appropriation funds local Head Start projects. The remainder is used for: training and technical assistance to assist local projects in meeting the Head Start program performance standards and in maintaining and improving the quality of local programs; research, demonstration, and evaluation activities to test innovative program models and to assess program effectiveness; and required monitoring activities.

*Head Start program monitoring:* Head Start's legislation requires that a team led by a Federal representative examine Head Start program compliance at least every three years for each program. ACF regional office and central office staff conduct more than 500 on site reviews each year. Costs for staffing review teams and locating them at Head Start sites cost approximately \$12 million annually.

*Other information and management systems:* All programs receiving Head Start funds are required to submit an annual Program Information Report which tracks program participation statistics such as the age of children, the kind of education program they receive, and medical, dental and mental health services the children receive. Annual one-time questions capture information about children's families and the kind of support services they require such as job training, education, housing, counseling and other community based services. Head Start's Cost Analysis System tracks hourly, daily and annual costs across service components and allows judgements to be made by Federal officials about the reasonableness of a Head Start grantee's proposed costs.

*Head Start training and technical assistance network and quality improvement centers:* Head Start devotes approximately \$39 million annually to support regional and sub regional Head Start quality improvement centers. There is a national Early Head Start Resource Center for leadership and support in training and technical assistance for programs enrolling infant, toddlers and pregnant women. All training and technical assistance services foster collaboration between community agencies, governments, academic institutions and Head Start programs.

## INTERNAL AND EXTERNAL COORDINATION

Extensive input regarding future directions for the Head Start Program was conducted in 1993 by the Advisory Committee on Head Start Quality and Expansion. In addition, input specifically regarding the development of Early Head Start was sought through the Advisory Committee on Services for Families with Infants and Toddlers. Public comment on revised performance standards for the Head Start programs was solicited through focus groups and then through the rulemaking process. In the operation of local programs, revised Head Start regulations require grantees to coordinate activities regarding the transition of Head Start children to school and to encourage cooperation between Head Start staff and their counterparts in other preschool and child care programs, particularly those operated through title I funding and Even Start.

Head Start and Department of Education staff have developed strategies to support the attainment of the first of the Goals 2000 objectives, that "all children in America will start school ready to learn," and have collaborated regarding issues arising from the transition of children from Head Start to school programs.

Early Head Start is pivotal to the ACF Assistant Secretary's "Infants and Toddlers" priority, which requires ACF programs to coordinate their efforts on behalf of this priority. A close working relationship has been established with the child care programs of ACF, with the National Institute of Child Health and Human Development, with early childhood researchers of the Department of Education, and others.

## DATA VERIFICATION AND VALIDATION

The FACES data collection effort requires a data collection site manager and trained field interviewers and child assessment specialists, and therefore includes resources for training of data collection specialists. On-site quality control visits by trainers occur regularly to maintain reliability of observational assessments. As currently configured, FACES will not provide annual data. ACF is anticipating drawing new samples every three years. The initial round of FACES data collection was begun in the 1997-98 program year, with follow-up for the second program year, 1998-99. According to current plans, the next round of FACES data collection is projected to begin in fall 2000.

Data collection for the Family and Child Experiences Survey (FACES) includes carefully defined collection procedures and methods for maximizing response rates. The methodology includes employing probability proportional to size procedures for selection of a nationally representative sample of data collection sites and random selection of a nationally representative sample of Head Start children and families across the country, and the use of a central study processing point for data cleansing, entry and verification. These procedures are specifically noted in Head Start's OMB-approved study design.

For performance measures which are supported, in part, by the Head Start Program Information Report, automated edit checks of most fields are used to ensure accuracy. These data are collected at all sites and there is a 100 percent annual response rate.

### ***6. Improve the health status of children***

**Approach for the Strategic Objective:** For children enrolled in Head Start, provide access to regular medical and dental examinations, immunizations and required medical and dental treatments.

## **HEAD START: HEALTH STATUS**

### **Program Description, Context, Legislative Intent and Broad Program Goals**

Head Start emphasizes the importance of the early identification of health problems. Every child is involved in a comprehensive health program, which includes immunizations, medical, dental, and mental health, and nutritional services.

Trend data over the past several years shows that grantees, in the majority of cases, have maintained an acceptable level of performance. The Head Start program has made a considerable investment in measuring program outcomes, particularly in the health areas. When we look at this information over time, it demonstrates that grantees are maintaining a high level of effort, especially in accomplishing a nearly 100% rate for child immunizations and rates approaching 90% or better for health and dental examinations and treatment. Head Start sees the need for improvement in the rates of treatment for mental health referrals and receipt of mental health services for children. Basic to the philosophy of the Head Start program is that healthy children will be better able to learn.

Head Start has been measuring health component outcomes for more than twenty years. Trend data over the past several years show that Head Start grantees, in a majority of cases, have maintained an acceptable level of performance in the area of health services. While not direct providers of health services, Head Start grantees assist families in accessing care by identifying health care providers and even providing families with transportation to and from health services. The newly revised Head Start Performance Standards require that every program help every child and family to identify a "medical home" which will provide the child with ongoing sources of medical care.

Every year Head Start polls approximately 2,100 Head Start grantees and delegate agencies using the annual Head Start Program Information Report (PIR) survey to measure several health indicators, including immunization rates, and screenings for health and dental health conditions, and the rates for the accomplishment of treatment for identified conditions. During the past several years Head Start has also been measuring the rate of referral and treatment for mental health conditions. The Summary Table below shows the results reported by all 2,100 reporting grantees and delegate agencies since 1998. Generally, Head Start programs are maintaining acceptable results as shown on the table below for indicators measured.

### **Summary of FY99 Performance**

The summary table below compares the actual performance, as reported by 2,172 Head Start grantees and their delegate agencies on the Head Start Program Information Report (PIR) for the reporting period ending in June 1999. Head Start devotes considerable time and energy to survey mailing, data collection, and data cleaning, database building and data base management. In all these reports tracked performance for over 800,000 children in the FY 1999 reporting period.

The data shows that programs generally maintain acceptable levels of performance. Note that programs reported that almost 90% of enrolled children receive treatment for medical conditions that are identified. It is important to bear in mind that Head Start has a predictable turnover rate, that is, children leave the program during its course for various reasons and so while a referral may have been made programs may not have follow up information for those children. Dental treatment targets may be difficult to reach in the coming years as Medicaid accepting dental providers is scarce in some communities. This may also be a factor in mental health treatment for young children. Nevertheless, Head Start has chosen to increase target rates of performance for these health indicators for FY 2000 and FY 2001.

See previous Head Start chapter.

**Summary Table**

Performance Goals	Targets	Actual Performance	Reference
<p><b>Program Goal: Children in Head Start receive health and nutritional services.</b> Objective: Children in Head Start receive needed medical, dental and mental health services.</p> <p>6a. In FY 2001, increase to 92% the percentage of Head Start children who receive necessary medical treatment after being identified as needing medical treatment.</p>	<p>FY 01: 92% FY 00: 90% FY 99: 88%</p>	<p>FY 01 FY 00 FY 99: 87%* FY 98: 88%</p>	<p>Px 81</p>
<p>*192,000 needed medical treatment and 166,500 received it.</p>			
<p>6b. In FY 2001, maintain at 90% the percentage of Head Start children who receive necessary dental treatment after being identified as needing dental treatment.</p>	<p>FY 01: 90% FY 00: 90% FY 99: 96%</p>	<p>FY 01 FY 00 FY 99: 81%** FY 98: 83%</p>	<p>Px 81</p>
<p>**225,700 children needed dental treatment; 182,100 received it.</p>			
<p>6c. In FY 2001, increase to 83% the percentage of Head Start children who receive necessary treatment for emotional or behavioral problems after being identified as needing such treatment.</p>	<p>FY 01: 83% FY 00: 81% FY 99: 81%</p>	<p>FY 01 FY 00 FY 99: 75%** FY 98: 75%</p>	<p>Px 82</p>
<p>**44,200 children were referred; 33,250 children received necessary treatment.</p>			
<p><b>Availability of FY 1999 Data:</b> Results are available for the FY 1999 Report.</p>			

PROGRAM GOAL: Children in Head Start receive health and nutritional services.

Objective: Children in Head Start receive needed medical, dental and mental health services.

**6a. FY 2000: Increase from 88% in FY 1998 to 90% the percentage of Head Start children who receive necessary medical treatment after being identified as needing medical treatment.**

**FY 2001: Increase from 88% in FY 1998 to 92% the percentage of Head Start children who receive necessary medical treatment after being identified as needing medical treatment.**

**6b. FY 2000: Increase from 83% in FY 1998 to 90% the percentage of Head Start children who receive necessary dental treatment after being identified as needing dental treatment.**

**FY 2001: Increase from 83% in FY 1998 to 90% the percentage of Head Start children who receive necessary dental treatment after being identified as needing dental treatment.**

6c. *FY 2000: Increase from 75% in FY 1998 to 81% the percentage of Head Start children who receive necessary treatment for emotional or behavioral problems after being identified as needing such treatment.*

*FY 2001: Increase from 75% in FY 1998 to 83% the percentage of Head Start children who receive necessary treatment for emotional or behavioral problems after being identified as needing such treatment*

Data sources: Head Start Program Information Report (PIR).

## ***7. Increase safety, permanency, and well-being of children and youth***

**Approach for the Strategic Objective:** Help children and youth while they are living with their own families, when appropriate. When necessary place children and youth in stable, family-like settings consistent with the needs of each child or youth. Support children and youth with developmental disabilities in individual and small group dwellings that will include them in community life.

## **CHILD WELFARE**

### **Program Description, Context, Legislative Intent and Broad Program Goals**

ACF funds a number of programs that focus on preventing maltreatment of children in troubled families, protecting children from abuse, and finding permanent placements for those who cannot safely return to their homes. Programs such as Foster Care, Adoption Assistance, and Independent Living provide stable environments for those children who cannot remain safely in their homes, assuring the child's safety and well-being while their parents attempt to resolve the problems that led to the out-of-home placement. When the family cannot be reunified, foster care provides a stable environment until the child can be placed permanently with an adoptive family. Adoption Assistance funds are available for a one-time payment for the costs of adopting a child as well as for monthly subsidies to adoptive families for care of the child.

ACF is placing increased emphasis on services for youth in foster care, particularly independent living services. Independent Living assists current or former foster care youths age 16 and older in the transition to independent living, education and employment assistance, training in daily living skills, and individual and group counseling. (This program should not be confused with the "Increase Independent Living" strategic objective of this annual performance plan, objective 2, which focuses on the achievement of independence by developmentally disabled individuals who are helped to rent or own their own homes in the mainstream community.)

Family Preservation and Support Services, renamed Promoting Safe and Stable Families, focus on strengthening families, preventing abuse, and protecting children. These grants help States and Tribes operate preventive family preservation services and community-based family support services for families at risk or in crisis, family reunification and adoption support services.

The Child Abuse and Neglect program assists States to meet their responsibilities for the prevention and intervention in cases of child abuse and neglect, generate knowledge and research, improve services, collect data, facilitate information dissemination and exchange, and support policy development and the education of professionals in the field. The Child Welfare Services program provides grants to States and Indian Tribes. Services are available to children and their families without regard to income.

In addition, other ACF programs that address child welfare are: the Adoption Opportunities program, the Abandoned Infants Assistance program, special initiatives such as "Adoption 2002," enforcement of the Multiethnic Placement Act of 1994 and the Interethnic Adoption provisions of 1996, and State Child Welfare Reform Demonstrations (24 State Demonstrations to date) to test innovative new ways to strengthen the child welfare system.

#### SUMMARY OF 1999 PERFORMANCE

The agency continues to expect to increase the number of adoptions of children from the public foster care system by both non-relatives and relatives from 28,000 in FY 1998 to 56,000 in FY 2002. Therefore, targets relating to adoptions are increasing. This is a direct result of activities undertaken by the agency to implement the President's Adoption 2002 Initiative and the Adoption Incentive Program established by the Adoption and Safe Families Act. Because of this emphasis on adoption, the data reported on finalized adoptions are considered to be the most accurate.

The data being reported on children either exiting foster care or still in foster care are improving dramatically. Not only has the number of States reporting foster care data to AFCARS increased from 32 for FY 1995 to 49 for FY 1998, but also the data being reported are far more complete.

This situation has implications for the data and targets reported below. In setting child welfare targets for FY 2001, ACF revised some of its FY 2000 baselines and some FY 2001 targets for a number of reasons. The figures in the FY 2000 plan were derived from very early reports to the Adoption and Foster Care Analysis and Reporting System (AFCARS) and the National Child Abuse and Neglect Data System (NCANDS) which were in start-up phase. Even in subsequent years, some of the data being reported to AFCARS and NCANDS are still unstable, varying widely from reporting period to reporting period. ACF has noted below specific data weaknesses, which radically distort reported results. Of particular concern are those measures utilizing the element that contains information on the reason for discharge from foster care because of under-reporting intermittently by many States, including very large States. Depending on the array of States included in the calculations, the percentages vary widely. These measures include 7b, 7c, 7d, 7f, 7f.1 and 7f.2. In addition, preliminary targets submitted for some measures have been changed to be more realistic, sometimes dramatically such as in 7f, based on improved data. Therefore, because of the instability of these data, it is better to look at year-to-year changes rather than long-term changes until the data stabilize.

In order to speed improvement in these data, the agency has awarded funds to develop and implement the National Resource Center for Information Technology in Child Welfare. This Resource Center will provide technical assistance to States to improve their reporting to AFCARS and NCANDS, to improve their statewide information systems, and to better utilize their data. This should result in the data stabilizing within the next two years. For these reasons, all trends reported, except for the increase in the number of adoptions, are considered to result from improved reporting rather than real changes in the child welfare system. Major changes are not expected until full implementation of the Adoption and Safe Families Act and the implementation of the new monitoring system.

ACF's goal under the National Performance Review's "High Impact Agency" initiative is to increase the number of children who are adopted from the public foster care system to 46,000 by 2000. Adoptions increased from 28,000 in FY 1996 to 36,000 in FY 1998.

### Summary Table

Performance Goals	Targets	Actual Performance	Reference
A. SAFETY: Children are protected from abuse and neglect in their homes. The risk of harm to children will be minimized.			Px 88
7a. In FY 2001, decrease the percentage of children with substantiated reports of abuse with a repeat report of maltreatment within 12 months to 10%. <sup>a</sup>	CY 01: 10% CY 00: 11% CY 99: 21% (12%)	CY 01: CY 00: CY 99: Final Available 10/01 CY 98: Final Available 10/00 CY 97: 12% CY 96: 21% CY 95: 20%	
<sup>a</sup> The National Child Abuse and Neglect Data System (NCANDS) collects data on the basis of a calendar year. Data necessary for calculating this measure for CY 1999 will not be available until late in 2001. For CY 1997, the method for calculating recurrence was changed to more accurately reflect recurrence for individual children, to permit the inclusion of additional states when their data are useable, and to make the figures consistent with those being used in the annual report to the Congress on child welfare outcomes required under section 479(a) of title IV-E. The number in parentheses for the target for CY 1999 is a more realistic target based on using the new calculation approach. The information reported for CY 1997 is based on reports from 14 States, while 22 States are expected to report data for CY 1999.			

<p>B. PERMANENCY: Provide children in foster care permanency and stability in their living situations.</p> <p>7b. In FY 2001, of the children who exit the foster care system through reunification, increase the percentage who do this within one year of placement to 67%.<sup>b</sup></p>	<p>FY 01: 67%  FY 00: 67%  FY 99: (New in 2000)</p>	<p>FY 01:  FY 00:  FY 99: 65% (Preliminary<sup>d</sup>)  FY 98: 63%  FY 97: 65%  FY 96: 83%  FY 95: 69%</p>	<p>Px 89</p>
<p>7c. In FY 2001, of the children who exit care through adoption, increase the percentage of children who do this within two years of placement to 30%.<sup>b</sup></p>	<p>FY 01: 30%  FY 00: 27%  FY 99: (New in 2000)</p>	<p>FY 01:  FY 00:  FY 99: 20% (Preliminary)  FY 98: 23%  FY 97: 25%  FY 96: 24%  FY 95: 18%</p>	<p>Px 89</p>
<p>7d. In FY 2001, of the children who exit foster care through guardianships, increase the percentage children who do this within two years of placement to 67%.<sup>b</sup></p>	<p>FY 01: 67%  FY 00: 67%  FY 99: (New in 2000)</p>	<p>FY 01:  FY 00:  FY 99: 65% (Preliminary)  FY 98: 70%  FY 97: 52%  FY 96: 55%  FY 95: 57%</p>	<p>Px 89</p>
<p>7e. In FY 2001, increase the number of adoptions to 51,000.<sup>c **</sup></p> <p>Increase the number of guardianships</p>	<p>FY 01: 51,000  FY 00: 46,000  FY 99: 24,000 (41,000)</p> <p>FY 00: (Dropped)  FY 99: 6,300</p>	<p>FY 01:  FY 00:  FY 99: Final Available 9/00  FY 98: 36,000  FY 97: 31,000  FY 96: 28,000  FY 95: 26,000</p> <p>FY 99: Final Available 9/00  FY 98: 2,908  FY 97: 5,000</p>	<p>Px 89</p>

<sup>b</sup> The calculations for this measure have been particularly unstable because of under-reporting of reason for discharge from foster care intermittently by many, including very large States. Depending on the array of the States included in the calculations, the percentages vary widely.

<sup>c</sup> The number included for the FY 1999 target was the projected number in the FY 1999 Performance Plan. In the process of developing the baseline for the Adoption Incentive Program authorized under the Adoption and Safe Families Act, it was determined that the number of adoptions had been substantially underestimated due to weaknesses in state information systems and a lack of incentives to report. The reporting of adoptions has substantially improved and is believed to be almost 100% because of implementation of Statewide Automated Child Welfare Information Systems (SACWIS), the AFCARS penalties and the Adoption Incentive Program. The number in parentheses for the FY 1999 target represents a more realistic number. The FY 1997, FY 1998 and FY 1999 actual performance numbers were reported by States to establish the baseline for the Adoption Incentive Program. These numbers come from a variety of sources including AFCARS, court records, legacy administrative data systems and hand counts.

<sup>d</sup>. Preliminary FY 1999 data covers the six month period September 30, 1998 through March 31, 1999.

Performance Goals	Targets	Actual Performance	Reference
7f. In FY 2001, decrease the median length of time in foster care until adoption to 37 months. <sup>e</sup>	FY 01: 37 mos FY 00: 39 mos FY 99: 38 mos (40 mos)	FY 01: FY 00: FY 99: 42 mos (Preliminary) FY 98: 41 mos FY 97: 38 mos FY 96: 39 mos FY 95: 42 mos	Px 90
1. Decrease the adoption time difference between white and African-American children	FY 01: 12 mos FY 00: 13 mos FY 99: 9 mos (14 mos)	FY 01: FY 00: FY 99: 15 mos (Preliminary) FY 98: 15 mos FY 97: 11 mos FY 96: 12 mos FY 95: 11 mos	
2. Decrease the adoption time difference between white and Hispanic children	FY 01: 2 mos FY 00: 2.5 mos FY 99: 4 mos	FY 01: FY 00: FY 99: 5 mos (Preliminary) FY 98: 5 mos FY 97: 4 mos FY 96: 4 mos FY 95: 5 mos	

<p><sup>e</sup> The calculations for this measure have been particularly unstable because of under-reporting the reason for discharge from foster care intermittently by many, including very large States. Depending on the array of the States included in the calculations, the percentages vary widely. The numbers in parentheses for 7f and 7f.1 are more realistic targets based on more current data.</p>			
<p>7g. In FY 2001, increase adoptions by relatives to 20%.</p>	<p>FY 01: 20% FY 00: 18% FY 99: 15%</p>	<p>FY 01: FY 00: FY 99: 9/00 FY 98: 15% FY 97: 14% FY 96: 12% FY 95: 11%</p>	<p>Px 90</p>
<p>Increase guardianships by relatives</p>	<p>FY 00: (Dropped) FY 99: 70%</p>	<p>FY 99: 69% (Prelim) FY 98: 65% FY 97: 63% FY 96: 62% FY 95: 70%</p>	
<p>C. FAMILY AND CHILD WELL-BEING: Minimize the disruption to the continuity of family and other relationships for children in foster care.</p>			<p>Px 90</p>
<p>7h. In FY 2001, decrease the mean number of placement settings per episode to 2.0.</p>	<p>FY 01: 2.0 FY 00: 2.0 FY 99: 2.0</p>	<p>FY 01: FY 00: FY 99: 2.7 (Prelim) FY 98: 2.9 FY 97: 2.6 FY 96: 3.0 FY 95: 2.4</p>	
<p><b>Availability of FY 1999 Data:</b> Due to the AFCARS reporting schedule, final FY 1999 data will not be available until September 2000.</p>			
<p><b>Total Funding (includes Independent Living/Foster Care/Adoption)</b></p>	<p>FY 01: \$7176.9 FY 00: \$6463.4 FY 99: \$5639.7</p>	<p>Bx: budget just. section Px: page # performance plan **High Impact Agency Goal</p>	

**PERFORMANCE GOALS**

In FY 2000, Congress passed legislation which authorized a substantial increase in funds for independent living services for foster care youth under title IV-E of the Social Security Act to prepare them for independent living by enhancing their education, employment and other skills to avoid dependency; and by expanding opportunities for youth to live independently while under the auspices of the public child welfare agency. This legislation requires the development and implementation of outcome measures and a data collection system for this program. Below are developmental measures relating to this mandate.

In 1997, Congress passed the Adoption and Safe Families Act (PL 105-89). Among other provisions designed to improve the child welfare system and protect children, it directs the Secretary of HHS to consult with governors, State legislatures, and State and local public officials responsible for administering child welfare programs and develop a set of outcome measures that can be used to rate the performance of States in operating child protection and child welfare programs. Changes will be made in the following goals and measures for the FY 2002 Performance Plan based on the final measures produced by this process.

The Secretary, in consultation with State and local public officials and child welfare advocates, completed the study which resulted in a recommended performance based incentive system for child welfare programs. That report (now in clearance) will be sent to Congress in the near future. In addition, the statute established the Adoption Incentive program. This new program is the first of its kind in child welfare to tie outcomes to federal funding, authorizing incentive payments to be used to reward States for increasing their number of adoptions.

- Promoting Safe and Stable Families: An increase of \$10 million fully funds the authorization for this mandatory program.
- Foster Care: The increase of \$5 million will be used to improve Indian Tribal child welfare programs by providing funding for a limited number of Indian tribes that receive title IV-B funds to improve their capacity to operate child welfare programs. ACF will also conduct a comprehensive assessment of the challenges faced by Indian Tribes operating child welfare programs.

Finally, in collaboration with States, Tribes, advocacy groups, foundations and others, ACF has developed new program monitoring procedures that focus on the quality of child welfare services and the outcomes for children and families. These reviews will be implemented through Federal/State partnerships. Following these reviews, States will receive immediate feedback on the extent to which their programs are achieving the stated objectives.

PROGRAM GOAL—SAFETY: Children are protected from abuse and neglect in their homes. The risk of harm to children will be minimized.

**7a. *FY 2000: Decrease the percentage of children with substantiated reports of maltreatment who have a repeat substantiated report of maltreatment within 12 months from 12% in CY 1997 to 11% in CY 2000.***

***FY 2001: Decrease the percentage of children with substantiated reports of maltreatment who have a repeat substantiated report of maltreatment within 12 months from 12% in CY 1997 to 10% in CY 2001.***

Data source: National Child Abuse and Neglect Data System (NCANDS)

NOTE: The NCANDS collects data on a calendar year basis. The estimate for 1996 was based on information from 10 States that submitted data in both 1995 and 1996. It was subsequently revised to 21% for CY 1996. (See Summary Table.) The methodology for

calculating the recurrence figure uses a two-year database (e.g. 1995 and 1996) to compute an estimated recurrence rate using survival statistical procedures. Survival analysis allows one to estimate recurrence for those reports that do not have a full follow through period of 12 months.

**PROGRAM GOAL—PERMANENCY:** Provide children foster care permanency and stability in their living situations.

- 7b. *FY 2000: Of the children who exit the foster care system through reunification, increase the percentage of children who do this within one year of placement from 65% in FY 1997 to 67% in FY 2000.***

***FY 2001: Of the children who exit the foster care system through reunification, maintain the percentage of children who do this within one year of placement at 67% in FY 2001.***

*Data source: AFCARS*

- 7c. *FY 2000: Of the children who exit foster care through adoption, increase the percentage who are adopted within two years of placement from 25% in FY 1997 to 27% in FY 2000.***

***FY 2001: Of the children who exit foster care through adoption, increase the percentage who are adopted within two years of placement from 25% in FY 1997 to 30% in FY 2001.***

*Data source: AFCARS*

- 7d. *FY 2000: Of the children who exit foster care through guardianships, increase the percentage of children who do this within 2 years from 52% in FY 1997 to 67% in FY 2000.***

***FY 2001: Of the children who exit foster care through guardianships, maintain the percentage of children who do this within 2 years at 67% in FY 2001.***

*Data source: AFCARS*

- 7e. *FY 2000: Make progress towards increasing the number of adoptions of children in the public foster care system between FY 1997 and FY 2002 by increasing adoptions from 31,000 in FY 1997 to 46,000 in FY 2000.***

***FY 2001: Make progress towards increasing the number of adoptions to 56,000 by FY 2002 by increasing adoptions from 31,000 in FY 1997 to 51,000 in FY 2001.***

Data source: Baselines from the Adoption Incentive Program and the Adoption 2002 Initiative for FY 1997 and AFCARS for all subsequent years.

\* This measure is also related to the National Performance Review Year 2000 high impact goal (see Section A-5 in the Appendix).

**7f. *FY 2000: Attain a median length of time between placement and adoption for all children at 39 months in FY 2000 while simultaneously decreasing the difference in the median length of time between placement and adoption between:***

- *White children and African-American children to 13 months in FY 2000; and*
- *White children and Hispanic children 2.5 months in FY 2000.*

***FY 2001: Attain the median length of time between current removal and adoption for all children 37 months in FY 2001 while simultaneously decreasing the difference in the median length of time between current removal and adoption between:***

- *White children and African-American children to 12 months in FY 2001; and*
- *White children and Hispanic children to 2 months in FY 2001.\**

Data source: AFCARS

**7g. *FY 2000: Increase the percentage of adoptions by relatives for children in the child welfare system from 14% in FY 1997 to 18% in FY 2000.***

***FY 2001: Increase the percentage of adoptions by relatives for children in the child welfare system from 14% in FY 1997 to 20% in FY 2001.***

Data source: AFCARS

NOTE: For the increase in the percentage of adoptions which are by relatives, the denominator is the number of "finalized adoptions."

PROGRAM GOAL—FAMILY AND CHILD WELL-BEING: Minimize the disruption to the continuity of family and other relationships.

**7h. *FY 2000: Decrease the mean number of placement settings per foster care placement episode from 2.6 in FY 1997 to 2.0 in FY 2000.***

***FY 2001: Decrease the mean number of placement settings per foster care placement episode from 2.6 in FY 1997 to 2.0 in FY 2001.***

Data source: AFCARS

## PROGRAM GOAL--PREPARE FOSTER CARE YOUTH FOR INDEPENDENT

LIVING: (a) enhance the education, employment and other skills of foster care youth to avoid dependency; (b) expand opportunities for youth to live independently while under the auspices of the public child welfare agency.

By 2001, ACF will develop and implement the methodology to determine the baselines for the number of foster care youth receiving independent living training and/or living independently under the auspices of the public child welfare agency and develop preferred outcome measures for independent living programs.

## OPERATIONAL PROCESSES, SKILLS, TECHNOLOGIES AND RESOURCES

In order to achieve the results embodied in the performance measures, ACF requires a qualified staff who are knowledgeable about the child protection and child welfare system in the States; data systems, computers, communications technology; statistical staff to monitor progress towards the goals; and ACF regional and central office staff who have experience working with States as partners. Finally, ACF will need to work with the States to conduct various data verification, Title IV-E, and child and family services reviews.

## EXTERNAL INFLUENCES

Ultimately, decisions about the placement of children are made by judges in juvenile and family court systems throughout the nation. Improved judicial handling of child welfare cases will be essential for the achievement of permanency goals for children. Children in the child welfare system have many medical and mental health problems, while many of their parents are incapacitated by chronic substance abuse, mental health problems, homelessness, limited education, and similar problems. The availability of services from other sectors to meet these needs is uneven. The expansion or contraction of services in various parts of the country will have an impact on our performance. Major changes to assistance programs for low-income families as part of welfare reform will also have an unknown impact on the child welfare system over the next several years.

## INTERNAL AND EXTERNAL COORDINATION

During the development of the Adoption 2002 Initiative, and the implementation of the Adoption and Safe Families Act, the Children's Bureau conducted and is conducting a broad-based consultation process with a wide range of policy experts, advocates, foster and adoptive parents, and other interested individuals to ground the Department's examination of strategies and issues in the daily experiences of participants in the child welfare system. Of particular note is the extensive consultation process which was undertaken to develop performance outcome measures required by the Adoption and Safe Families Act. There was also extensive public involvement in the development and implementation of the Family Preservation and Support Program (now reauthorized as the "Promoting Safe and Stable Families" program), both at the Federal level and in the States. Finally, agency staff have provided consultation to other agencies on the development and use of outcome measures. Some of this consultation resulted in consideration of a child welfare measure being included in *Healthy People 2010*.

**DATA VALIDATION AND VERIFICATION:**

Both AFCARS and NCANDS conduct extensive edit checks for internal reliability. For AFCARS, if a State's data fails certain edit checks, it incurs a financial penalty. An additional 700-edit checks are conducted to improve data quality. All edit check programs are shared with the States. NCANDS and AFCARS are also part of the State-wide Automated Child Welfare Information System (SACWIS) compliance reviews which are currently being piloted. In addition, there is a separate AFCARS compliance review, which focuses on data mapping. In FY 1999, the Department's Office of the Inspector General began auditing the child welfare GPRA measures. As these reporting systems improve, the operationalization of various outcomes has become more refined. Furthermore, as the number of States reporting has increased from 32 in FY1995 to 49 in FY 1998 for foster care and from 29 in FY 1995 to 50 in FY 1998 for adoption, the values of the measures change and they more accurately reflect the total population.

**DEVELOPMENTAL DISABILITIES (EDUCATION)**

(See information on DD partnership process, performance goals, data, and resources under Strategic Objective 1, above.)

**Summary Table**

Performance Goals	Targets	Actual Performance	Reference
<p>Program Goal: Increase the number of students with developmental disabilities who reach their educational goals.</p> <p>7i. In FY 2001, increase to 9,300 the number of students with developmental disabilities who are served in more integrated/inclusive educational settings as a result of DD program intervention.</p>	<p>FY 01: 9,300  FY 00: 8,800  FY 99: 8,000</p>	<p>FY 01:  FY 00:  FY 99:  Baseline</p>	<p>Px 93</p>
<p><b>Availability of FY 1999 Data:</b> Performance level data for FY 1999 is expected to be available in March 2000.</p>			

**PERFORMANCE GOALS**

This performance measure has experienced significant increases and decreases in years prior to FY 1999. The most significant factor has been varying methodology from State to State and from year to year. Some of these changes occurred as States have gained experience in making projections and collecting performance data. For that reason, FY 1999 is the baseline year.

Individual States are responsible in the developmental disabilities programs for planning their own goals. Consequently an individual State may select education as a goal, and provide target data and performance data on this associated education performance

measure. Therefore the number of States that report target or performance data for this particular performance measure vary from year to year.

The DD education goal is: Increase the number of students with developmental disabilities who reach their educational goals.” This goal includes the following outcomes: “Students with developmental disabilities have educational experiences based on their individual needs and goals and have access to an array of educational opportunities in their neighborhood schools. Parents know their rights regarding their children's education. Educators are prepared to educate all students and public policy supports appropriate education.”

*7i FY 2000: Increase to 8,800 the number of students with developmental disabilities who are served in more integrated/inclusive educational settings as a result of DD program intervention.*

*FY 2001: Increase to 9,300 the number of students with developmental disabilities who are served in more integrated/inclusive educational settings as a result of DD program intervention.*

Data source: P&A annual Program Performance Report (PPR)

## DEVELOPMENTAL DISABILITIES (HEALTH)

(See information on DD partnership process, performance goals, data, and resources under Strategic Objective 1, above.)

### Summary Table

Performance Goals	Targets	Actual Performance	Reference
Program Goal: Improve the health of people with developmental disabilities and increase their access to the full range of needed health care services.			Px 94
7j. In FY 2001, increase to 5,000 the number of health care providers trained to meet the health needs of people with developmental disabilities as a result of DD program intervention.	FY 01: 5,000 FY 00: 4,825 FY 99: 4,000	FY 01: FY 00: FY 99: Baseline	
<b>Availability of FY 1998-99 Data:</b> Actual performance level data for FY 1998 is expected to be available in January 2000; for FY 1999 in January 2001.			

## PERFORMANCE GOALS

This performance measure has experienced significant increases and decreases in years prior to FY 1999. Individual States are responsible in the developmental disabilities programs for planning their own goals. Consequently an individual State may select education as a goal, and provide target data and performance data on this associated education performance measure. The most significant factor of reporting fluctuations has

been varying methodology from State to State. Some of these changes occurred as States have gained experience in making projections and collecting performance data. For that reason, FY 1999 is the baseline year.

The DD health goal is: “Improve the health of people with developmental disabilities and increase their access to the full range of needed health care services.” This goal includes the following outcomes: “Individuals with developmental disabilities and their families have access to the health care information they need to make choices. Health care for people with developmental disabilities is available, affordable, accessible, and equitable. Health care personnel are appropriately qualified to meet the health care needs of people with developmental disabilities.”

**7j. *FY 2000: Increase from the FY 1999 target of 4,000 to 4,825 the number of health care providers trained to meet the health needs of people with developmental disabilities as a result of DD program intervention.***

***FY 2001: Increase to 5,000 the number of health care providers trained to meet the health needs of people with developmental disabilities as a result of DD program intervention.***

Data source: UAP annual report

## **YOUTH PROGRAMS**

### **Program Description, Content, Legislative Intent, and Program Goals**

The Runaway and Homeless Youth Program began in 1974 in response to concern about increasing numbers of runaway youth that were exposed to exploitation and the dangers of street life. It has subsequently been expanded to assist homeless youth on both a short-term basis and in making the transition to independent living.

The Runaway and Homeless Youth Program, recently reauthorized under the Runaway and Homeless Youth Act, encompasses three service programs for alleviating the problems of runaway and homeless youth: the Basic Center Program (BC), the Transitional Living Program for Homeless Youth (TLP), and the Street Outreach Program (SOP – also known as Sexual Abuse Prevention Grants).

- In the Basic Center Program, FYSB funds youth shelters that provide emergency shelter, food, clothing, outreach services, and crisis intervention for runaway and homeless youth. The shelters also offer services to help reunite youth with their families, whenever possible.
- The Transitional Living Program for Homeless Youth (TLP) was developed in response to the longer-term needs of older homeless youth. The goals of the TLP are to assist such youth in developing skills and resources to promote independence and prevent future dependency on social services. Housing and a range of services are provided for up to 18 months for youth ages 16-21 who are unable to return to their homes.

- The Street Outreach Program awards additional resources to organizations serving runaway, homeless, and street youth to provide street-based outreach and education to prevent the sexual abuse and exploitation of these young people.

An increase of \$10 million over the FY 1999 level has been requested for FY 2001 as part of the Secretary's mental health theme to support youth centers and State collaboration efforts that will provide earlier mental health-oriented services to help prevent youth from becoming runaways or homeless. This would join an appropriated FY 2000 increase of nearly \$4 million, which has enabled FYSB to fund additional qualified applications for TLP programs. The resulting increase in the number of programs delivering longer term services to older youth will mean more such youth are prepared for a successful transition to adulthood. As these additional resources are put in place, they will be factored into the performance measurement structure being assembled.

- Over the past several years, the Family and Youth Services Bureau (FYSB) of ACF has sponsored several efforts to broaden and re-focus the agency's mission to stress a "youth development" approach to serving young people that encourages communities to provide the setting and services needed for their positive growth and development. A major support for these efforts is the construction of a theoretical framework to be used as a basis for policy making and programmatic initiatives. The framework can be used throughout the system in designing and implementing service models and approaches that will redirect youth in high-risk situations toward positive pathways of development. Based on this framework, FYSB has identified four key principles that are important in the development of young people as they work toward a successful and productive adulthood. They are:
  - A sense of industry and competency;
  - A feeling of connectedness to others and to society;
  - A belief in their control over their fate in life; and
  - A stable identity.

FYSB believes it is crucial that positive developmental opportunities be available to all young people during adolescence, a time of rapid growth and change. Adolescents need opportunities to fulfill their developmental needs—intellectually, psychologically, socially, morally and ethically. Youth benefit from experiential learning and they need to belong to a group while maintaining their individuality. At the same time, they want and need adult support and interest. They also need opportunities to express opinions, challenge adult assumptions, develop the ability to make appropriate choices, and learn to use new skills.

#### SUMMARY OF FY 1999 PERFORMANCE

Data from FYSB's Runaway and Homeless Youth Management Information System (RHYMIS) are submitted quarterly by grantees but are valid only on an annualized basis. (Data vary widely from quarter to quarter due to reporting delays). Hence little can be said with confidence about FY 1999 performance until the second quarter of FY 2000. Preliminary FY 1999 data has been included in this report, but some revisions may be necessary. The FY 1999 data reported in the performance summary table is clearly

incomplete (e.g., compare FY 1999 totals with earlier years in “Performance data details”) and will be updated as new reports are submitted by late-filing grantees.

In any case, it is methodologically questionable to compare one year to the next in a universe of grantees that changes from year to year and among whom the level of report completion is less than it should be. Also, some RHY programs are both basic centers (short-term assistance) and transitional living programs (more long-term assistance.), while others are strictly basic centers. These challenges will be addressed over the next few years as the data collection process is redesigned and as program reporting changes are implemented under the new legislation. (See further discussion under “Performance Goals”.)

The following statistics for FY 1998 should be fairly illustrative of FY 1999 outputs and outcomes. They are only applicable to the subset of youth served in FYSB programs. Large numbers of vulnerable children in their teens are at risk in areas not served by FYSB’s limited program resources.

During FY 1998, 75,000 runaway or homeless youths were admitted to services. In FY 1998, 40,400 of these youths reported psychological issues, such as depression or suicide attempts. The prospect of increased funding for mental health services could provide additional help for troubled individuals.

In FY 1998, 43,000 runaway or homeless youths received basic support, such as food, shelter, clothing and transportation. Over 55,000 of them received counseling services. Other services included life skills training, recreation, substance abuse prevention, education, and health care. In FY 1998, 68 percent of youth receiving assistance from FYSB grantees completed the planned program services. Leading reasons for non-completion of services include youth leaving the program (14 percent), parents removing youth (7 percent), violation of program rules (5 percent), or removal by child protective services (2 percent). Sixty-six percent of the youth were helped to return to the homes of their families, guardians, friends, or relatives upon discontinuation of services. An additional 5 percent were placed in foster care.

#### Discussion of specific targets

*7k: The proportion of ACF-supported youth programs that are using community networking and outreach activities to strengthen services:* The performance for 7k declined from its target level and previous results. This is worrisome, even though more FY 1999 data may come in. An evaluation, confirmed by anecdotal evidence, indicates that there has been a significant decline in community resources available for referrals and services for RHY youth. The establishment of programs in additional low-income communities, where these resources are even scarcer, may have also affected grantees’ ability to secure outside resources. However, the means of measuring this factor need further refinement since the current methodology identifies only service linkages. The number of referrals in a given year may vary depending on the changing needs of the youth served by the center. Shorter stays may mean that youth are treated by the grantee without there being time for involvement with other organizations or supports. Additionally, the current target does not measure grantee access funding sources beyond ACF. These often

are manifold and outweigh the ACF funding level. While such additional resources benefit the general population of youth utilizing grantee facilities, they are probably not targeted exclusively on runaway and homeless youth (the FYSB target group). Nonetheless, these youth benefit from the wider range of resources.

*7l: Collaborations that support a youth development approach to services to young people, including substance abuse and teen pregnancy prevention activities:* In September 1998, FYSB announced the award of more than \$1 million in State Youth Development Collaboration Projects to develop and support innovative youth development strategies at the State level. FYSB had originally set a target of five States but was able to award funding to nine States. Each of the following States received a grant of \$120,000: Arizona, Colorado, Connecticut, Iowa, Maryland, Massachusetts, Nebraska, New York, and Oregon. FYSB intends to add a tenth state during FY's 2000 or 2001. (See also "Internal and External Coordination.")

The grants will enable the States to develop new or strengthen existing effective youth development strategies. These efforts will focus on all youth, including youth in at-risk situations such as runaway and homeless youth, youth leaving the foster care system, abused and neglected children, and other youth served by the child welfare and juvenile justice systems.

Each State has designed a unique plan for implementing the project on the basis of identified youth needs and prior State activities with regard to youth development. FY 1999 was the startup year of this initiative, and the States met in Washington in January 1999. FYSB will convene the participating States again in February 2000, at which time information about activities and accomplishments will be shared and assessed. At that time, the State personnel will have an opportunity to interact face to face with representatives of the community-based, RHY grantee organizations.

*7m: The proportion of youth living in safe and appropriate settings after exiting ACF-funded services:* This is clearly one of the most important measures, since it suggests where youth are headed in the next step of their lives after receiving RHY services. While data reliability may vary from program to program, it is clear that performance in this measure generally continues to improve.

*7n: The proportion of youth receiving peer counseling through program services:* The target for this measure was previously much higher, starting from a higher baseline. However, the previous target and baseline were not based on RHYMIS but on an entirely different data source. This source was an evaluation using statistical sampling methodology and is not comparable with the RHYMIS data currently employed. Moreover, a number of methodological weaknesses in this study have been discovered and analyzed leading FYSB to revise the baseline and target using historical data from RHYMIS. This source, too, has its problems, but it is felt that this measure is promising since it not only reports how many youth are receiving an important type of service, but implies a possible developmental gain among the peers, the other youth who provide the counseling. However, the RHYMIS data does not measure how many such youth are providing peer counseling, what their program status or level of training is, or what tangible benefit they experience from the activity. FYSB hopes to improve performance

measurement in the broader, more long-term youth development outcome domains, which include youth gaining or increasing their sense of positive connectedness with responsible, caring adults, other youth, and with the community. The current target is only a step in that direction. (See discussion of future plans under “Performance Goals”, below.)

**FY 1999 Summary Table (FY 1999 performance data are incomplete)**

<p align="center"><b>Performance Goals</b></p> <p>NOTE on data for 7k, 7m and 7n: See discussion under “Performance Goals” and “Compliance” later in this chapter regarding baselines, trend data and number of grantees reporting.</p>	<p align="center"><b>Targets</b></p>	<p align="center"><b>Actual Performance</b></p>	<p align="center"><b>Reference</b></p>
<p><b>Program Goal:</b> Provide stable, safe shelter and other support services to youth and their families in high-risk situations. Strengthen youth in reaching their full potential socially and economically by (a) strengthening local communities able to provide appropriate developmental opportunities for their adolescents; and (b) providing opportunities for all adolescents that move them toward self-sufficiency.</p> <p>7k. In FY 2001, maintain at 75% (revised FY 97 baseline equals 77%) the proportion of ACF-supported youth programs that are using community networking and outreach activities to strengthen services.</p> <p>NOTE on performance for 7k: An evaluation, confirmed by anecdotal evidence, indicates that there has been a significant decline in community resources available for referrals and services for RHY youth.</p>	<p>FY 01: 75% FY 00: 75% FY 99: 75%</p>	<p>FY 01: FY 00: FY 99: 51% FY 98: 79% FY 97: 77%</p>	<p>Px 102</p>
<p>7l. In FY 2001, maintain with 9 States and youth services grantees in those States a collaboration that supports a youth development approach to services to young people, including substance abuse and teen pregnancy prevention activities and fund an additional tenth state.</p>	<p>FY 01: 10 FY 00: 9 FY 99: 5</p>	<p>FY 01: FY 00: FY 99: 9 (# of states was governed by available funding)</p>	<p>Px 102</p>
<p><b>Program Goal:</b> Youth are safe at home or in appropriate alternative settings.</p> <p>7m. In FY 2001, increase to 96% (revised FY 97 baseline equals 82%) the proportion of youth living in safe and appropriate settings after exiting ACF-funded services.</p>	<p>FY 01: 96% FY 00: 95% FY 99: 95%</p>	<p>FY 01: FY 00: FY 99: 86% FY 98: 81% FY 97: 82%</p>	<p>Px 102-103</p>

<b>Program Goal:</b> Youth develop into independent, contributing members of society.			Px 103
7n. In FY 2001, maintain at 15% (revised FY 97 baseline equals 12%) the proportion of youth receiving peer counseling through program services. *		FY 01: 15% FY 00: 15% FY 99: 60%*	FY 01: FY 00: FY 99: 12% FY 98: 12% FY 97: 12%
* NOTE: The target and baseline in the FY 1999 APP were not based on RHYMIS but on an entirely different data source (an evaluation using statistical sampling methodology and not comparable with RHYMIS). For this reason, and because data will only be collected through RHYMIS, we are switching to targets based on more recent RHYMIS data. While this data also has accuracy problems, there will be a more consistent relationship between baseline and targets.			
<b>Availability of FY 1999 Data:</b> More complete results will be available in mid FY 2000.			
<b>Total Funding:</b>	FY 01: \$89.2 FY 00: \$79.2 FY 99: \$76.5	Bx: budget just. section Px: page # performance plan	

**Performance data details for certain measures:**

7k:

Community networking FY 1999		Community networking FY 1998		Community networking FY 1997		FY 1996
Using area services	152	Using area services	229	Using area services	232	Data not available (collected through Pre-GPRA predecessor system with criteria not consistent with current collection)
# grantees reporting	296	# grantees reporting	290	# grantees reporting	300	
51% (incomplete data)		79%		77%		

Methodology: From the RHYMIS Agency Program Profile (composite for both BC and TLP), count the number of grantees using any (at least one) of the "area services" (outreach, promotional instructional material, language assistance services, respite care, community/educational events, training/consultation or other) and divide by the total number of grantees reporting in that period. (In this denominator, do not include the total number of grantees that were funded, only the total reporting.)

7m:

Living Situation at Exit FY 1999		Living Situation at Exit FY 1998		Living Situation at Exit FY 1997		FY 1996
Females	16,709	Females	28,455	Females	32,815	Data not available (collected through Pre-GPRA predecessor system with criteria not consistent with current collection)
Male	13,549	Male	23,645	Male	26,871	
Positive Outcomes	30,258	Positive Outcomes	52,100	Positive Outcomes	59,686	
Total Responses	35,276	Total Responses	64,633	Total Responses	73,225	
86% (incomplete data)		81%		82%		

Methodology: From the RHYMIS Youth Profile (composite for both BC and TLP), count all youth with positive youth outcomes for "Living Situation at Exit" and divide by the total number of youth served. "Positive outcomes" would be all outcomes except the following: on the run, on the street, in squat, correctional institute, other temporary shelter, other, do not know.

7n:

Services Provided (Peer) FY 1999		Services Provided (Peer) FY 1998		Services Provided (Peer) FY 1997		FY 1996
Females	1,956	Females	3,798	Females	3,645	Data not available (collected through Pre-GPRA predecessor system with criteria not consistent with current collection)
Male	1,617	Male	2,903	Male	3,108	
Total Peer	3,573	Total Peer	6,701	Total Peer	6,753	
Total Responses	29,620	Total Responses	55,410	Total Responses	55,382	
12 % (incomplete data)		12%		12%		

Methodology: From the RHYMIS Youth Profile (composite for both BC and TLP), count the number of youth receiving "peer counseling" and divide by the total number of youth served.

## PERFORMANCE GOALS

The development of the outcomes and measures for FYSB grantees is challenging for a variety of reasons. First, there is extensive variation in the types of agencies that receive funding from FYSB. These approximately 400 agencies range from large, multi-service youth and family agencies with fairly sophisticated data collection and reporting systems to smaller single-service agencies that are just beginning to develop and use management information technology to track their services and service recipients. The annual financial support from FYSB to Basic Centers varies from about \$50,000 to about \$160,000, with the average being around \$100,000. The smaller number of Transitional Living Programs average \$180,000, with the range being from \$150,000 to \$200,000. The small number of Street Outreach Programs receives approximately \$100,000.

FYSB-funded programs vary in ways that have implications for identifying and assessing outcomes. Basic Center grantees, for example, generally operate programs that serve youth for short periods of time ranging from 1 to 15 days. Determining which outcomes are relevant for these types of programs is difficult because it requires focusing on short-term, incremental and sometimes intangible shifts in youth's attitudes, family environments and conditions. In contrast, the much smaller number of Transitional Living Program grantees work with youth for up to 18 months and offer a larger range of services, which allows clearer assessments of long-term change. Additionally, Street Outreach Programs are designed primarily to build youth's trust in the agency and to encourage them to seek help and obtain safer and more stable living situations. These programs sometimes reach youth for only a few hours each week; thus, establishing appropriate outcomes for Street Outreach programs is particularly challenging.

Trend data are questionable because the universe of grantees changes sometimes significantly from year to year as some grantees drop out or are not refunded and new ones take their place in the discretionary grants competitive process. For this reason, while baselines are provided for the measures, these are being reevaluated. FYSB may change from a baseline approach to a year-to-year continuous improvement approach, but this too has limitations. The reliability and completeness of data reporting is also an issue, and is discussed under "Compliance" below.

Another reason for the difficulty in establishing outcomes and performance measures for FYSB-funded grantees is due to the fact that available resources are almost fully dedicated to program operations. Youth grantees generally do not maintain large and sophisticated

information technology resources and staff, concentrating instead on services to at-risk youth. Moreover, as discussed under “External Influences,” grantees are often beholden to multiple funding sources with varying requirements.

Despite these challenges, FYSB has developed the *interim* performance goals and measures in the following pages. These are derived from both the legislative mandate and the youth development framework. The specific rationale for the measures in this plan are based on evaluation and research findings related to adolescents, knowledge about what is important in the lives of youth, and knowledge regarding substantive areas in need of further development.

During the past two years, FYSB has conducted an extensive effort to develop a final set of outcomes and measures that can be used to describe and improve the performance of grantees who operate the Runaway and Homeless Youth programs (BC, TLP, SOP). The identification of performance indicators and performance measures within a youth development model will be based on input and ideas from a wide variety of organizations and individuals involved in youth issues and it is hoped in FY 2001 will result in changes to the performance goals in the following pages. In conjunction with a technical work group comprising key stakeholders, FYSB produced a preliminary matrix of outcomes and related performance measures and indicators. The draft measurement scheme includes outcomes and indicators in four youth development domains:

- **Safe and stable living situations**  
Outcome: Youth will be living in a stable and safe living situation.
- **Sense of connectedness to others/sense of belonging**  
Outcome: Youth’s perceptions of their relationships with positive adults and peers will improve.  
Outcome: Youth’s interest in community involvement will increase.
- **Sense of competency/industry**  
Outcome: Youth’s perceptions of their personal abilities will improve.
- **Sense of control/power**  
Outcome: Youth’s perception that they can affect their futures will improve.

Under each outcome category will be measures and indicators appropriate to each outcome and domain and to the FYSB program area (BC, TLP or SOP). Many of the measures associated with the above outcomes are subjective and may require data collection methods not currently in place. FYSB will explore the feasibility of implementing these and test quantitative output and results measures as well. FYSB and its partners are assessing the current data elements in RHYMIS for applicability and correlation to our current and potential performance goals and measures.

During FY’s 2000 and 2001, FYSB will work to achieve consensus among its grantees and others in the youth development field on a final model for outcome measurement. Three work groups have been formed to address the measurement scheme itself, RHYMIS, and program monitoring. This process will include consultation and other partnering efforts to define the indicators, target levels, and other elements of the measurement approach, make changes in RHYMIS or other systems that can provide data, pilot test the measures in the real world, provide training and technical assistance to grantees and other users, and

incorporate the new outcome structure in other major aspects of program operation, funding decisions, and oversight. Because of competing priorities and the complexity of the activities involved, it may be several years before a final set of measures is fully in place to assess the effectiveness of FYSB grantees and the improvements in safety and well-being of the youth these grantees serve. Until then, the interim performance goals below will continue to be used.

**PROGRAM GOAL:** Provide stable, safe shelter and other support services to youth and their families in high-risk situations. Strengthen youth in reaching their full potential socially and economically by (a) strengthening local communities able to provide appropriate developmental opportunities for their adolescents; and (b) providing opportunities for all adolescents that move them toward self-sufficiency.

**7k. *FY 2000: Maintain at the FY 99 target level of 75% the proportion of ACF-supported youth programs that are using community networking and outreach activities to strengthen services. (FY 97 baseline equals 64%: baseline revised after system redesign to reflect more consistent data)***

***FY 2001: Maintain at the FY 99 target level of 75% the proportion of ACF-supported youth programs that are using community networking and outreach activities to strengthen services. (FY 97 baseline equals 64%)***

Data source: Runaway and Homeless Youth Management Information System (RHYMIS)

**7l. *FY 2000: Implement with 9 States and youth services grantees in those States a collaboration that supports a youth development approach to services to young people, including substance abuse and teen pregnancy prevention activities.***

***FY 2001: Maintain with 9 States and youth services grantees in those States a collaboration that supports a youth development approach to services to young people, including substance abuse and teen pregnancy prevention activities and fund an additional, tenth state.***

Data source: FYSB State collaboration project

**PROGRAM GOAL:** Youth are safe at home or in appropriate alternative settings.

**7m. *FY 2000: Maintain at the FY 99 target level of 95% the proportion of youth living in safe and appropriate settings after exiting ACF-funded services. (FY 97 baseline equals 82%: baseline revised after system redesign to reflect more consistent data)***

***FY 2001: Increase to 96% the proportion of youth living in safe and appropriate settings after exiting ACF-funded services. (FY 97 baseline equals 82%)***

Data source: RHYMIS

PROGRAM GOAL: Youth develop into independent, contributing members of society.

***7n. FY 2000: Increase to 15% the proportion of youth receiving peer counseling through program services. (FY 97 baseline equals 12%: baseline revised after system redesign to reflect more consistent data)***

***FY 2001: Increase to 15% the proportion of youth receiving peer counseling through program services. (FY 97 baseline equals 12%)***

Data source: RHYMIS

Activities for future measures: (a) establish baseline data for the number of youth in ACF-funded programs who are required to pay rent, maintain savings accounts and/or engage in other behaviors that foster independence; and (b) establish baseline data for number of youth in positive placements (independent living, military, college, work training) 6 months after receiving TLP/IL services.

## **Program Activities, Strategies, and Resources**

### **OPERATIONAL PROCESSES, SKILLS, TECHNOLOGIES AND RESOURCES**

FYSB operates several processes to monitor and improve RHY services to ensure overall program quality and the attainment of measurable results. These processes and activities include on-site monitoring by FYSB regional office staff (supported by trained, peer reviewers) and the provision of technical assistance and training to grantees. The latter is accomplished through an extensive network of ten technical assistance provider organizations, operating under cooperative agreements, one in each region. All grantees have access to their services.

FYSB funds the National Runaway Switchboard which provides a 24-hour, 7-day hotline with trained counselors who can listen to and counsel youth in crisis situations and connect them with appropriate services. The Switchboard has multi-lingual service capacity. FYSB maintains the National Clearinghouse for Families and Youth, which provides extensive information and analytical resources to the field.

### **INTERNAL AND EXTERNAL COORDINATION**

FYSB and the ACF Children's Bureau (CB), are entering the fifth year of a collaborative effort to strengthen and expand a partnership to promote the youth development philosophy and approach in services to foster care and homeless youth. This collaboration also involves several private sector agencies. The two Bureaus have focused their activities on

disseminating information about youth development through special briefings and providing training and technical assistance targeting the title IV-E State Independent Living Coordinators, State human service agency directors, and FYSB-funded Transitional Living Programs.

FYSB is working with various health agencies in HHS as well as with other public, private, and non-profit entities to encourage increased support of the youth development framework as a means of providing effective services to young people. FYSB will maintain collaboration with the 4 HHS-funded Girl Neighborhood Power Programs to continue their work in providing effective services for young adolescents. These models may be replicated nationally in 2002.

During FY 1998, FYSB awarded more than \$1 million to nine States for Youth Development State Collaboration Projects. The grants are designed to enable the States to identify and develop new or strengthen existing youth development strategies. These efforts are focusing on all youth, including runaway and homeless youth and youth served by the child welfare and juvenile justice systems. Each State has designed a unique plan for implementing the demonstration project on the basis of identified youth needs and prior State activities with regard to youth development

The National Governors Association (NGA), with foundation support, is undertaking an interdisciplinary learning network on youth development. FYSB is collaborating with NGA and other Federal youth-serving partners (such as DOL, DOJ, Education, HUD, etc.) in support of this ten State program. FYSB's own State collaboration projects provide a useful parallel.

FYSB works with youth organizations, foundations and selected grantees from each region to develop services and performance outcome measures. FYSB will involve youth organizations and selected grantees in the appropriate changes in youth services data collection, monitoring systems and performance measures.

## DATA VERIFICATION AND VALIDATION

Current data sources include the Runaway and Homeless Youth Management Information System and the Runaway and Homeless Youth Monitoring System. FYSB hopes to broaden these systems to apply to youth programs in general and to better target them on desired program and youth outcomes. There are no current data sources for youth that are involved in the development of individualized service plans or in activities geared toward developing their independence.

FYSB has implemented both an automated and manual system to ensure the data collected are accurate and correct. The RHYMIS software has built-in validation, verification and quality assurance routines to assist grantees in producing high quality data. The RHYMIS Data Quality report may be run at any time by RHYMIS users, affording them a way to identify missing or invalid data. Additionally, a series of data validation checks occur automatically prior to each data transfer. After the contractor receives the data, they are put through an additional series of checks to assure that the format is correct and virus-free.

**Data reliability:** RHYMIS v 4.1 features a number of data quality checks that are performed interactively as users enter RHYMIS data. Improved data reliability results from instantaneous feedback provided to the users as data is entered. RHYMIS v 4.1 operates as a Windows application. The latest version of RHYMIS has an improved graphical interface. The current version of RHYMIS also features an on-line interactive tutorial, user's manual, and data elements guide. Reporting can be implemented online, without the need for mailing diskettes. Additional data quality checks are performed at the National level during the logging and integration processes. Software is used to remove duplicate data, and check for missing or erroneous data before it is integrated into the National database. The RHYMIS Technical Support team interacts with those agencies submitting problematic transfers to determine their underlying source of difficulty. Grantee agencies are then able to address input problems and re-submit data before the end of the reporting period.

**Compliance and completeness of reporting:** Improvements in both technical and support areas of the RHYMIS software have brought greater rates of grantee compliance with data submission requirements. The RHYMIS national data submission rate has continued to increase over the past years. We believe that this trend will continue as grantee agencies become increasingly aware of the many ways that they can use the RHYMIS data to improve their own reporting and evaluation processes.

<b>Historical Levels of RHYMIS Reporting Compliance</b>			
	FY 1997	FY 1998	FY 1999
% of grantees who submitted in the 4 <sup>th</sup> quarter.	62%	65%	77%
% of grantees who submitted in at least one quarter.	88%	89%	95%
% of grantees who submitted in all four quarters.	39%	35%	45%
<b>Percentage of FYSB Grantees That Reported RHYMIS Data in Each Quarter of FY 1999</b>			
1 <sup>st</sup>	2 <sup>nd</sup>	3 <sup>rd</sup>	4 <sup>th</sup>
55.1	77.4	86.5	77.4
<b>Percentage of FYSB Grantees That Reported RHYMIS Data in FY 1999</b>			
One Quarter	Two Quarters	Three Quarters	Four Quarters
7.3	13.9	24.3	45

The RHYMIS technical support team has taken a more proactive role in familiarizing grantee agencies with the new software and encouraging its use. After the release of the RHYMIS version 4 series, the technical support team contacted each RHY grantee agency to ensure the ability of each agency to operate the RHYMIS software, confirm the receipt of the RHYMIS installation package, and aid users in the set up and installation process. Support staff continue to aid grantees experiencing difficulty with the application by completing over-the-phone training on application procedures. RHYMIS also has a web page that can be accessed from the FYSB homepage. It features downloads of the

RHYMIS application, executable updates, a conversion utility answers to frequently asked questions, information about RHYMIS Technical Support, release notes, installation guides; and reports from the National Database.

Early identification of problems with Federal transfer data is now possible with the enhanced logging and integration software. This early identification allows the RHYMIS technical support team to contact grantees and help them to determine and correct problem areas. Grantee agencies are then able to re-submit corrected data before the end of the reporting period and maintain submission compliance. (See “Data reliability” above.)

Despite these efforts, the issues discussed under “Performance Goals” above make performance conclusions for RHY programs exceedingly difficult to rely upon. Program quality assurance, accountability and improved RHYMIS reporting is a goal of the RHYMIS contract, the on-site monitoring process conducted by regional staff and peer monitors, and the follow-up technical assistance program. Bearing in mind the factors discussed at the end of the following section, FYSB plans to streamline the RHYMIS reporting requirements over the next several years and focus them more on outcomes and on the questions asked by Congress in the legislation. When a simpler, more relevant instrument is ready, a clear message will be sent that alongside the reduced burden will be a significantly intensified focus on reporting compliance.

## EXTERNAL INFLUENCES

In the course of a year, an estimated 500,000 to 1.5 million young people run away from or are forced out of their homes, and an estimated 200,000 are homeless and living on the streets. The ages of these runaways range from younger than 11 to over 18, with more than half being age 15 or 16. Approximately 66 percent of the runaways seek assistance from youth shelters because of problems with parental relationships.

The size and composition of the young homeless population varies with the economy, local and national demographics, community viability, school quality, family dynamics, and other factors. The ability to serve and achieve positive outcomes for at-risk youth is often affected by the youths’ resistance to help, their distrust of authority, and the severity of the circumstances in which they are found or are trying to flee. This often-invisible population is hard to track, resists contact, and is highly variable in living arrangements from month to month or day to day.

Youth in high risk situations are affected by all the stresses of modern society: income inequality, economic dislocation, use of intoxicating substances, child abuse, family instability, loss of role models, early sexual maturation ahead of emotional or cognitive maturation, racism, sexism, homophobia, etc. Once youth are being served in an RHY center, a limited amount of reliable information may be obtained for RHYMIS, assuming the youth’s reticence can be overcome.

At the request of Congress, FYSB conducted a study to examine the link between young people's family circumstances and youth at-risk behavior. This study found that there is a strong link between family circumstances, especially familial substance use, and the high-risk behaviors of runaway, throwaway, and homeless young people. Disruptive family

conditions may be the principal reason that young people leave home. Familial substance abuse co-occurs with youth substance abuse, youth suicide attempts, and other problem behaviors. More than half of the youth interviewed by the study team during their stays in shelters reported that their parents either told them to leave or knew they were leaving and did not care.

FYSB's influence and ability to engage the RHY grantee organizations is enhanced by the training and technical assistance network, the monitoring process, and other oversight activities, but is far from absolute. Many of these widely diverse organizations receive support from multiple sources, including other FYSB grants, state child welfare funds, substance abuse prevention funds, Department of Justice funds, private non-profit support, volunteerism, faith-based organizations, etc. Many operate numerous programs under the same roof, serving a diverse population of youth, families, and individuals.

FYSB program and reporting standards are only applicable to the subset of youth in the runaway and homeless category supported by the RHY funding. The variable level of compliance with RHYMIS reporting requirements (and the ability to collect reliable performance data) is affected by these program and service delivery realities.

<b>STRATEGIC GOAL 3: INCREASE THE HEALTH AND PROSPERITY OF COMMUNITIES AND TRIBES</b>
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### **Rationale**

Strong neighborhoods and communities are essential in creating healthy environments for children and families. Research reveals a significant relationship between the quality of community life and the well-being of residents. Living in distressed neighborhoods is associated with negative impacts on early childhood development, educational attainment, and health, as well as higher rates of violence, infant mortality, substance abuse, and out-of-wedlock teen parenthood. ACF programs contribute to the goal of increasing the health and prosperity of communities and Tribes by strengthening local community partnerships, improving civic participation, increasing community development investments, and working with Tribes and Native American communities to build capacity and infrastructure for social and economic development and self-sufficiency.

ACF supports activities that create jobs in economically disadvantaged communities, that help communities develop comprehensive services networks to provide community supports for local residents, and that empower residents to leverage local assets and address their needs. ACF assists communities to develop economically and enable low-income individuals to get work through a number of initiatives. For example, the Empowerment Zone/Enterprise Community (EZ/EC) initiative, in cooperation with the Department of Housing and Urban Development, provides substantial funding and technical assistance for community development corporations and other organizations to create new business and employment opportunities.

These programs help low-income families, including many leaving TANF cash assistance, succeed and advance at work. In isolated urban low-income communities, immigrant neighborhoods and rural areas separated from labor markets, organizations which have a

stake in those communities serve as an indispensable link between low-income parents struggling to become self-sufficient and find jobs and employers and public agencies offering needed services and support. These community-based organizations have identified innovative and promising roles for community-level agencies to create employment opportunities and assist low-income families to succeed at work. Building on years of experience within the communities, we plan to focus activities on partnering with State TANF, Medicaid, labor, and human services agencies to connect low-income working families with a full-range of supports as well as career development possibilities.

Many HHS programs vital to this goal are implemented by State, local, and non-governmental agencies. Several other Federal Departments and agencies manage projects for strengthening community-based efforts and creating economic opportunity for residents of distressed communities. In addition, the Nation's overall economic climate, as well as that of particular geographic regions, is a major factor in the Department's ability to achieve this strategic objective.

#### INTERNAL AND EXTERNAL COORDINATION

The Community Services Block Grant, the Social Services Block Grant, the Low-Income Home Energy Assistance Program (LIHEAP), and the programs of the Administration for Native Americans (ANA) are administered directly by States and Tribal governments. Numerous agencies throughout HHS have responsibilities for achieving parts of this strategic objective. ACF, Administration on Aging, Centers for Disease Control and Prevention, Health Resources and Services Administration, Substance Abuse and Mental Health Services Administration, and individual offices within the Office of the Secretary, including the Office of the Assistant Secretary for Planning and Evaluation, contribute to the effort.

ACF assists community organizations to gain access to HHS programs that support comprehensive, coordinated community services. Community service programs, such as the Family Violence Prevention Program, the Community Services Block Grant program, Healthy Start, Mental Health Services for Children and the Aging Network, are encouraged to build coordinated service networks. ACF promotes the involvement of community residents as active partners in developing and implementing local programs and services through community service programs, such as the Community Services Block Grant Program, HIV prevention programs in the Centers for Disease Control and Prevention, and the Administration for Native Americans.

In addition, numerous other Federal agencies, such as the Departments of Housing and Urban Development; Agriculture; Justice; Education; Commerce; and Labor; the Environmental Protection Agency; and the Small Business Administration, are involved in related work. HHS coordinates and collaborates with these entities, particularly within the framework of the Vice President's Community Empowerment Board and the multi-agency implementation of the Empowerment Zone/Enterprise Community (EZ/EC) Initiative.

**The objectives and major program areas for this goal are:**

**8. *Build healthy, safe and supportive communities and Tribes***

- Community Services Block Grant
- Family Violence Prevention Program
- Low-Income Home Energy Assistance
- Native Americans Programs

**8. *Build healthy, safe and supportive communities and Tribes***

**Approach for the Strategic Objective:** Strengthen local communities through community partnerships and improving civic participation; increase community development investments so that families can lead healthy, safe and productive lives. Work with Tribes and Native American communities to develop strategies and programs that will promote social and economic development and self-sufficiency.

**COMMUNITY SERVICES BLOCK GRANT**

**Program Description, Content, Legislative Intent, and Program Goals**

The purpose of the Community Services Block Grant (CSBG) program is to provide a range of services and activities having a measurable and potentially major impact on causes of poverty in the community. The CSBG Act requires States to pass through 90% of the Federal funds allocated to eligible entities, which in most cases are Community Action Agencies (CAAs).

Results-Oriented Management and Accountability (ROMA): Prior to passage of GPRA, ACF was already in the process of developing a monitoring and technical assistance strategy which focused on increasing the capacity of local agencies to increase program performance toward achieving results. ACF established a task force composed of CSBG State directors, CAA directors and relevant association members, including representatives from Head Start, to oversee this responsibility. The purpose of this task force was to develop and implement a strategy for strengthening the capacity of CSBG agencies and local CAAs to focus on improved program performance and better results for low-income people. The major strategy of ROMA is to allow community-based agencies an opportunity to develop their own objectives and activities that are based on periodic assessments of community needs and resources. It is a way to continuously revitalize, energize and measure results obtained by the partnerships on the local level, State and Federal levels.

ROMA evolved from a need to develop a goal oriented framework, with State partners, which binds and holds accountable a local network of community action agencies in a standardized way yet allows them the flexibility to develop their own processes and outcomes in keeping with local preferences and State objectives. This is a major cultural shift for all levels since it redefines the roles of each. The emphasis since 1996 has been on developing the capacity to contain a results-oriented structure on all levels rather than

just a data management system. ROMA data for FY 1997 was reported for the first time this year as States move from a service categorization to an outcome orientation.

ROMA is a management practice that incorporates the use of outcomes or results into the administration, management, and operation of human services. It provides a framework of national goals at the family, community and agency levels for a flexible transition to an outcome orientation and an opportunity to create and use a variety of indicators for local community action agencies. ROMA encompasses: (1) a menu of outcome-oriented measures which leave maximum flexibility at the local level; (2) implementation tools for measuring incremental successes and assessing agency capacity such as scales and self assessment matrices; (3) electronically-provided economic and demographic data mapping at the neighborhood level for conducting community needs assessment and planning; (4) training and technical assistance plans to ensure timely phasing of the total approach; and (5) reporting compatible with local, State and Federal need for information.

#### SUMMARY OF FY 1999 PERFORMANCE

The Community Services Block Grant Program continues to support an array of services and activities to assist low-income individuals, including individuals transitioning from welfare, the elderly, the homeless and migrants, to achieve individual and family self-sufficiency. The CSBG Program is carried out through the States and Community Action Agencies based on community needs assessments. CSBG awards were made to the 50 States, Puerto Rico, and the District of Columbia, U.S. Territories, and 61 Indian Tribes and tribal organizations.

The national Monitoring and Assessment Task Force (MATF) and OCS continue to provide technical assistance and support to States to implement ROMA. Work is underway on several fronts: (1) to develop and implement a community scale project to measure civic and social capital development; (2) to provide technical support to eight statewide partnership grants to implement ROMA; (3) to strengthen the capacity of State CAA Associations 5-year grants are being awarded (contingent on the availability of funds) to all CAA State Associations; and (4) to insure that all States began some phase of implementation of ROMA. State reports will be available late March 2000. The ROMA Guide training tool, which was mailed to all States and community action agencies, is now available on the website for use of other community-based agencies. A project group has been formed to document the database management issues commonly faced by local community action agencies who typically operate at least five databases to handle the multiple systems demanded by funders' requirements.

## Summary Table

Performance Goals	Targets	Actual Performance	Reference
<p>Program Goal: Ensure that low-income people have a stake in their community.</p> <p>8a. In FY 2001, increase by 1% over the previous year the number of volunteer hours contributed by CSBG consumers in one or more community groups. (expressed in million of hours)</p>	<p>FY 01: 29.22 FY 00: 28.93 FY 99: 28.64</p>	<p>FY 01: FY 00: FY 99: FY 98: FY 97: 27.00 FY 96: 28.06</p>	Px 111
<p>Program Goal: Conditions in which low-income people live are improved.</p> <p>8b. In FY 2001, increase by 1% over the previous year the amount of non-Federal resources brought into low-income communities by the Community Services Network (non-Federal funds mobilized).</p>	<p>FY 01: 1.39 FY 00: 1.38 FY 99: 1.36</p>	<p>FY 01: FY 00: FY 99: FY 98: FY 97: 1.26 FY 96: 1.20</p>	Px: 111-112
<p><b>Availability of FY 99 Data:</b> Results will not be available for FY 99 Performance Report due to lags in collecting data in a block grant program.</p>			
<b>Total Funding</b>	<p>FY 01: \$515.5 FY 00: \$584.4 FY 99: \$553.3</p>	<p>Bx: budget just. section Px: page # performance plan</p>	

### PERFORMANCE GOALS

PROGRAM GOAL: Ensure that low-income people have a stake in their community.

**8a. FY 2000: Increase by 1% over the previous year the number of volunteer hours contributed by CSBG consumers in one or more community groups. (1997 baseline: 27 million hours.)(Target revised from 3%; new, more accurate baseline established)**

**FY 2001: Increase by 1% over the previous year the number of volunteer hours contributed by CSBG consumers in one or more community groups. (1997 baseline estimate: 27 million hours)**

PROGRAM GOAL: Use federal funds as leverage to improve conditions where low-income people live.

**8b. FY 2000: Increase by 1% over the previous year the amount of non-Federal resources brought into low-income communities by the Community Services Network (non-Federal funds mobilized). (1997**

***baseline: \$1.26 billion) (Target revised from 4%; new, more accurate baseline established)***

***FY 2001: Increase by 1% over the previous year the amount of non-Federal resources brought into low-income communities by the Community Services Network (non-Federal funds mobilized). (1997 baseline: \$1.26 billion)***

As part of the ongoing work with partners that is at the basis of the ROMA approach, an extensive set of goals and measures is under discussion. There are goals relevant to individuals, families, communities, agencies, and partnerships. Examples under development for “community revitalization” include: increase the number of participants enrolled in educational and literacy programs who attend regularly and increase the amount of property tax generated as a result of rehabilitation projects.

For FY 1997, thirty-six States are reporting using ROMA “family” goal outcome measure—a few are beginning to use scales. In one State, for example, there are five levels of family well being: in crisis, at risk, protected, capable, and thriving. For each level there are indicators, which allow States to measure incremental progress. Not all States are at the same level in the use of outcome measures, but there are at 15 who are using both family and agency measurements.

#### OPERATIONAL PROCESSES, SKILLS, TECHNOLOGIES AND RESOURCES

From the beginning, ACF has viewed GPRA as an opportunity to improve program performance toward better outcomes at the State and local levels. In FY 1996 and FY 1997, percentages of the CSBG funds designated for training, technical assistance, planning, evaluation and data collection were awarded to States and localities in support of GPRA. These funds and others from State and local levels support training at national, State and regional association conferences; development and use of special implementation tools such as manuals, scales for incremental measurement at the individual, family and community levels; surveys and survey methodology; electronically-provided economic and demographic mapping data at the neighborhood level; revision of reporting tools; and specific on-site consultative technical assistance efforts.

#### DATA SOURCES, VERIFICATION, AND VALIDATION

Data are gathered by the CSBG Information System. Previously, the emphasis has been on collecting data voluntarily to give feedback to States and local agencies about their progress and/or need for technical assistance and training. States provide information on the sources and uses of CSBG funds and on the expenditure of those funds by major program categories. The CSBG Information System is being modified gradually to accommodate an outcome-oriented system. Data submitted by States is evaluated for internal consistency and for consistency with other data sources such as federal appropriation and allocation information for the fiscal data and Census data for the comparison of the population served to the eligible population. While the ROMA data is just beginning to be collected, where possible, it will be checked against available

benchmarks for similar services. States are contacted regarding any inconsistencies and corrections are made as necessary.

## **FAMILY VIOLENCE PREVENTION PROGRAM**

### **Program Description, Content, Legislative Intent, and Broad Program Goals**

The Family Violence Prevention and Services Program (FVPSP) is responsible for the administration and oversight of a number of activities pertaining to family violence. A primary focus of the program is to assist States and Indian Tribes in their efforts to respond to and prevent family violence. To that end, the FVPSP allocates funds to support the provision of immediate shelter and related assistance for victims of family violence and their dependents. Funding is also allocated to carry out coordination, research, training, technical assistance, and clearinghouse activities.

The Family Violence Prevention and Services Act was enacted as Title III of the Child Abuse Amendments of 1984, and was reauthorized and amended for FY 1995 through FY 2000 by the Violent Crime Control and Law Empowerment Act of 1994 (the Crime Bill). An increase of \$16 million will continue the FY 2000 Family Violence initiative by expanding services, particularly to underserved populations, and increasing support for the National Domestic Violence Hotline.

With each amendment of the legislation, the FVPSP responsibilities have grown. In addition to overseeing State and Tribal activities, the FVPSP is now tasked with administering grant programs for state domestic violence coalitions carrying out similar technical assistance and prevention efforts. Moreover, the Program established and provides ongoing support for the Domestic Violence Resource Network, which now includes the National Resource Center on Domestic Violence, four special issue resource centers, and the National Domestic Violence Hotline.

“Family violence” is a broad term, encompassing all forms of violence within the context of family or intimate relationships, including domestic violence, child abuse and elder abuse. A primary focus of the FVPSP has been supporting intervention and prevention efforts targeting domestic violence, or violence and abuse between adult intimate partners. Most commonly, domestic violence involves the abuse of a female by a male partner or ex-partner. Domestic violence is an issue of increasing concern because of its far-reaching and negative effects on all family members, including children. The FVPSP has also been concerned about the intersection between domestic violence and child abuse within families, with abuse of women in later life, and has provided funding for several collaborative initiatives to increase our knowledge and improve our intervention and response efforts.

Domestic violence is not confined to any one socioeconomic, ethnic, religious, racial, or age group, and occurs in rural, urban and Tribal communities. It is the leading cause of injury to women in the United States, where they are more likely to be assaulted, injured, raped or killed by a male partner than by any other type of assailant. Statistics show that 29 percent of all violence against women by a single offender is committed by an intimate—a husband, ex-husband, boyfriend, or ex-boyfriend. Accurate information on the extent of

domestic violence is difficult to obtain because of extensive under-reporting. However, it is estimated that each year in this country between one and four million women are abused to the point of injury by a male partner or ex-partner. About one-fourth of all hospital emergency room visits by women result from domestic assaults.

This violence takes a devastating toll on children who are exposed to its cruelty. Between three to four million children witness parental violence every year. Children whose mothers are victims of wife battery are twice as likely to be abused themselves as those children whose mothers are not victims of abuse. When children witness violence in the home, they have been found to suffer many of the symptoms that are experienced by children who are directly abused.

## PROGRAM DESCRIPTION

**State and Tribal Programs :** The FVPSP State and Tribal grants program authorized by Section 303 of the Family Violence Prevention and Services Act (FVPSA) is the primary Federal mechanism for encouraging State, Tribal and local support for implementing, maintaining, and expanding programs and projects to prevent family violence. FVPSP funds continue to supplement many already established community-based family violence prevention and services activities. In particular, these funds have been instrumental in promoting and supporting the development of services in rural and other underserved areas.

Through the FVPSP, State agencies, Indian Tribes, and Tribal organizations receive grants for the provision of emergency shelter services to domestic violence victims and their families. In addition, funds may be used for related services such as alcohol and substance abuse prevention, counseling related to family violence, legal assistance through civil and criminal courts, childcare services for children who are victims of family violence, and other prevention-focused activities.

ACF recognizes that coordination and collaboration at the local level among the police, prosecutors, the courts, victim services providers, child welfare and family preservation services, TANF agencies, and medical and mental health providers is necessary to create a more responsive network of protections and supports for families dealing with domestic violence. To help develop a more comprehensive and integrated service delivery approach, ACF is assisting State agencies and Indian Tribes receiving funds under FVPSP to coordinate planning activities with new and existing State, local, and private sector agencies.

**State Domestic Violence Coalitions :** In FY 1993, the FVPSP began administering grants to statewide private nonprofit domestic violence coalitions to conduct activities that promote domestic violence intervention and prevention and increase public awareness of domestic violence issues. Some areas of focus for state coalitions include developing data systems, advocacy, statewide planning efforts, administration, direct services, public awareness and community education. Needs assessment and planning activities conducted by coalitions are designed to document gaps in current response and prevention efforts and help guide future endeavors. FVPSP funding also enables state coalitions to provide technical assistance to State agencies and organizations on policy and practice related to domestic violence intervention and prevention, as well as ongoing training and support to

local domestic violence programs, many of whom receive state allocated FVPSA funds. By funding these types of state coalition activities, the FVPSP demonstrates its commitment to inclusive, broad-based planning at the State and local levels.

**Discretionary Program and Activities:** Each fiscal year, FVPSP discretionary funding supports public agencies and nonprofit organizations in establishing, maintaining, and expanding programs and projects to prevent incidents of family violence and provide immediate shelter and related assistance to victims and their families. Discretionary funding is typically limited to applicants who specify goals and objectives having national and local relevance. Moreover, the programs must demonstrate applicability to the coordination efforts of national, Tribal, State and community-based organizations.

During the past several years, priority funding areas have included: Public Information/Community Awareness grants; stipends to Historically Black, Hispanic-serving, and Tribal Colleges and Universities; grants to support Domestic Violence/Child Protective Services Collaborations; grants to develop demonstration training models for improved access and legal representation; grants to develop services for immigrant, migrant, and refugee battered women; grants to develop strategies for effective response to domestic violence issues within the context of the Temporary Assistance to Needy Families (TANF) Program; and grants to improve health care response to domestic violence.

The FVPSP has also implemented several initiatives to facilitate and improve its outreach, information gathering, and service response to underserved communities. Such initiatives include the mobilization of researchers, academicians, and practitioners around issues of family violence that impact these particular communities. These efforts have resulted in the development of the Institute on Domestic Violence in the African American Community, the National Latino Alliance, the Women of Color Network, and the Asian American Institute on Domestic Violence.

**Domestic Violence Resource Network:** The Domestic Violence Resource Network (DVRNetwork) was established in 1993 as part of the 1992 amendments to the FVPSA. The FVPSP initially provided funding for the development and operation of a National Resource Center on Domestic Violence and three special issue resource centers – the Battered Women’s Justice Project (focusing on civil and criminal justice issues), the Health Resource Center on Domestic Violence, and the Resource Center on Domestic Violence: Child Protection and Child Custody. In 1997, funding was made available to establish a fourth special issue resource center focusing on the technical assistance and training needs of Tribes and Native American communities.

Prior to the establishment of the DVRNetwork, there were no national organizations dedicated specifically to providing training, technical assistance and policy analysis to help domestic violence practitioners and other professional improve their approaches to working with victims or perpetrators of domestic violence. Each resource center, operated by established organizations with demonstrated expertise in domestic violence policy and practice issues, partners with community-based domestic violence programs, state domestic violence coalitions, Federal, State, and local government agencies, Indian Tribal organizations, policy makers, researchers, and others to identify and respond to emerging information and technical assistance gaps.

While each resource center is charged with a specific domestic violence subject area, members of the DVRNetwork have always worked in partnership to ensure that domestic violence-related training and technical assistance throughout the country is complementary, comprehensive, appropriate, and informed by the entire network. These member resource centers work collaboratively to identify gaps in policy and services and to develop strategies for addressing these gaps. In addition to providing toll-free access to technical assistance pertaining to its subject area, other services include training, policy analysis and development, identification of model programs, development of policies and publications, and assistance to Federal and State agencies on a full range of policy and practice issues.

**National Domestic Violence Hotline :** In 1995, ACF sought applications to operate its National Domestic Violence Hotline, under authorization of Section 316 of FVPSA. The NDVH became operational in 1996 as a project of the Texas Council on Family Violence and serves as a critical partner in the prevention and resource assistance efforts of the Domestic Violence Resource Network (DVRNetwork).

The toll-free, 24-hour NDVH provides:

- Crisis intervention to help callers identify problems and possible solutions, including development of emergency safety plans;
- Information about sources of assistance for individuals and their families, friends, and employers wanting to learn more about domestic violence, child abuse, sexual assault, intervention programs for batterers, criminal and civil justice system issues, and other critical concerns;
- Referrals to battered women's shelters and programs, social services agencies, legal programs, and other groups and organizations willing to help.

The Hotline is committed to meeting the needs of diverse communities and provides bilingual Spanish-English staff, text telephones for callers who are hearing impaired, access to translators in 139 language, and materials in a variety of languages and formats. The Hotline first began responding to calls in late February 1996 and currently receives an average of 8000 calls per month from throughout the U.S. and its territories. The majority of these calls are from domestic violence victims themselves. Between February 21, 1996 and December 31, 1998, the Hotline received a total of 278,245 calls.

In an effort to assess the effectiveness of the Hotline, ACF funded two studies to evaluate the Hotline's progress and activities – the first funded in 1996, a 6-month review of the Hotline which yielded an impact assessment of the Hotline, an analysis of the Hotline's information systems, feedback from the Hotline workers, and plans for future Hotline research, and the second included a 4-day site visit and follow-up interviews which identified the strengths of the Hotline and noted areas where change is needed to foster growth and development in key areas such as databases, research, and organizational growth.

## SUMMARY OF FY 1999 PERFORMANCE

During the past decade, there has been tremendous expansion in the number of grants to Indian Tribes. The impetus for growth came with a legislative amendment, which set forth the mandatory allocation of funding for Indian programs, rather than funding of such programs at the discretion of the Secretary of HHS. The number of grantees has nearly tripled over the last decade from 64 Tribes when the legislation was first enacted.

The FVPS programs on Tribal trust lands and reservations are in the process of evolving towards a more stable and comprehensive set of activities. As the FVPSP supports the development of staff capacity among the tribal grantees, ACF has been able to identify the need to enhance both service delivery and information compilation techniques. There are several activities underway in an attempt to improve Tribal reporting of family violence intervention and prevention activities. For example, ACF now has the assistance of a newly funded resource center that provides comprehensive technical assistance, support and training to Tribes, Native American communities, and advocates working with Indian women. This Center has begun working directly with Tribes receiving FVPSP grants both in the collection of data for reporting purposes and to assist them in administering their programs.

It should be noted that many Tribal grantees and Alaskan native villages funded through the FVPSP, are constrained in their program development efforts and service delivery activities by the extreme distances between service facilities, isolation in rural areas, and the constant turnover in program staff. Through the 174 Tribes and Alaskan villages that were funded by FVPSP in FY 1998 there is a developing network of safehouses, Tribal-run shelters and related assistance services for family violence victims and their dependents.

A particular FVPSP performance goal for FY 1999 was to increase the participation of Indian Tribes, Tribal organizations, and Alaskan Native Villages by 35 percent, i.e., from 120 in FY 1996 to 162. During FY 1999, ACF exceeded the program goal by funding 174 Indian Tribes, Tribal organizations, or Alaskan Native Villages to establish family violence prevention and service programs.

### Summary Table

Performance Goals	Targets	Actual Performance	Reference
<p>Program Goal: Build healthy, safe and supportive communities and Tribes that increase the ability of family violence victims to plan for safety.</p> <p>8c. In FY 2001, increase to 189 the number of Federally recognized Indian Tribes that have family violence prevention programs.</p>	<p>FY 01: 189 FY 00: 174 FY 99: 162</p>	<p>FY 01: FY 00: FY 99: FY 98: 174 FY 96: 120</p>	<p>Px 119</p>

8d. In FY 2001, increase the capacity of the National Domestic Violence Hotline to receive and respond to an average of 10,000 calls per month. (New)	FY 01:10,000 FY 00: New in 2001 FY 99: N/A	FY 01 FY 00 FY 99: FY 98: 8,000	Px 119
8e. In FY 2001, build the capacity of the National Domestic Violence Hotline to receive and respond to calls from sexual assault victims/survivors and their family/friends.(New)	FY 01: FY 00: New in 2001 FY 99: N/A	FY 01: FY 00:	Px 119
<b>FY 99 Data Availability:</b> Results will not be available for the FY 99 Performance Report; Tribal reports are due December 31, 1999. Final data will be available in March 2000.			
<b>Total Funding:</b>	FY 01: \$119.6 FY 00: \$103.5 FY 99: \$90.5	Bx: budget just. section Px: page # performance plan	

## PERFORMANCE GOALS

The Family Violence Program has initiated several efforts designed to assist in developing performance indicators and outcome measures for the various programs and activities funded with FVPSA funds. There is currently considerable variation in the type and comparability of data reported by State and Tribal grantees, as well as from State coalitions and discretionary grantees. This is in part because of the tremendous variation in the types of services and activities funded within each State or locality, given other Federal, State and local funding that might also be available, as well as the varying reporting capacity of grantees to provide extensive data. This FVPSP effort will be accomplished in collaboration with the States, State domestic violence coalitions, the national resource center network, and Federal-level partners to reach consensus.

Specifically these efforts include: the funding of the Documenting Our Work project of the National Resource Center on Domestic Violence, which has formed a national working group and completed an extensive number of focus group conference calls to assist in the building of common but sufficiently inclusive definitions of the “services” provided by local domestic violence programs and State domestic violence coalitions. These efforts are focused on capturing the impact of services on diverse communities and individuals; initiating a review of the current data elements reported by States to identify those that can be considered baseline; participating in the Federal agency workgroup exploring the feasibility of developing a standardized Federal reporting form for all victim assistance programs (Violence Against Women Office, Office for Victims of Crime, National Center for Injury Prevention and Control, and FVPSP) which often provide direct or indirect funding to the same agencies. All of these initiatives are expected to be completed at the end of FY 2000.

In the meantime, the following program performance goals have been developed for FY 2000 in two program areas where data is available sufficient to track performance: Tribal program development, and the NDVH.

**PROGRAM GOAL:** Build healthy, safe and supportive communities and Tribes that increase the ability of family violence victims to plan for safety.

Activity: Support programs to provide immediate shelter and related assistance for victims of family violence and their dependents.

**8c. FY 2000: Increase to 174 (from 120 in 1996) the number of Federally recognized Indian Tribes that have family violence prevention programs. (Developmental; target level may increase)**

**FY 2001: Increase to 189 (from 174 in 1999) the number of Federally recognized Indian Tribes that have family violence prevention programs. (Developmental)**

(NOTE: There are 540 such Tribes; the target is for 35% to have some form of prevention service by FY 2001.)

Activity: Provide technical assistance and information to 25 percent of the States and 10 percent of the Indian Tribes through a domestic violence resource and technical assistance plan that is the result of collaborations among the national resource center network, the national domestic violence hotline, and selected State domestic violence coalitions. Technical assistance and information activity for States (25 percent) and for Tribes (10 percent) has remained a collaborative activity as the necessary long-term commitments for a targeted initiative may be finalized during FY 2000.

Activity: Remove barriers to work for victims of domestic violence. Provide to States and Indian Tribes information on program models, best practices and services information to enhance the decision-making of domestic violence survivors.

PROGRAM GOAL: Ensure that victims of domestic violence and sexual assault, their family and friends, and others interested in their safety and support, have a source of comprehensive and timely information, crisis services, and assistance.

**8d. FY 2001: Increase the capacity of the National Domestic Violence Hotline to receive and respond to an average of 10,000 calls per month throughout FY 2001.**

**8e. FY 2001: Build the capacity of the National Domestic Violence Hotline to receive and respond to calls from sexual assault victims/survivors and their family/friends. (Developmental)**

Activity: Using the evaluation reports provided by both the Center for Social Work Research and Macro International, Inc., assist the staff of the National Domestic Violence Hotline (NDVH) to respond to the recommendations related to databases and organizational growth. Sources of such support, particularly prioritizing areas of initial attention within limited financial resources, can include the NDVH's national advisory board, the DVRNetwork agencies, Federal agencies and others.

Activity: FY 2000 funding provided for the NDVH to begin expanding its services to encompass a response to sexual assault as well as domestic violence. Considerable

planning support is required, expanded network building will need to be initiated, and critical database reconfiguration will be necessary. It is not possible to set numerical goals for sexual assault calls at this point, but it will be necessary to track the increase over time of sexual assault related callers, domestic violence callers, as well as impact (both programmatically and organizationally) of this expansion of focus.

## DATA SOURCES, VERIFICATION, AND VALIDATION

Current and available data sources and informational systems are inadequate to accurately report on information, resource development and support services that are in place to assist victims of domestic violence. As indicated earlier, ACF is continuing to discuss the early stages of the development of a voluntary aggregate data reporting system for the family violence program with its State and local partners. Moreover, in collaboration with other Federal agencies and State and local partners, ACF has begun to establish a typology of domestic violence services acceptable to all organizations and agencies in the field. These efforts have been supplemented by discussions through the resource center network related to responsibly documenting the impact of efforts at the local, state and national levels.

It is expected that by the end of fiscal year 2000, 25 percent of the States and 10 percent of the Tribes will have received survey methodology training and technical assistance in order to conduct assessments on the adequacy of the resource and services plan and the ability of the measures to reflect performance and impact.

## LOW-INCOME HOME ENERGY ASSISTANCE (LIHEAP)

### **Program Description, Content, Legislative Intent, and Broad Program Goals**

The Low-Income Home Energy Assistance Program (LIHEAP) is one of six block grant programs authorized by the Omnibus Budget Reconciliation Act of 1981 (OBRA). States, eligible Indian Tribes/Tribal organizations and Insular areas that wish to assist low-income households in meeting the costs of home energy may apply for a LIHEAP block grant. The LIHEAP statute requires that LIHEAP benefits be limited to assisting eligible households in meeting their heating and cooling costs, not their total residential energy bill, which includes such things as lighting and appliances.

Grantees must provide a LIHEAP plan, which includes eligibility requirements, benefit levels, and the estimated amount of funds to be used for each type of LIHEAP assistance. Public participation in the development of grantees' plans is required. LIHEAP grantees design their own programs within very broad Federal guidelines. Under the LIHEAP statute, LIHEAP grantees have the authority to determine how to implement or target their programs and how best to carry out the purposes of LIHEAP. HHS has a very limited role in determining how LIHEAP funds are spent.

LIHEAP is not an entitlement program. LIHEAP appropriations are allocated to LIHEAP grantees on the basis of a statutory formula that gives greater weight to cold temperatures and results in great discrepancies in per capita funding. This in turn leads to large differences in average benefits and the number of eligible households receiving LIHEAP assistance. The Human Services Amendments of 1994 (P.L. 103-252) clarified that the purpose of LIHEAP is "to assist low-income households, particularly those with the lowest

income, that pay a high proportion of household income for home energy, primarily in meeting their immediate home energy needs." Congress further indicated that LIHEAP grantees need to ensure that they are actually targeting those low-income households, which have the highest energy, costs or needs.

The statute defines "highest home energy needs" as "the home energy requirements of a household determined by taking into account both the energy burden of such household and the unique situation of such household that results from having members of "vulnerable" populations, including very young children, individuals with disabilities, and frail older individuals. However, the statute does not define the terms, "young children," "individuals with disabilities," and "frail older individuals."

As a first step towards establishing LIHEAP performance measurement, ACF issued model LIHEAP performance goals and measures in November 1995, as required by amendment of the LIHEAP statute by Sec. 311(b) of the Human Services Amendments of 1994 (Public Law 103-252). One of the primary model LIHEAP performance goals deals with targeting of LIHEAP assistance to vulnerable households, i.e., LIHEAP households having at least one elderly or disabled member or children 5 years old and under. In this context, "targeting" means reaching a higher percentage of eligible vulnerable households through LIHEAP outreach and/or providing them with a higher level of LIHEAP assistance than the percentage of the total vulnerable household population.

In October 1997, ACF established the LIHEAP Advisory Committee on Managing for Results (the Advisory Committee) as a joint partnership between the states, local agencies, other program stakeholders and ACF. The Advisory Committee's task is to collaborate with ACF in developing recommendations on cost-effective performance goals and measures for LIHEAP that will meet the requirements of GPRA. In addition, the Advisory Committee's task is to enhance program management practices through the process known as "Managing for Results."

The statute's emphasis on LIHEAP targeting, the development of the model LIHEAP performance goal on targeting, and the work of the Advisory Committee led ACF to identify targeting performance as LIHEAP's initial performance goal under GPRA. LIHEAP targeting serves as a proxy for measuring the impact of the program, while maintaining the flexibility of the block grant approach by allowing each State to set its own targeting goal for vulnerable households. It is assumed that targeting will safeguard the health of households with members who are at the highest health risk to the effects of unsafe temperatures in their homes. In other words, improved targeting performance addresses the LIHEAP statute's purpose of helping those most in need to meet their immediate home energy needs. Finally, the measurement of LIHEAP targeting also recognizes that many States have limited funds and other resources to collect data on the effects of LIHEAP benefits on the health and safety of LIHEAP recipients.

## SUMMARY OF FY 1999 PERFORMANCE

The measurement of LIHEAP targeting performance goals and measures requires first that States set measurable performance goals for vulnerable households. Given that LIHEAP is a block grant, HHS has not required the States to set performance goals and measures for

LIHEAP. In addition, the amended LIHEAP statute indicated that the model LIHEAP performance measures and goals are optional for States' use.

Over the last several years, few States have gained experience in measuring their performance in targeting LIHEAP assistance to vulnerable households. Data collection does not appear to be an issue as the LIHEAP statute has required States to report data to HHS on the number of LIHEAP recipient households having at least one elderly or disabled member since FY 1981, and on the number of LIHEAP recipient households having at least one child 5 years or under since FY 1998.

In response to the issuance of the LIHEAP performance measures under GPRA, the Advisory Committee has been encouraging States to establish LIHEAP targeting performance goals. The Advisory Committee has been providing direct technical assistance to a limited number of States, making presentations at LIHEAP-related workshops, and developing technical assistance documents. The Advisory Committee has also provided information on how States can develop a "targeting index" as a statistical measure of targeting performance.

This past spring, the Advisory Committee sent the States its 1999 *LIHEAP Survey on Managing for Results* to determine, in part, how many States had set measurable performance goals for vulnerable households for FY 1999. The Survey also sought information on whether States had used their FY 1998 data on vulnerable households as a baseline for setting numerical performance standards for FY 1999.

The Survey indicated that at least 10 States set for FY 1999 measurable performance goals for vulnerable households, i.e., a number or percent of recipient households that included an elderly member or young child. Some grantees indicated that their goal was to "increase the number of vulnerable households served," while others indicated that they had a performance goal, but did not specify a performance measure for the goal. The 10 States that set measurable performance goals were contacted in the beginning of December 1999 to calculate the percent of those States meeting their FY 1999 performance goals for vulnerable households.

Currently, the Advisory Committee is developing an action plan to increase the number of States setting measurable performance goals for vulnerable households for FY 2000. The plan will be based on input from the States about what capacity-building resources they need in establishing performance measures and collecting/analyzing data on those measures.

## Summary Table

Performance Goals	Targets	Actual Performance	Reference
<p>Program Goal: Increase the availability of LIHEAP fuel assistance to eligible households with at least one member whose health is vulnerable (60 years or older, disabled or a child five years old or under) to a home without sufficient heating or cooling.</p> <p>8f. In FY 2001, 75% of grantees that have set a goal for the participation rate of eligible households having at least one member who is 60 years or older or who is disabled are successful in meeting that goal.</p>	<p>FY 01: 75% FY 00: 75% FY 99: 75%</p>	<p>FY 01: FY 00: FY 99: 50% (10 States**) FY 98:*</p>	Px 125
<p>8g. In FY 2001, 75% of grantees that have set a goal for the participation rate of eligible households having at least one member who is age 5 years or under are successful in meeting that goal.</p>	<p>FY 01: 75% FY 00: 75% FY 99: 75%</p>	<p>FY 01: FY 00: FY 99: 25% (4 States**) FY 98*</p>	Px 125
<p>*FY 1998 baseline data represents the percent of LIHEAP households having at least one member who is 60 years or older, disabled or households having at least one member 5 years or under. The data provide a starting point for States in setting numerical performance standards for FY 1999.</p> <p>**The number of States in parentheses represents the number of States that set performance goals.</p>			
<p><b>Total Funding:</b></p>	<p>FY01: \$1100.0 FY00: \$1105.0 FY99: \$1277.5</p>	<p>Bx: budget just. section Px: page # performance plan</p>	

## Program Activities, Strategies, and Resources

ACF expects to achieve its LIHEAP targeting performance goal over time through the following program activities, strategies, and resources.

State-level estimates are available from ACF of the number of LIHEAP income eligible households having at least one elderly or disabled member, and at least one child five years old or under. Each State's estimates are based on averages derived from three consecutive years of data from the U.S. Census Bureau's March Current Population Survey. The Census Bureau uses this methodology in providing States each year with an estimate of the number of low income, school-age children for use in the federally-subsidized School Lunch Program.

ACF has developed for States a performance measurement system designed to measure the targeting of LIHEAP assistance to vulnerable households. The system is based on the calculation of "targeting indexes." The LIHEAP eligible population percentage for vulnerable households and the LIHEAP recipient population percentage for vulnerable

households can be calculated for each State. The targeting index is computed as the ratio of these two percentages multiplied by 100. For example, a State's LIHEAP program served 38 percent of households with an elderly individual compared to 31 percent of all eligible households. The targeting index is computed as 38 percent divided by 31 percent and then multiplied by 100 for an index of 123.

The targeting index is a relative measure; the higher the index for a group, the greater the amount of targeting that group has received. An increase in the targeting index for a group over time would indicate an increase in targeting for that group. A targeting index over 100 indicates that a group receives LIHEAP benefits at a rate higher than the average for the eligible population and a targeting index below 100 indicates that a group receives benefits at a rate lower than the average for the eligible population.

In June 1999, the Advisory Committee presented a workshop on LIHEAP performance measures that was held at the National Low Income Energy Consortium's conference. Copies of the Advisory Committee's primer, *Managing for Results*, were distributed at the workshop. The primer is designed to reinforce the need for LIHEAP grantees to collect and analyze clearly stated performance data in producing improved services and benefits for LIHEAP households.

In February 2000, the Advisory Committee will sponsor a national LIHEAP performance workshop in Washington, D.C. for State LIHEAP grantees. The workshop will include a session about the lessons learned from FY 1999 LIHEAP targeting performances.

In June 2000, the Advisory Committee will present a workshop on LIHEAP performance measures at the National Low Income Energy Consortium's annual conference.

ACF has added a menu selection on "Performance Measurement" to its LIHEAP web site (<http://www.acf.dhhs.gov/programs/liheap/perform.htm>). The selection contains links to federal GPRA web sites, publications of the Advisory Committee, text of the Government Results and Performance Act of 1993, the LIHEAP Model Performance Goals and Measures LIHEAP GPRA Plan.

## PERFORMANCE GOALS

The protection of the health and safety of vulnerable members is a key strategic goal that Congress wanted to achieve in the creation of LIHEAP. Therefore, ACF will continue with its program goal for FY 2001--to increase the availability of LIHEAP fuel assistance to eligible households with at least one member whose health is vulnerable (60 years or older, disabled or age 5 years or under) to a home without sufficient heating or cooling.

Also, ACF will sponsor several case studies in FY 2001 to determine the feasibility of adding in the future the following program goal: increase the affordability of home energy for eligible households which are at risk of unsafe heating or cooling their homes due to their low income and high energy expenditures.

PROGRAM GOAL: Increase the availability of LIHEAP fuel assistance to eligible households with at least one member whose health is vulnerable to a home without sufficient heating or cooling.

**8f. *FY 2000: 75% of grantees that have set a goal for the participation rate of eligible households having at least one member in the household who is 60 years or older are successful in meeting that goal. (Baseline data is FY 1999.)***

***FY 2001: 75% of grantees that have set a goal for the participation rate of eligible households having at least one member in the household who is 60 years or older are successful in meeting that goal.***

**8g. *FY 2000: 75% of grantees that have set a goal for the participation rate of eligible households having at least one member in the household who is age 5 years or under are successful in meeting that goal. (Baseline data is FY 1999.)***

***FY 2001: 75% of grantees that have set a goal for the participation rate of eligible households having at least one member in the household who is age 5 years or under are successful in meeting that goal.***

Data sources: (1) annual LIHEAP recipient household counts will be derived from the States' LIHEAP Household Report, (2) annual estimates of LIHEAP income eligible households from the most recent three years of data from the March Current Population Survey, and the Advisory Committee's annual *LIHEAP Survey on Managing for Results*.

## OPERATIONAL PROCESSES, SKILLS, TECHNOLOGIES, AND RESOURCES

ACF will continue to offer LIHEAP grantees limited direct technical assistance on performance measurement through the use of LIHEAP training & technical assistance (T&TA) funds. The LIHEAP statute provides for up to \$300,000 for LIHEAP T&TA funds each year. However, a large amount of the funds is used to fund the activities of the LIHEAP Clearinghouse. About \$44,000 in LIHEAP T&TA funds were used for FY 1999 for technical assistance services provided by the National Energy Assistance Directors' Association and the LIHEAP Clearinghouse to support the work of the Advisory Committee and to conduct case studies. About the same amount of LIHEAP T&TA funds are expected to be used in FY 2000.

LIHEAP grantees are limited to spending no more than 10 percent of their LHEAP allotments on planning and administration costs. Thus, they have limited capabilities to redesign their data collection and processing systems to collect and analyze the types of data that are especially useful in determining outcomes for the program. Small T&TA grants would be extremely helpful to most of the States. In providing one time, start-up grants, ACF will work with States to standardize terms, develop consistent approaches to data collection and analysis, and develop computerized databases. The National Energy Assistance Directors' Association wrote to ACF in November 1999 to request ACF support

for regional meetings of state LIHEAP program officials to develop strategies to implement LIHEAP performance goals on a systematic basis.

## EXTERNAL INFLUENCES

Demands on the LIHEAP program are affected by the severity of the weather, fluctuations in home heating or cooling fuel costs, the economy, and the impact of restructuring of the utility industry on low-income households.

## INTERNAL AND EXTERNAL COORDINATION

ACF's Office of Community Services will continue to coordinate work done on LIHEAP performance measures with the Community Services Block Grant's Results Oriented Management and Accountability (ROMA) system to measure the effect of community action agencies services on low income housing and related issues.

ACF will collaborate with the Department of Energy, the Department of Housing and Urban Development, and the Federal Energy Regulatory Commission to investigate the feasibility of collecting data on the impact of utility restructuring on low income households.

In September 1999, the Advisory Committee sponsored a small-group symposium on the integration of LIHEAP with energy assistance programs that are being created through electric and/or natural gas restructuring. A paper is being completed on the information generated at the symposium. Further symposiums are expected to be held in FY 2000.

## DATA SOURCES, VERIFICATION, AND VALIDATION

The issue of measuring the performance of block grants has been addressed by the General Accounting Office in its report, *Managing for Results: Measuring Program Results That Are Under Limited Federal Control*, (December 1998, GGD-99-16). As noted by the report, there are data verification and validation problems inherent in applying GPRA requirements to federally-funded programs where the States have extensive flexibility.

By statute and in order to receive funding for the following fiscal year, all LIHEAP grantees submit an annual report on the number of households served during the previous fiscal year and the number of those households that have members who are elderly or young children, as well as other data. The reports will be reviewed for mathematical accuracy, consistency, and comparison with previous years, in order to verify reported performance.

Validation of State-reported data on LIHEAP recipient households will be difficult. There are no Federal quality control or audit requirements for LIHEAP recipient household data. However, ACF may expand its LIHEAP compliance reviews of States to include drawing a sample of recipient household data to validate data accuracy. Standardized definitions of elderly and young children are used to derive State-specific estimates of LIHEAP eligible households with vulnerable populations based on 3-year moving averages calculated from the Bureau of the Census' March Current Population Survey. Such estimates will be more current, but not as precise as data produced from the 1990 Decennial Census.

No two LIHEAP grantees allocate their block grant resources or establish program eligibility standards in the same way. There is a statutory range, but not a fixed income standard for determining whether a household is income eligible for LIHEAP. Comparison of performance data among LIHEAP grantees will be affected by differences in eligibility cutoffs and other program criteria selected by LIHEAP grantees.

With respect to gathering future home energy expenditure data, most States employ proxies such as fuel type, housing type, and geographical location to reflect variability in home energy costs. Gathering actual expenditure data on primary and secondary heating or cooling fuels is also costly and difficult, as these often may be unregulated bulk fuels. Finally, a number of households have their home energy costs included in their rent. Such households would not know the amount expended for heating their rental unit. Any attempt to measure energy burden based on home energy costs will require the application of sophisticated computer modeling to the total energy bills.

## **NATIVE AMERICANS PROGRAMS**

### **Program Description, Content, Legislative Intent, and Broad Program Goals**

ACF's Administration for Native Americans operates programs mandated to provide grant funding to the full range of Native American populations, including those in the Continental United States, Alaska and Hawaii. This includes Indian Tribes, Native Alaskan villages, Native Hawaiian and Pacific Islanders, urban Indian organizations, and other Native American organizations and communities. Promoting the goal of social and economic self-sufficiency through local self-determination is the cornerstone of ANA's program philosophy. Self-sufficiency is that level of development at which a Native American community can control and internally generate resources to provide for the needs of its members and meet its own economic and social goals. Social and economic underdevelopment is the paramount obstacle to the self-sufficiency of Native American communities and families.

ANA is the only Federal agency serving all Native Americans, including over 500 federally recognized Tribes, 60 Tribes that are State-recognized or seeking Federal recognition, Indian organizations, over 200 Alaska villages, Native Hawaiian communities, and populations throughout the Pacific basin. ANA provides grants, training, and technical assistance to eligible Tribes and Native American organizations representing 2.2 million individuals.

In 1996, the 104th Congress amended the Social Security Act, by replacing Aid to Families with Dependent Children (AFDC), the Job Opportunity and Basic Skills Program (JOBS), and Emergency Assistance (EA) with block grants to States for the Temporary Assistance for Needy Families (TANF) program. Included in the authorization for this new block grant program were provisions for block grants to eligible Tribes. Federally-recognized Indian Tribes are now provided the opportunity to administer their own TANF programs in a manner similar to the States. (Federal administration of the Tribal TANF program is in the ACF Office of Community Services.)

In 1981, ACF collaborated with Tribes and Native communities to develop the innovative Social and Economic Development Strategies (SEDS) program. SEDS is based on the

premise that a local community has the primary responsibility for determining its own needs, planning and implementing its own programs, and using its own natural and human resources. In initiating the SEDS approach, ACF developed a framework of three interrelated goals:

- Assist Native American leadership in exercising control over their resources;
- Foster the development of stable, diversified local economies which provide jobs, promote economic well-being, and reduce dependency on social services; and
- Support local access to and coordination of programs and services that safeguard the health and well being of people, essential elements for a thriving and self-sufficient community.

Through this direct grant funding relationship, Tribes and Native communities have created administrative systems to operate their own social and economic programs, much in the same way as State and local governments. Support for the unique, government to government relationship that exists between Tribal governments and the Federal government is reflected in this approach. A \$9 million requested increase would provide the first funding increase for this successful program in many years. These funds will support self-sufficiency efforts by tribes through economic development and governance projects. Increasing the number of grants awarded will increase the core outcomes that typically occur as grants are measured over time. Additional priority funding areas include native language preservation, recovery and enhancement, environmental regulatory enhancement, and environmental mitigation. The development of performance goals will take place within this context. The preliminary goals and measures below will be further developed through this partnership process, and will include data and baselines.

ANA faces unique challenges in formulating goals and measuring results, however. As a discretionary grant program funding projects designed and implemented at the local level, the differences between each project is considerable in terms of size, scope, community goals, and funding levels. Because Tribes and Native American communities set their own goals and priorities, ACF requests objective progress reports throughout the project period of the grant and an objective evaluation report once the grant has ended. This system provides information on goals and measures, but these are solely unique to the tribe or community. Another factor to be considered is where each grantee is on the continuum of social and economic development. Administrative and organizational capacity varies greatly among grantees, making more difficult the prospect of developing more "conventional" measures.

Many ANA grants are aimed at capacity-building and infrastructure development for tribes and organizations, particularly through the development of legal codes, courts systems, and the revision of existing Tribal constitutions. Capacity-building encompasses not only economic development but also efforts to create new programs as a result of welfare reform. This emphasis on capacity-building ties into the larger ACF goal to facilitate the changes effected by welfare reform by working together in innovative ways. For both economic and social development, capacity-building and infrastructure development are key factors. ANA will continue to work with its partners to develop meaningful GPRA measures, within the context of sovereignty, and available technical and staff resources at

ANA, for job creation, economic well-being, and reducing dependency on social services across a diverse mix of project types, Tribes and Native American organizations.

## SUMMARY OF FY 1999 PERFORMANCE

ANA is confident that all targets will be met due to the provision of consistent technical assistance and the emphasis on the role of tribal elders in Indian communities. Provision of T/TA services increased significantly from 1995 to 1996 (from 441 site visits to 1456 visits), largely due to the creation of a fifth service area specifically for urban Indian organizations and non-Federally recognized tribes. Then, in 1998, with the addition of a Pacific region, the number of T/TA contractors was again increased from five to six. New contract performance requirements have led to all contractors expanding the variety of technical assistance delivery methods they use. In addition to on-site assistance, contractors are now offering walk-up, world-wide-web, telephone, fax, e-mail and other state-of-the-art delivery mechanisms. Other initiatives under consideration include on-line chats and threaded discussions, electronic newsletters, and CD-ROM training programs.

ANA regularly selects new program goals and priorities. For example, in 1999, ANA (1) initiated a new retirement plan policy in FY 1999 for all ANA financial assistance grantees, (2) played a key role in the Department's tribal consultation policy implementation, and (3) is the ACF lead organization in implementing the Tribal Colleges/Universities (TCU) Executive Order.

ANA's retirement plan policy was developed, in part, to address socioeconomic trends indicating that American Indians are slipping farther behind the U.S. population. In 1979, 27% of American Indians were living in poverty compared to 12% of the U.S. population. By 1989, 31% of American Indians were living in poverty compared to 13% of the U.S. population. With the U.S. economy contributing to this situation because the least skilled and least educated were rewarded less and found it harder to remain employed, ANA recognized that jobs created through grant programs could serve as a starting point for long-term individual self sufficiency in retirement. ANA achieved 100% compliance in 1999 with all grant-funded employees under new grants receiving self-directed retirement plan fringe benefits.

Through the TCU effort, ANA provided financial and technology assistance, in the form of grants and computer hardware, software and accessories, to the colleges and universities. ANA also modified its grant eligibility statement to allow TCUs direct competition for funding in addition to their Tribes' own eligibility.

Performance goals such as the retirement and TCU initiatives are implemented and achieved quickly, typically within a year or two. While they result in lasting, positive impacts on socioeconomic conditions for Native Americans, they are not suitable as GPRA measurements because of their short life cycles before they are institutionalized. Therefore, ANA's GPRA performance goals, elder participation and training and technical assistance, were selected to represent key, long-term, closely associated activities which require year-to-year continuous effort by grantees and the agency. The more successful the technical assistance, the more likely that elder participation will be a part of new grant

project proposals, while the more frequently new elders are involved, the more likely the client will seek continued technical assistance.

**Summary Table**

Performance Goals	Targets	Actual Performance	Reference
<p>Program Goal: Support and encourage the role of Tribal elders in the community; promote efforts to involve elders in work as mentors with youth and children, e.g., teaching culture and language in Head Start and other child care programs.</p> <p>8h. In FY 2001, increase the number of grants that include elder participation to 61.</p>	<p>FY 01: 61 FY 00: 44 FY 99: 44</p>	<p>FY 01: FY 00: FY 99: FY 98: 52 FY 97: 44</p>	<p>Px 130</p>
<p>Program Goal: Increase the provision of training and technical assistance services to the diverse Native American population, with particular emphasis on urban organizations, rural and non-Federally recognized Tribes.</p> <p>8i. In FY 2001, increase to 1500 the number of TA visits per year to diverse Native American population, with emphasis on urban Native organizations, rural &amp; non-Federally recognized Tribes.</p>	<p>FY 01: 1500 FY 00: 1450 FY 99: 1400</p>	<p>FY 01: FY 00: FY 99: FY 98: 1190 FY 97: 1614</p>	<p>Px 131</p>
<p><b>Availability of FY 1999 data:</b> ANA will report on FY 1999 performance in the third quarter of FY 2000.</p>			
<p><b>Total Funding</b></p>	<p>FY01: \$44.4 FY00: \$35.4 FY99: \$34.9</p>	<p>Bx: budget just. section Px: page # performance plan</p>	

PROGRAM GOAL: Support and encourage the role of Tribal elders in the community; promote efforts to involve elders in work as mentors with youth and children, e.g., teaching culture and language in Head Start, other child care programs, and adult programs.

**8h. FY 2000: Maintain the number of grants that include elder participation at the 1997 baseline level of 44 grants.**

**FY 2001: Increase to 61 the number of grants that include elder participation from the 1997 baseline level of 44 grants.**

Tribal elder involvement was selected as a key measure of program performance because of the essential role of Tribal elders in all aspects of Tribal and community life cannot be underestimated. Support of tribal elders and providing a voice for their concerns has been an important emphasis area. Through the Tribal Elders Initiative, elders meet regularly with ANA/ACF officials and staff.

PROGRAM GOAL: Maintain at current levels (average 1400 assistance events per year) the provision of training and technical assistance services (T/TA) to the diverse Native American population, with particular emphasis on urban organizations, rural and non-Federally recognized tribes.

***8i. FY 2000: Increase to 1450 the number of technical assistance site visits per year by Tribal T/TA contractors to the diverse Native American population, with particular emphasis on urban Native organizations, rural and non-Federally recognized Tribes.***

***FY 2001: Increase to 1500 the number of technical assistance site visits per year by Tribal T/TA contractors to the diverse Native American population, with particular emphasis on urban Native organizations, rural and non-Federally recognized Tribes.***

Training and technical assistance delivery was selected as a key measure of program performance because of a “domino effect” along with the cost-efficient aspects of field-based training. As individuals are given assistance, they are able to pass on the knowledge and skills to other key grant professionals at the tribal office, train others and build a reusable skill base. Furthermore, this information, often used as the starting point for Federal assistance requests, is portable across ANA and other Federal assistance programs. The T/TA contractors assist Tribes and Native communities in conceptualizing strategies for social and economic development, preservation of native languages, environmental regulatory enhancement, and environmental mitigation, translating them into viable applications for ANA funds. While many project proposals are fundable as appropriate social and economic development strategies from the programmatic perspective, they may not survive the administrative and competitive peer review processes if they are not viable; i.e., if they do not appropriately address the competitive and administrative requirements for Federal funding. Since most ANA clients are not located near Washington, DC or other centers where grant making is a major activity, field-based T/TA provides the Tribes and Native American organizations with key information and support when developing proposals and applications.

Through 2001, ACF expects training and technical assistance to remain at a constant level with no predicted increase. The maintenance of the number of T/TA site visits rather than proposing to increase the number is due to the constant funding level of these contracts. However, level funding alone does not assure equal delivery of technical assistance year-to-year. To maintain a constant level of assistance, ANA must address client willingness to seek continued technical assistance after a successful or an unsuccessful competition effort, to encourage clients to consider projects aligned with ANA’s national objectives, and to recognize opportunities for additional grants when appropriations are increased.

Competition for ANA's technical assistance contracts occurs no less than every three years, and as frequently as every year when necessary to maintain performance standards. ANA is working to stagger contract competition cycles among the renewals and new contract competitions for the regions. For this reason, ANA has selected a three-year running average to measure performance since; in particular, new contracts have a start-up cycle that can affect delivery.

*Possible FY 2001 Redirections:* The ANA FY 2001 budget proposes a 10 million dollar increase which will accomplish more grants being funded and the launch of a new energy priority area under the Social and Economic Development Strategies (SEDS) program, as well as a possible priority on tribal contracting with the Federal government. Increasing the number of grants awarded will increase the core outcomes that typically occur as grants are measured over time. With the additional FY 2001 funding, ANA anticipates awarding as many as an additional 100 new grants annually. Based on the rate of elders' participation in prior years, we expect to increase elder participation by over one-third, or about 17 new grant projects. Additional funding will allow expanded training and technical assistance, increased grant application rates, and awards to Tribes and organizations that have not received assistance in the past.

## OPERATIONAL PROCESSES, SKILLS, TECHNOLOGIES AND RESOURCES

ANA funds over 225 competitive grants each year totaling over \$34 million in several grant programs, including Social and Economic Development, Environmental Regulatory Enhancement and Native Languages Preservation and Enhancement. ANA's grant award process is highly competitive; approximately one-third of applicants are funded each year. As part of this rigorous review process, individuals from all populations served by ANA are brought in to read, evaluate and score proposals. These ratings, along with internal staff reviews and recommendations, provide the basis upon which the ANA Commissioner makes his funding decisions. Once funded, projects' progress is monitored through required written progress reports, in-office meetings, and site visits. Consultation with all Native American Tribes, communities and organizations is conducted as a central programmatic activity and guides the Commissioner in formulating ANA priorities and goals. This approach directly supports local, self-determination and the government-to-government relationship between Tribes and the Federal government. ANA also has established a Traditional Native Circle, made up of Tribal elders and spiritual leaders, to provide a more holistic perspective on issues facing Tribes and Native communities.

## EXTERNAL COORDINATION

ANA coordinates with all ACF program offices regarding Native American issues. These offices include Head Start, Office of Community Services (Tribal TANF), and the Child Care Bureau. ANA has provided a leadership role on a number of issues within ACF and throughout the Department, including the development of the HHS Tribal Consultation Plan, Tribal Colleges and Universities Plan, and other initiatives involving Native populations. The Intra-Departmental Council on Native American Affairs (IDCNA), located within ANA, coordinates numerous activities and initiatives with HHS agencies such as the Indian Health Service (IHS), and external departments such as the Department of Interior (DOI). The Commissioner represents ANA as a member of the Domestic Policy

Council - Working Group on American Indians and Alaska Natives, an organization, which facilitates the development of new initiatives and program coordination across Federal agencies.

## DATA SOURCES, VERIFICATION, AND VALIDATION

The primary source for data collection on the above performance measures is the Grant Award Tracking and Evaluation System (GATES). Funded grants have an entry in these systems and a full description of the project as well as the goals and objectives. It will be necessary for ACF to design and perform systematic validation surveys of grant applicants' proposals regarding the types of projects and proposed participants, including trends and changes from other periods; potential applicants' use of technology; and training and technical assistance providers' outcomes and delivery levels. Surveys are dependent upon the availability of practiced and capable professional staff, experienced in Native American programs and trained on the use of new grant database systems for recording and analyzing information.

In FY 1999, ANA completed work with ACF's Office of Information Services to move all existing performance measure data from the former "Project Information and Evaluation System" (PIES), into GATES. ANA is now one of the first offices to populate ACF's new Y2K compliant database with program performance measures and data. ANA will now begin to develop a strategy to validate data and determine if pre-existing data has value against GPRA performance measures. ANA will also work with other ACF programs to identify and develop standardized cross-program measures.

## **STRATEGIC GOAL 4: BUILD A RESULTS-ORIENTED ORGANIZATION**

### **Rationale**

ACF has the responsibility for providing assistance to America's most vulnerable populations. It is essential that the organization focus on results, provide high quality, cost-effective and efficient services, meet customers' needs and expectations, and use state-of-the-art information technology to improve management and data systems.

### **Program Description, Content, Legislative Intent, and Program Goals**

ACF has endeavored to embrace the principles of GPRA and the government-wide reinvention initiatives spearheaded by the Vice President's National Performance Review—reinventing the way we do business through partnership building, strategic planning, measurable outcomes, customer focus, streamlining of operations and devotion to quality. ACF has set for itself a goal of becoming a more results-oriented organization, which has brought about changes in its internal management. Its efforts in recent years include:

- reinventing the regional office structure to locate resources where partners most need them;
- reducing layers of bureaucracy;
- establishing a successful partnership with the National Treasury Employees Union (which represents the bargaining unit);

- investing in technology such as videoconferencing equipment and satellite linkages to bring regional and central offices and partnership closer together and save on travel costs;
- establishing a presence on the World Wide Web;
- reengineering the grants management business process to improve service to partners and achieve greater efficiency;
- surveying partners and customers for assessment and guidance on the quality and appropriateness of ACF's services; and
- establishing an ACF-wide Workforce Analysis Workgroup to make recommendations to senior staff for the most efficient and effective utilization of the ACF workforce in accomplishing ACF's seven priority results and other mandates now and into the future.

The increase of \$16.5 million will provide sufficient funds for additional FTE requested for FY 2001 to support priority areas within the Administration for Children and Families. It will also provide for mandatory cost increases in areas such as rent and sufficient funds for much needed information technology investments.

**The objectives for this goal are:**

9. *Streamline ACF organizational layers*
10. *Improve automated data and management systems*

### ***9. Streamline ACF organizational layers***

**Approach for the Strategic Objective:** Change the way ACF does business by reducing bureaucratic levels and relying more on teams; maintain or increase values such as effectiveness, efficiency, and diversity while reducing the number of managers.

## SUMMARY OF 1999 PERFORMANCE

ACF has made continual progress toward the goal of one supervisor per nine employees, starting from a ratio of 1:4.6 in FY 1993 to the current level at 1:7 as ACF approaches the end of the year. Actual figures for this fiscal year will not be available until the first quarter of FY 2000. ACF has undertaken several methods to ensure steady progress including reorganizations, elimination of duplicative units, consolidations and reassignments of staff to function closer to where the program mission is carried out. This effort has been made against the background of the loss of over twenty percent of total staff from the base number in FY 1993 and against the hiring freeze during much of the this period. ACF is confident of continued progress toward the revised goal through the use of expanded team-based work approaches, realignments of work units and improvements in efficiency through the use of technology.

## Summary Table

Performance Goals	Targets	Actual Performance	Reference
9a. In FY 2001, increase ACF's manager-to-staff ratio from 1:4.6 in FY 1993 to 1:9.	FY 01: 1:9 FY 00: 1:8 FY 99: 1:9*	FY 01: FY 00: FY 99: 1:7 FY 93: 1:4.6	Px 135
* Original performance goal and target for FY 1999. Staff separations have been primarily non-supervisory without full replacement. New legislation, such as TANF, and organizational realignments has also affected this target.			

### PERFORMANCE GOAL

*9a. FY 2000: Improve ACF's manager-to-staff ratio to 1:8 (baseline= 1:4.6 in FY 1993.*

*FY 2001: Improve ACF's manager-to-staff ratio to 1:9 (baseline= 1:4.6 in FY 1993, maintaining the 1:9 ratio thereafter, as appropriate.*

<i>Baseline, trends and targets</i>								
<i>FY 1993</i>	<i>...</i>	<i>1995</i>	<i>1996</i>	<i>1997</i>	<i>1998</i>	<i>1999</i>	<i>2000</i>	<i>2001</i>
<i>1:4.6*</i>	<i>...</i>	<i>1:5.5</i>	<i>1:6.1</i>	<i>1:7</i>	<i>1:7</i>	<i>1:9**</i>	<i>1:8**</i>	<i>1:9</i>

Data source: ACF personnel data

\* baseline

\*\*FY's 1999 and 2000 target ratio of 1:9 was not attained. Progress towards this goal has been stymied by severe outside hiring limitations. During 1998, our reduction in supervisory personnel has lessened for demographic reasons while the number of non-supervisory personnel has continued to decline. This has resulted in a standstill in our manager to staff ratio. Therefore, we have adjusted the FY 2000 target to a more realistic ratio of 1:8. We are continually realigning staff, which should have a noticeable impact on our future manager to staff ratio and allow us to reach our goal of 1:9 in 2001.

## ***10. Improve automated data and management systems***

**Approach for the Strategic Objective:** Combine over 30 individual automated grants systems into one comprehensive grant system that will process grants from application through review, funding decision, award, report tracking, oversight of fiscal and programmatic performance, performance measurement, audit, debt collection, disallowance, and grant closure.

## SUMMARY OF FY 1999 PERFORMANCE

In FY 1996 and FY 1997, ACF completed the development and implementation of GATES system functions supporting application, evaluation, award and funds control activities for Discretionary Grants made to non-profit and Native American organizations. In FY 1998, 22 legacy systems were replaced. In FY 1999, the target was to replace 15 additional legacy systems. The deployment of the Entitlements portion of GATES in June 1999 completed the replacement of the additional 15 systems. Now 100 percent of the active ACF grants are being processed electronically in GATES. The single capability remaining to complete the full functionality planned for GATES is the audit resolution tracking process. This capability is targeted for completion in April 2000.

Replacement of these legacy systems with GATES also overcame the Year 2000 programming flaw embedded in them. All Y2K system replacements were completed by December 31, 1998.

### Summary Table

Performance Goals	Targets	Actual Performance	Reference
10a. In FY 2001, implement GATES II, which will provide more efficient debt collection and reengineering processes to approve, and track waivers granted in ACF programs.	FY 01: GATES II	FY 01:	Px 136-137
In FY 2000, replace the audit system.	FY 00: audit	FY 00:	
In FY 1999, replace [a total of] 27 individual automated grant systems. Use technology for purposes of child support enforcement, foster care, funds planning and electronic collection of State plans. *	FY 99: 15	FY 99: 15 FY 98: 22	
The revised goal for FY 1999 was an additional 15 systems. These 15 systems were completed by June 1, 1999. NOTE: Twenty-two systems were replaced in FY 1998. With the implementation of this goal, by the year 2000 nearly 10,000 ACF grant actions and over 5,300 grants awards were processed more efficiently and effectively. This improvement also overcame the Year 2000 programming flaw embedded in current grants programs. (See also "high impact" goal in Section A.5 in the Appendix.)			
<b>Total administrative funding including objectives 9 and 10</b>	FY 01: \$164.4 FY 00: \$147.9 FY 99: \$144.5	Bx: budget just. section Px: page # performance plan *: High Impact Agency Goal	

### PERFORMANCE GOAL

Objective: Benefit Grantees by Improving Automated Data and Management Systems.

**10a. FY 2000: Replace the audit system.**

***FY 2001: Implement GATES II, which will provide for more efficient debt collection and reengineering processes to approve and track waivers granted in ACF programs.***

Data source: ACF Administrative records

### **Program Activities, Strategies, and Resources**

This performance goal differs somewhat from other ACF goals in that the partnerships and development efforts are primarily among ACF programs and staff offices, with the external partners gaining the benefits of standardized grant processes and streamlining.

Historically, ACF processed grants using more than 30 separate computer programs (application systems). In 1993, ACF initiated a reengineering of its business process, challenging the purpose, principles and assumptions of ACF's grant processes and abandoning the outdated grants-making and management procedures and rules for all categories of grants. In July 1994, the ACF Grants Reengineering Team published its report. In summary, it recommended an organizational restructuring of the way ACF does business, establishment of a quality assurance framework and supporting reengineered grants administration activities with a major redesign of the automated information systems.

A systems reengineering team began development of an integrated system, the Grants Administration, Tracking and Evaluation System (GATES), designed to support decision-making and accountability in a decentralized environment. This project targeted the replacement of more than 30 incompatible, out-moded legacy systems operating on a variety of platforms supporting grants administration. This re-engineered GATES is a comprehensive system for electronic processing and it benefits grantees by providing more timely and efficient grants processing, more accurate data, less down time and quicker start-up.

GATES schedules have been developed jointly with each Program Office and Region affected through Joint Application Development (JAD) meetings with crosscutting representation in small face-to-face meetings and telephone conferences.

The GATES project has been rolled out in ACF over the last few years as a result of previous Senior Staff decisions and participation. ACF has been able to make significant progress in developing the current GATES modules. We recently implemented the formula/block award modules on the schedule expected by GATES users. This implementation completes the legacy conversation/replacement efforts. Now, all grants are awarded through GATES. Yearly targets and accomplishments will be included in the ACF annual performance plan. Regular weekly GATES project meetings and periodic reporting closely track and report progress. In addition, monthly and quarterly reports of progress in resolving the Year 2000 problem are produced.

ACF will implement a next generation of electronic grant making through an "Electronic Grants Initiative" that will comprise the "GATES II" application. Plans and designs have been presented to the Information Technology Review Board (ITRB) that are also consistent with the new Government Paperwork Elimination Act.

## APPENDICES TO THE PERFORMANCE PLAN

### A.1 Approach to performance measurement

ACF and its partners have emphasized “focusing on results” before GPRA was in effect. The effort to reach consensus on outcomes has prompted extensive discussion of strategic objectives, legislative requirements, data sources and availability. This has led to a fuller understanding of the desired outcomes and the relationships to process and output measures, and has fostered closer partnership collaborations. For some of ACF’s newer programs and initiatives, it has been necessary to identify process and output measures.

Expected results and impacts vary across goals and objectives depending on the nature of the issues, the identification of appropriate measures and ability to collect the data. In areas where results are quantifiable and data are available, such as for child support collections, ACF expects to be able to report results sooner. In other areas, where expected outcomes are qualitative or more complex, additional effort is needed to achieve consensus on the appropriate outcomes and measures of success, and to design, develop and implement systems for data collection. This is illustrated by efforts to measure high performance under welfare reform, quality in Head Start, and improvements in child protective services, foster care, and adoptions required by recent legislation.

ACF has preserved the original objectives of its overall mission; its program and many of the individual program goals have remained constant. Continuous program improvement requires ongoing consultation, technical assistance, and coordination across partnerships which has resulted in some performance measures being modified, dropped or replaced.

*Methodology and rationale:* Nearly all of ACF’s GPRA measures are outcome oriented and every program has a process in place with its partners to finalize those measures which are developmental. In such cases (e.g., child care) proxy or interim outcome measures are in place. Some of ACF’s programs, where funds are limited and programs are implemented by grantees with a limited funding base, such as diverse community youth agencies or sovereign Native American Tribes, have identified process and output measures. Limitations of the data collection infrastructure and partnership capacities may delay the availability of robust and reliable outcome data or make the use of process measures a more prudent GPRA practice.

The selection of performance measures carries certain risks, such as creating unintended consequences or introducing bias among competing objectives. ACF has endeavored to be mindful of these. While no formal assessments have been made to predict unintended consequences, these have been an important part of the agenda in discussions with partners around goal setting and measurement. For example, in welfare reform, similar job training programs prior to TANF were reviewed, where ill-effects such as “creaming” developed, in which programs were rewarded for placing clients in jobs. This resulted in programs selecting the more sturdy and employable recipient population for placement. To cite another side effect in TANF, targeting “caseload reduction” could hasten the premature exit of fragile families from the support of welfare before they were ready for self-sufficiency. Thus, TANF GPRA measures have stressed new employment, retention of jobs, and increase of earnings rather than selecting measures that focus on participation rates.

There is another challenge, that of competing objectives. This is a factor in the child care program, where both access (or affordability) and quality are part of the mission but could result in competition for resources and implementation energy. The program rules give States broad latitude in striking this balance. ACF's child care program is engaged in an extensive process of consensus and consultation with States and other stakeholders to arrive at a balanced and flexible approach to goal setting and measurement in this situation.

*Data verification and validation and other data issues:* Because data for ACF programs are mostly collected by grantees and partners, such as States, with collection schedules written into statutes and regulations, a number of programs will not have complete FY 1999 data in time for the FY 1999 performance report. Each program uses considerable resources in verifying and validating program data through appropriate means, such as automatic edit checks, manual reviews or audits, and other forms of quality control and assurance.

Specific data issues are discussed in the individual performance goal sections. ACF will be implementing a number of different strategies to deal with these issues. There are a number of broad, data-related challenges affecting ACF's performance plan (see below). Considerable progress has been made in a short time but more needs to be done. Resolving these and other data issues is necessary, time-consuming, difficult, and costly.

- Quantitative and qualitative measurement of outcomes in social programs are in the early stages.
- States, Tribes and non-profit grantees vary in their ability to collect, produce and report reliable data.
- Data validation and verification will be highly complex.
- Particularly for our numerous new or changed programs, baseline data are frequently unavailable and must be developed before progress can be measured. In the case of Head Start, some baselines await the completion of extensive new research that is following a cohort of Head Start children over several years.
- Data collection systems fully geared to State flexibility are still being implemented.
- Investments for the design, development and implementation of data collection systems are costly and must be balanced against other priorities, at all levels—Federal, State and local.

Many ACF grantees receive programmatic funds, which the legislation either designates or permits to be used for data collection. Discretionary, formula, and entitlement grant awards generally carry reporting requirements directed at facilitating oversight and measuring performance. However, the several large block grants and the general trend towards devolution of program authority to States and other levels of government has resulted in limitations on ACF's collection of data. ACF advocates that recipients of its funds collect a reasonable amount of data from which to determine performance and assure program integrity. The optimum situation exists when performance results can be measured and validated through the administrative data that States use to manage their programs.

For a number of major programs, ACF is largely dependent upon such State administrative systems for the collection of the performance data, e.g., Temporary Assistance to Needy

Families, Developmental Disabilities, Refugee Resettlement, Child Welfare, Child Support Enforcement, Child Care, and Low Income Home Energy Assistance programs. Other ACF programs, e.g., Head Start, Youth programs, CSBG, and Family Violence, are reliant on local community data systems. Native Americans programs will be using two internal data tracking systems (Project Information and Evaluation System and the Grant Award Tracking and Evaluation System.). The Head Start information will be collected at local grantee sites through the Family and Child Experiences Survey (FACES) which has rigorously defined collection procedures. Some of these programs plan to use survey information to supplement the data.

Currently, ACF has the following major data system infrastructures in place: the Child Support Survey; the Residential Energy Consumption Survey; March Current Population Survey (CPS) Supplement (Census Bureau), the Refugee Resettlement Survey, Head Start Family and Child Experiences (FACES) Survey and the National Child Welfare Longitudinal Study.

## **A.2 Changes and improvements over previous year**

In this FY 2001 Annual Performance Plan, ACF has made a number of improvements. The Department of Health and Human Services (DHHS) provided a uniform format for all of its operating divisions. The FY 1999 Summary Performance and Summary Table of targets and accomplishments has been added to the section for each of the fourteen programs. Wherever possible, programs have linked FY 1999 performance with FY 2001 projections.

The FY 2001 plan includes additional information on which targets are new, which have been discontinued and which are still developmental (see Appendix A.4 for a summary table). Each of the ACF programs were asked to re-examine their measures and targets, and many programs created a more focused set of measures by dropping measures, providing improved measures and targets based on the most recent available data and by narrowing and refining existing measures. For the most part, changes have been as a result of new and/or improved data and data collection systems.

Additionally, in Section II, under each of the strategic goals and objectives, performance goals and measures have been discussed in more detail, along with strategic approaches, considerations of external influence and coordination, resources, and data issues, including frequency of reporting. Since most of the ACF programs do not anticipate additional funding from our FY 2000 projections, many performance measures and targets remain unchanged.

ACF has endeavored to project baselines based on FY 1998 or FY 1999 data wherever possible. There are a few measures that still lack baselines because programs are undergoing implementation with new initiatives and new data collection activities. Baselines for those measures will be set in future years upon completion of start-up and developmental activities. In a very few cases, the targets or measures are stated in ways that cause baselines to change annually (e.g. continuous improvement targets or legislatively defined targets); for those a context has been provided in the narrative.

More descriptive information has been provided in a number of areas: (1) new chapters or additional information for new programs or programs with significant new funding (e.g., Individual Development Accounts and the Independent Living Program); (2) a more comprehensive discussion of program coordination activities and data issues under the program areas; (3) a revision of certain goals and measures to reflect program experience or new factors and use the same baseline data wherever possible; (4) a status update on FY 2000 and FY 2001 measures; and (5) revised projections for when actual FY 1999 performance data will be available.

In this version, the FY 2000 targets are shown alongside the FY 2001 targets. Based on implementation experience in FY 1999, following the receipt and analysis of data (most of which will be available in the spring of FY 2000), some measures and targets for FY 2001 may be revised and improved. For FY 2001, some changes made have been the result of new and/or improved data and/or data collection systems. Because there is very little actual implementation experience under the GPRA measurement set and, more importantly, because most of these elements represent consultations and consensus with partners, limited changes have been made. ACF will not unilaterally make fundamental revisions in performance measures without additional consultation aimed at arriving at consensus with partners.

### A.3 Linkage to HHS and OPDIV strategic plans

The ACF Annual Performance Plan links directly with three of the HHS Strategic Plan Goals:

- Improve the economic and social well being of individuals, families, and communities in the United States;
- Improve access to health services and ensure the integrity of the Nation's health entitlement and safety net programs; and
- Improve the quality of health care and human services.

#### ACF GOALS AND THE HHS STRATEGIC PLAN

<b>HHS STRATEGIC GOALS</b> <i>Strategic Objectives</i>	<b>CORRESPONDING ACF STRATEGIC GOALS</b> <i>Strategic Objectives</i>
<b>GOAL 2: IMPROVE THE ECONOMIC AND SOCIAL WELL-BEING OF INDIVIDUALS, FAMILIES AND COMMUNITIES IN THE UNITED STATES</b> 2.1 Increase the economic independence of families on welfare 2.2 Increase the financial and emotional resources available to children from their noncustodial parents. 2.3 Improve the healthy development and learning readiness of preschool children 2.4 Improve the safety and security of children and youth 2.7 Improve the economic and social development of distressed communities	<b>GOAL 1: INCREASE ECONOMIC INDEPENDENCE AND PRODUCTIVITY FOR FAMILIES</b> 1. Increase employment 2. Increase independent living 4. Increase affordable child care 3. Increase parental responsibility <b>GOAL 2: IMPROVE HEALTHY DEVELOPMENT, SAFETY AND WELL-BEING OF CHILDREN AND YOUTH</b> 5. Increase the quality of child care to promote childhood development 6. Improve the health status of children 7. Increase safety, permanency and well-being of children and youth <b>GOAL 3: INCREASE THE HEALTH AND PROSPERITY OF COMMUNITIES AND TRIBES</b> 8. Build healthy, safe and supportive communities

<b>HHS STRATEGIC GOALS</b> <i>Strategic Objectives</i>	<b>CORRESPONDING ACF STRATEGIC GOALS</b> <i>Strategic Objectives</i>
	<i>and Tribes</i>
<b>GOAL 3: IMPROVE ACCESS TO HEALTH SERVICES AND ENSURE THE INTEGRITY OF THE NATION'S HEALTH ENTITLEMENT AND SAFETY NET PROGRAMS</b> <i>3.1 Increase the percentage of the Nation's children and adults who have health insurance coverage</i>	<i>6. Improve the health status of children</i>
<b>GOAL 4: IMPROVE THE QUALITY OF HEALTH CARE AND HUMAN SERVICES</b> <i>4.5 Promote research that improves quality and develops knowledge of effective human services practice</i>	(ACF research and demonstration program investments are targeted to improve the quality of services related to objectives 1-8.)
<b>IMPROVE PERFORMANCE</b>	<b>GOAL 4: BUILD A RESULTS-ORIENTED ORGANIZATION</b> <i>9. Streamline ACF organizational layers</i> <i>10. Improve automated data and mgmt systems</i>

#### A.4 Status of FY 1999 data and FY 2000 measures

<b>Status of FY 1999 data and FY 2000 measures</b>	
Includes changes, status of developmental measures and availability of data for FY 1999 Performance Report due January 2000. Measures are not listed if they remain “as they are” per the FY 1999 or FY 2000 Annual Performance Plans (APP).	
<b>1. Increase employment</b>	
<b>TEMPORARY ASSISTANCE FOR NEEDY FAMILIES</b>	
<b>Measure 1d has been revised to be more accurate.</b>	
<b>Results not available for FY 1999 Performance Report:</b> States are being given up to 11 months to provide data for each quarter. Time will also be needed for validation and verification of the data	
<b>DEVELOPMENTAL DISABILITIES (EMPLOYMENT)</b>	
<b>Results not available for FY 1999 Performance Report:</b> FY 1999 data will be available in March of 2000. Partners are required to submit their reports by January and time is needed to verify and validate the data.	
<b>REFUGEE RESETTLEMENT</b>	
<b>Results not available for FY 1999 Performance Report:</b> Annual, unduplicated FY 1999 data is due 45 days after end of year, circa November 15. Individual state reports may be missing and time needed to validate and verify the data. Final state data will be available in April 2000; final MG data in May 2000. One measure for FY 1999, “cash assistance reductions due to employment,” was replaced in FY 2000 with “entered employments with health benefits available.”	
<b>SOCIAL SERVICES BLOCK GRANT</b>	
<b>Results not available for FY 1999 Performance Report:</b> SSBG program has submitted 5 new measures in the FY2001 plan. SSBG is a block grant with minimal reporting requirements which supports outcomes across the human services spectrum. These representative measures are associated with selective strategic objectives.	
<b>2. Increase independent living</b>	
<b>DEVELOPMENTAL DISABILITIES (HOUSING)</b>	
FY 2001 target will be available September 2000. See notes under DD EMPLOYMENT, above.	
<b>INDIVIDUAL DEVELOPMENT ACCOUNTS</b>	
<b>Status of measures:</b> New program; measurement process under development.	
<b>Results not available for FY 1999 Performance Report.</b> Demos, funded in FY 1999, will operate for 3-5 years.	
<b>3. Increase parental responsibility</b>	
<b>CHILD SUPPORT ENFORCEMENT</b>	
<b>Status of measures:</b> No changes in language. New baselines will be established with FY 99 data available in March 2000.	
<b>Results not available for FY 1999 Performance Report:</b> There may be enough "good" data available to publish a preliminary report in March of 2000.	
<b>4. Increase affordable child care</b>	
<b>CHILD CARE: AFFORDABILITY</b>	
<b>Status of measures:</b> FY 2000 and 2001 measures have been modified, some being slightly revised (4a and c; and 5a), and new ones added (4b, d and e and 5b and c), based on the comments received from stakeholders through the process described below.	
<b>Status of developmental work with partners:</b> Over the past year an intense process of consultation with partners, particularly the Child Care State Lead Agencies, has progressed on the intended schedule.	
<b>Results not available for FY 1999 Performance Report:</b> Most of the data for these measures are from State reports, which are not due until the end of CY 1999. Actual performance will be available by April 30, 2000.	
<b>5. Increase quality of child care to promote childhood development</b>	
<b>CHILD CARE: QUALITY</b>	
See CHILD CARE: AFFORDABILITY above.	

<b>HEAD START (CHILD DEVELOPMENT)</b>
<p><b>Status of measures:</b> FY 2000 targets and baselines for 5d, e, f, g, h, i, j, and m are now included based on FACES data.</p> <p><b>Deleted FY 2000 measures:</b></p> <p>Increase the number of children who are taken to the library at least once a month. (While Head Start is tracking this measure, it is being dropped from the FY 2000 Plan. It is reported in the FY 1999 report.)</p> <p>Increase from 97% to 100% the number of Head Start grantees serving non-English speaking children, which employ staff who speak the same language. (Delete: no longer measured in the monitoring process.)</p> <p>Increase from 90% to 92% the percentage of Head Start grantees which provide special education and related services to disabled children as soon as possible after developing the Individualized Education Plan. (While Head Start is tracking the percentage of IEPs, they are not including this as a measure.)</p> <p><b>Results available for FY 1999 Performance Report.</b></p>
<b>6. Improve the health status of children</b>
<b>HEAD START (HEALTH)</b>
<p><b>Revised measures.</b></p> <p>6a. FY 2000 target was revised from 88% to 90%; FY 2001 target was revised to 92%.</p> <p>6b. FY 2000-01 targets revised from 96% to 90% based on more accurate baseline data</p> <p>6c. FY 2000 revised to "increase from 75% to 81%"; FY 2001 "increase to 83%".</p> <p><b>Results available for FY 1999 Performance Report</b></p>
<b>7. Increase safety, permanency, well-being of children and youth</b>
<b>CHILD WELFARE</b>
<p><b>Status of measures:</b> The baseline year for all measures using AFCARS data has been changed from FY 1995 to FY 1997. FY 1995 was the first year for AFCARS reporting. As with the beginning of any reporting system, many initial State reports were incomplete, inconsistent or never submitted. By FY 1997, the reporting had improved substantially, although there were still some weaknesses. ACF believes that it is preferable to use as the baseline the data in which we have the most confidence; therefore FY 1997 data was chosen. However, ACF expects to change the baseline in the future as the data quality continues to improve. Measures relating to the number of guardianships have been deleted because of extensive under-reporting of guardianships as a reason for discharge from foster care. This under-reporting effects not only the total number of guardianships but also the number of guardianships by relatives. However, the measure of length of time until guardianship (7d) has been maintained since there is no evidence of systematic bias for that measure in the reported guardianships.</p> <p><b>Status of developmental work with partners:</b> Major and extensive consultations are underway with partners so that changes should be anticipated for 2002.</p> <p><b>Final Results not available for FY 1999 Performance Report:</b> Due to the AFCARS reporting schedule, final FY 1999 data will not be available until September 2000.</p>
<b>DEVELOPMENTAL DISABILITIES (EDUCATION)</b>
<b>FY 1999 results will be available in March 2000.</b>
<b>DEVELOPMENTAL DISABILITIES (HEALTH)</b>
<b>FY 1999 results will be available in March 2001.</b>
<b>YOUTH PROGRAMS</b>
<p><b>Status of measures:</b> Program goals have been reworded to be more outcome oriented and for consistency with other ACF APP measurement language.</p> <p>In FY 2000 version of 7k, "Maintain" replaces "increase".</p> <p>For FY 2001 version of 7l. "Maintain... and fund an additional, tenth state" replaces "maintain"</p> <p>For 7m, "exiting" has replaced "receiving" since youth are already in a safe setting while receiving ACF services. The intent is that they continue in safe and appropriate settings upon exit.</p> <p>For 7n, baseline and target have been revised. Previous baseline was not from RHYMIS but an entirely different data source (an evaluation using non-comparable methodology unrelated to RHYMIS). RHYMIS itself was redesigned during the mid '90s and hence all baselines have been redesignated to FY 1997. Due to changes in the grantee universe from year to year, FYSB may change from a baseline approach to a year-to-year continuous improvement approach, but this too has limitations given the variability of reporting levels.</p> <p><b>FY 1999 results are currently reported but will be more complete and reliable in mid FY 2000.</b></p>

<i>8. Build healthy, safe &amp; supportive communities and Tribes</i>
<b>COMMUNITY SERVICES</b>
<b>Status of measures:</b> Target 8a for FY 2000 and FY 2001 revised from 3% to 1% to reflect more accurate baseline data. Target 8b for FY 2000 and FY 2001 revised from 4% to 1% to reflect more accurate baseline data. <b>Results not available for FY 1999 Performance Report:</b> There are lags in collecting data in a block grant program.
<b>FAMILY VIOLENCE PREVENTION</b>
<b>Status of measures:</b> Two new measures (8d and e) have been added. Work continues with partners. <b>Results not available for FY 1999 Performance Report:</b> Target data for Tribal measures will be available in March 2000.
<b>LOW INCOME HOME ENERGY ASSISTANCE (LIHEAP)</b>
<b>Status of measures:</b> Performance goals are unchanged; a minor revision in the program goal has been made (“ensure” changed to “increase”). <b>Status of developmental work with partners:</b> Developmental work continues with partners through the LIHEAP Advisory Committee on Managing For Results. <b>Results available for FY 1999 Performance Report:</b> FY 1999 comparison data included in this report.
<b>NATIVE AMERICANS PROGRAMS</b>
<b>Status of measures:</b> Based on the actual FY 1999 data collected, FY 2001 targets and measures may change. <b>Results not available for FY 1999 Performance Report:</b> ANA will report on FY 1999 performance in the third quarter of FY 2000.
<b>A RESULTS-ORIENTED ORGANIZATION</b>
<i>9. Streamline ACF organizational layers</i>
<b>Status of measure:</b> FY 2000 target of 1:9 has been revised to 1:8 to reflect more realistic expectations. <b>Results are available for FY 1999 Performance Report.</b>
<i>10. Improve automated data and management systems</i>
<b>Results are available for FY 1999 Performance Report:</b>

## A.5 Major Initiatives

### Secretary's Initiative and President's Initiative

Secretary's Welfare-to-Work Initiative: See Program Goal 1, ("Promote employment") Temporary Assistance to Needy Families program goals and measures.

President's Adoption Initiative: See Program Goal 7 ("Ensure safety, permanency, and well-being of children and youth"), Child Welfare "Permanency" goals and measure, "Note on Presidential Initiative," and NPR initiative, below.

### National Partnership for Reinventing Government (NPR) “High Impact Goals” Initiatives

The Administration for Children and Families is committed to working with staff and stakeholders in the successful achievement of these goals. These goals are central to ACF’s mission and priorities. The successful attainment of these goals requires continued leadership and commitment to an on-going process of partnering with States and communities to set goals and targets, to measure progress, and to achieve collaboration.

#### DELIVER GREAT SERVICE:

- Increase self-sufficiency for low-income families by moving one million welfare recipients into new employment by 2000.

Targets (cumulative; results for each year decline as caseloads decline)

FY 1998: 600,000                      FY 1999: 400,000

- Increase parents financial support for their children by increasing the amount of total child support collections to \$20.8 billion by October 2000, an increase of 75% over FY 1996 and 160% over 1992.

Targets (not cumulative; results are collections in billions within that year)

FY 1998: \$14.7              FY 1999: \$16.3              FY 2000: \$20.8

- By 2000, consistent with the President's adoption goal for 2002, increase the number of children who are adopted from the public foster care system to 46,000. This represents a 48% increase over the 1997 baseline and does not include nonadoption permanent placements, such as guardianship and kinship care.
- By October 2000, ACF will streamline more than 30 separate grant programs into a single comprehensive system of electronic processing and transfers to benefit grantees by more timely and efficient grants processing, more accurate data, less down time and enabling quicker start-up. This improvement will also overcome the Year 2000 programming flaw embedded in current grants programs.

Targets: (systems replaced include grants management and other systems)

FY 1998: Replaced 22 systems. Use technology for implementing reengineered grants processing, a centralized grants database and initial use of electronic collection of program performance reporting and State plans.

FY 1999: Replaced 15 systems. Use technology for purposes of child support enforcement, foster care, funds planning and electronic collection of State plans.

## **A.6 Performance Measurement Linkages**

**Information technology planning:** During the past fiscal year, ACF has actively utilized the ACF Information Technology Review Board (ITRB) in accordance with requirements contained in the Clinger-Cohen Act (also know as the Information Technology Management Reform Act (ITMRA). The overall purpose of the ACF ITRB is (1) to monitor the performance of selected ongoing major ACF information technology investments or to consider proposed new major investments and (2) to convene for matters that concern ACF IT policies and issues. In accordance with Clinger-Cohen, the ACF ITRB has completed or in the process of implementing ten priority Investment Technology policies:

- IT procurements: ACF will implement annual, centralized replacement planning and purchasing for PC's and related equipment. Replacement budget plans will be presented annually to the ACF ITRB for approval.
- Standard desktop PC hardware: ACF implements a standard desktop PC hardware configuration and utilizes a holistic, performance-based contract for delivery to the desktop.

- Standard PC software: ACF implements and maintains a standard desktop PC software configuration.
- FY 1999 IT training: ACF will plan and budget training centrally for all ACF standard-PC desktop software training, as well as for local LAN systems administrator training. Budgeted training resources will be calculated from IT and other training accounts available in the fiscal year budget. A per capita training allocation will be made to all Central Offices and Regional Offices for satisfying training requirements. OIS will provide guidance in the form of basic standards that must be met through training programs. OIS will also maintain and provide directories, catalogs and other information about specific, viable training options.
- Internet/intranet technologies: ACF will provide enhanced support for Internet and Intranet publishing by operation state-of-the-art web servers and related technologies. Central Office/Regional Office Internet publishing activities are subject to Office of Public Affairs review to ensure compliance with applicable policies and procedures.
- ACF network remote access: ACF will expand and enhance its remote access services agency-wide to meet the 21<sup>st</sup> Century work environment. The results of feasibility studies and analyses of alternatives will be presented for review by the ITRB, as necessary.
- Desktop video conferencing: ACF will continue to support improved capabilities for point-to-point video conferencing within ACF, and/or Internet-based video conferencing within ACF and/or with outside parties (within available budgets including, possibly, program funds). Future recommendation will be presented to the ITRB under the leadership of the videoconferencing team and Region VI.
- HHS-wide administrative systems: ACF will work with the Department to improve administrative systems software, which will begin with a new time and attendance system.
- Electronic grants initiative (GATES II): ACF will implement a next generation of electronic grant making through and "Electronic Grants Initiative" that will comprise the "GATES II" application. Plans and designs have been presented to the ITRB that are also consistent with the new Government Paperwork Elimination Act.
- Electronic file storage: ACF will develop technologies for efficient archiving of documents from paper and/or electronic originals. Electronic document management technology is a Department-wide interest, and is constrained by regulatory requirements (e.g. EFOIA). ACF will continue to work in collaboration with the Department and will update the ITRB on progress in this area.

In addition, ACF continues to monitor the following IT investments:

- IT support activities associated with the Expanded Federal Parent Locator Service, mandated by Welfare Reform Legislation: the Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA);
- Completion of Business Process Reengineering of the Grants Administration Process through the use of the Grants Administration Tracking and Evaluation Systems (GATES);
- Development of IT support activities associated with Temporary Assistance to Needy Families (TANF).
- Y2K internal and outreach systems required for human service delivery programs.

**Cost accounting:** Beginning in FY 1998, all government reporting entities were required to implement and be audited on full cost accounting (also known as managerial cost accounting) as part of the annual financial statements audit process. That meant that for the FY 1998 audit process, ACF was required to present all costs that were directly associated with a “program,” as well as all costs that indirectly supported that “program.” Based on Federal law and OMB guidance, “programs” against which these costs had to be reported were ACF’s 13 major program areas as identified in the GPRA Annual Performance Plan.

To implement a credible and auditable method to fulfill the full cost accounting requirements for the FY 1999 audit, ACF allocated its Federal Administration budget indirect costs proportionately among the 14 major program areas on the basis of direct FTE. (Indirect costs include salaries and benefits for staff not working *directly* on one of the fourteen program activities; costs of training, personnel, budget, travel, systems, facilities, supplies, rent, etc.) To accomplish this, ACF senior staff in headquarters and the regions completed a Staff Resource Survey providing the following information about on-board staff:

- Total number of staff working directly on program activities in one or more of the 14 major program areas; and,
- Total number of staff not working directly on program activities. Staff in this category included planning, administrative, front office staff, etc.

Fractions of staff were indicated for those working in more than one major program area. Contractors and detailees *out* of an organization were excluded from a manager’s count while detailees *into* an organization from another office were included.

Where an organization encompassed one entire major program area—such as Developmental Disabilities, Child Support, Native Americans Program--only the total number of on-board staff for that organization were indicated. Staff offices that provided crosscutting activities reported on-board staff as “Other staff not working directly on program activities.” Offices where program distinctions could be made (e.g., ACYF, OCS, etc.) completed both Items 1 and 2 above.

Completed survey data was collated and analyzed in an automated spreadsheet and provided to the HHS Program Service Center (PSC) to allocate the indirect costs in proportion to the resulting direct staff ratio. This data supported PSC’s development of ACF’s Statement of Net Cost. ACF managers were advised to retain documentation that explains how they arrived at their numbers in the event that auditors requested to review this process.

Our cost accounting strategy was accepted by the auditing firm (Clifton Gunderson), PSC, ASMB and the OIG. Other OPDIVs also requested copies of our methodology and survey instrument. ACF anticipates using the same strategy for FY 2000 and FY 2001.

**Program evaluation:** While States have been given increasing latitude in the administration of programs, they depend on national leadership and partnership in the development of reliable information, technical assistance, and the development and dissemination of proven or

promising methods for achieving and measuring success. Extant research and early results of major studies underway have helped to shape significant changes in Federal and State policy and legislation affecting low-income families and children.

The effects of these changes are as yet not well understood. For example, the TANF legislation limits the duration of eligibility for public assistance, the percentage of the caseload who may be excluded from work requirements, and the conditions for teen parent assistance for which States may expect Federal support. The statute also allows States wide discretion in how services are designed to meet these and other provisions. Effective State decision-making requires timely and reliable information on the consequences of alternative policy and program choices and the experiences of other States.

Rigorous evaluation is essential to explain the effects of public policy and to inform different State approaches—if these are to increase the ability of the poor and near poor to achieve and sustain employment, reach economic self-sufficiency, improve their children’s well-being, and strengthen their communities. ACF is working closely with other Federal agencies, States, researchers, foundations and others, to avoid duplication and to take advantage of opportunities for partnerships. These require significant effort and investment.

As ACF continues to focus on results-oriented management, evaluations are playing an increasingly important role in program improvement. Program evaluations are directed at evaluating program effectiveness, assessing the achievement of performance results, assessing the impacts of human services and improving program management. While program evaluations are largely directed at assessing the effectiveness of individual projects within a program, the ACF performance measurement system is the primary mechanism used to monitor annual progress in achieving ACF’s strategic and performance goals.

**Linkage with budget:** ACF has identified eight major objectives to provide a framework for individual programs and program activities to collaborate and direct their efforts to achieve ACF-wide cross-cutting program goals. This approach enables ACF partners in State, Tribal, and local governments and nonprofit and private agencies to use the various program resources within ACF to provide early childhood enrichment and to increase the economic and social well-being and productivity of families. ACF does not have a direct relationship with beneficiaries and in many cases has a tertiary relationship through States and State grantees.

The following Program & Financing (P&F) schedules have been aggregated:

- **Temporary Assistance for Needy Families**
- **Child Support Enforcement**
- **Low Income Home Energy Assistance**
- **Refugee and Entrant Assistance**
- **Social Services Block Grant**

The following activities within the Children and Families Services Programs P&F schedule have been aggregated:

- **Community Services Block Grant programs:** Community services block grants, Community services discretionary programs
- **Developmental Disabilities:** State grants, Protection and advocacy, Special projects; University affiliated projects

The following activities within a P&F schedule are free-standing:

- **Individual Development Accounts**
- **Family violence/battered women's shelters and domestic violence hotline;**
- **Head Start**
- **Native Americans Programs**

The following have been consolidated combining activities from more than one P&F schedule:

- **Child Care:** combining Child Care Entitlement to States and Child Care and Development Block Grant
- **Child Welfare:** combining Children's Research and Technical Assistance and Child Welfare (Child abuse State grants; child abuse discretionary grants, Community based resource centers, Abandoned infants assistance, Temporary child care and crisis nurseries; Child welfare services (Foster Care, Adoption Assistance, Independent Living, etc.); Family Preservation and Support; Child welfare training; Adoption opportunities; Adoption initiatives)
- **Youth Programs:** Runaway and homeless youth; Runaway youth transitional living, Education and prevention grants to reduce sexual abuse of runaway, homeless and street youth

Decisions on funding levels requested for FY 2001 were made with program performance in mind. Program offices are committed to, and are aware that the agency as a whole is committed to, improving performance.

#### **Cross walk of ACF goals and objectives with the budget:**

The ACF budget structure is a program-based account structure that allows us to assign amounts to the agency's strategic goals based on the activities of the program line-item. In budget justifications, narrative discusses which strategic goal/goals each budget line-item supports. Where there are performance goals/measures, these are included in the narratives.

A number of budget line items and their associated funds apply to more than one strategic goal or objective. In the table that follows, these line items have accordingly been listed under each relevant objective where there are associated measures. Due to the specifications for this table, there is no systematic or non-arbitrary way to allocate many such line item funds among the different objectives. **The budget linkage table on the following pages is not a formal budget presentation.**

Thus to avoid duplicative counting, the dollar amounts are only associated with one appearance of their line item, usually where the associated measures most directly relate to the statutory purpose of the particular funding amount (except for Social Services Research, which has been distributed in a rough approximation of its allocation). In their appearances elsewhere, the dollar amounts are left blank and indicated with an asterisk. Hence, this table is for presentation and overview purposes, not for budgeting or performance analysis. Moreover, the selected measures are representative and exemplary and are not intended to fully define the performance associated with the total budget under that category.

Allocation of funding subtotals to each specific measure or performance goal within the objectives is not realistic at this time, but a selected measure is shown to exemplify performance approaches. FY 1999 and FY 2000 amounts are appropriations and the FY 2001 amounts are from the President's Budget. Budget and other dollar figures are in millions. Other performance dimensions are as explicitly stated. (See APP text for full target statements, via the code for each measure.) Most performance data for FY 1999 will be available in the spring and summer of 2000. In the case of "parental responsibility" (child support enforcement), dollars collected have been substituted for collection rate (the measurement dimension for the corresponding APP target) to provide uniformity to the table.

**Detailed Budget Linkage Table**  
(not for budget analysis)

ACF STRATEGIC GOALS and Objectives with selected performance measures	Program/Budget Line Items ( <i>not a formal budge presentation</i> ) (Program subtotals are shown where needed.)	FY 1999 Appropriation	FY 2000 Appropriation	FY 2001 President's Budget
1. INCREASE ECONOMIC INDEPENDENCE & PRODUCTIVITY FOR FAMILIES	State Family Assistance Grants (TANF)	16488.7	16488.7	16478.7
<b>1. Increase Employment</b>	Family Assistance Grants to Territories	77.9	77.9	77.9
<b>TANF performance measure</b>	Matching Grants to Territories	18.6	15.0	15.0
<i>In FY 98: Move 600,000 welfare recipients into new employment.</i>	Supp Grants for Population Increases	159.7	***	***
<i>(Baseline / context: When the welfare reform legislation was enacted in August 1996, there were 12.2 million recipients. In March of 1998, there were 8.9 million.)</i>	Tribal Work Programs	7.6	7.6	7.6
<i>In FY 99: Move 400,000 welfare recipients into new employment.</i>	Social Services Research	1.5	2.1	2.1
<i>By FY 00: 1,000,000 welfare recipients have moved into new employment. This number is cumulative.</i>	State and Local Welfare Administration	13.1	2.0	0.0
<i>By FY 01, increase from the FY 98 baseline year, the number of adult TANF recipients who become newly employed.</i>	TANF Bonus for Decreased Illegitimacy	100.0	100.0	100.0
	Welfare-to-work evaluation	9.0	0.0	0.0
	TANF Bonus to Reward High Performance	200.0	***	***
	Emergency Assistance	95.1	98.0	0.0
	Welfare Research	15.0	15.0	15.0
	<b>TANF/welfare subtotal:</b>	<b>17186.2</b>	<b>16906.3</b>	<b>16696.3</b>
<b>Refugee Performance Measure</b>	Transitional, Med Svcs - Refugee Resettlement	220.5	220.7	225.2
<i>Increase the number of refugees entering employment from ORR-funded employment related services by 5% annually.</i>	Employment Services - Refugee Resettlement	205.7	171.5	143.3
<i>(Baseline: In 1997, there were 46,800 refugees entering employment.)</i>	Targeted Assistance - Refugee Resettlement	49.5	49.5	49.5
<i>FY 99 target: 51,597; FY 00 target: 54,177; FY 01 target: 56,885</i>	Preventive Health - Refugees	4.8	4.8	4.8
	Victims of Torture	0.0	7.3	9.8
	Repatriation	.4	1.0	1.0
	<b>Refugee subtotal:</b>	<b>480.9</b>	<b>454.8</b>	<b>433.6</b>
<b>SSBG</b>				
<b>FY 99: Maintain at the FY 1998 baseline the number of child recipients</b>	Social Services Block Grant	1909.0	2380.0	1700.0
<i>Of daycare services that are funded in whole or in part by SSBG funds</i>	Developmental Disabilities (DD) State Grants*	*	*	*
<b>FY 99, FY 00 and FY 01 targets: 2,364,852 children</b>				
Total funding per objective		<b>19576.1</b>	<b>19036.1</b>	<b>18904.9</b>

<b>2. Increase Independent Living</b>				
<b>Developmental disabilities performance measure</b>	Social Services Research	0.5	0.5	0.5
<b><i>FY 99 2079 people with DD own or rent their homes</i></b>	DD – State Grants	64.8	65.8	65.8
<i>FY 00: 2132 people with DD own or rent their homes</i>	DD – Protection and Advocacy *	26.7	28.1	28.1
<i>FY 01: 2200 of people with DD owning or renting their own Homes.</i>	DD – Special Projects	10.2	10.2	10.2
	DD – University Affiliated Projects	17.5	18.2	18.2
	Individual Development Accounts.	10.0	10.0	25.0
	Total funding per objective	<b>129.7</b>	<b>132.8</b>	<b>147.8</b>
<b>3. Increase Parental Responsibility</b>	Federal Incentive Payments - Child Support	362.0	371.0	404.0
<b>Child support enforcement performance measure</b>	State Administrative Costs - Child Support	2513.4	2818.8	3089.8
<i>FY 99: Collect \$16.3 billion in child support collections</i>	Federal Parent Locator Service	26.4	25.8	25.1
<i>FY 00: Collect \$20.8 billion in child support collections</i>	Access and Visitation - Child Support	9.9	10.0	10.0
<i>FY 01: Increase the IV-D collection rate for current support to 71%.</i>	CSE Hold Harmless	38.0	11.0	11.0
	Payments to Territories	15.8	23.0	23.0
	Total funding per objective	<b>2965.5</b>	<b>3259.6</b>	<b>3562.9</b>
<b>4. Increase Affordable Child Care</b>	Social Services Research	1.5	1.5	1.5
<b>Child care affordability performance measure</b>	Child Care and Development Block Grant	1000.0	1172.7	1990.0
<b><i>FY'99: Increase the percentage of potentially eligible children who receive</i></b>	Child Care Mandatory	1177.5	1177.5	1177.5
<i>CCDF subsidies from the FY 1998 baseline of 10%.</i>	Child Care Matching	940.7	1136.2	1331.7
<i>(Baselines &amp; targets under development with partners)</i>	Tribal Mandatory	43.3	47.3	51.3
<i>FY 00: Increase the percentage of potentially eligible children who...</i>	Child Care Early Learning Fund	0.0	0.0	600.0
<i>FY 01: Increase the percentage of potentially eligible children who ...</i>	AFDC/JOBS Child Care	6.0	0.0	0.0
	Total funding per objective	<b>3169.0</b>	<b>3535.2</b>	<b>5152.0</b>

2. IMPROVE HEALTHY DEVELOPMENT, SAFETY & WELL-BEING				
OF CHILDREN & YOUTH				
<b>5. Increase the Quality of Child Care to Promote Early Childhood Development</b>				
<b>Child care quality performance measure</b>	Child Care and Development Block Grant*	*	*	*
<i>FY 99: Increase by 1% the number of child care facilities that are accredited by A nationally recognized early childhood development professional</i>	Child Care Entitlement*	*	*	*
<i>Organization. (Baselines &amp; targets under development with partners);</i>	Research and Evaluation Fund	0.0	10.0	10.0
<i>FY 00: Increase by 1% the number of child care facilities...</i>	Child Care Matching*	*	*	*
<i>FY 01: Increase by an additional 1%, the number of child care facilities...</i>	Training & Tech. Assist.-CC Entitlement	5.4	5.9	6.4
...	Social Service Research	1.5	1.5	1.5
Total funding per objective		<b>6.9</b>	<b>17.4</b>	<b>17.9</b>
<b>6. Improve the Health Status of Children</b>				
<b>Head Start (Health) performance measure</b>	Head Start*	4658.1	3867.0	6267.0
<i>FY 99: 88% Head Start children receive needed med treatment.</i>				
<i>FY 00: 90% Head Start children receive needed med treatment.</i>				
<i>FY 01: 92% Head Start children receive needed med treatment.</i>				
Total funding per objective		<b>4658.1</b>	<b>3867.0</b>	<b>6267.0</b>
<b>7. Increase Safety &amp; Well-Being of Children &amp; Youth</b>				
<b>Child welfare performance measure</b>	Foster Care	3982.7	4537.2	5063.5
	Child Welfare Services	291.9	292.0	292.0
<i>FY 99: 41,000 children are adopted from the public foster care system. (Baseline: 1996; 28,000)</i>	Promoting Safe and Stable Families	274.9	295.0	305.0
<i>FY 00: 46,000 children are adopted from the public foster care system.</i>	Adoption Assistance	868.8	1020.1	1197.6
<i>FY 01: 51,000 children are adopted from the public foster care system (Data are best estimates based on APP measure)</i>	Child Welfare Training	7.0	7.0	7.0
	Child Welfare Longitudinal Study	6.0	6.0	6.0
	Training/Tech Assistance - CRTA	13.4	12.9	12.6
	Adoption Opportunities	24.9	27.4	27.4
	Adoption Incentives	20.0	41.8	41.8
	Child Abuse State Grants	21.0	21.0	21.0
	Abandoned Infants	12.2	12.2	12.2
	Community-Based Resource Centers	32.8	32.8	32.8
	Child Abuse Discretionary	14.1	18.0	18.0
	Independent Living/Foster Care/Adoptions	70.0	140.0	140.0
	<b>Child Welfare subtotal</b>	<b>5639.7</b>	<b>6463.4</b>	<b>7176.9</b>

<p><b>Youth performance measure</b></p> <p><i>FY 99: Increase to 95% the proportion of youth living in safe and appropriate settings after receiving ACF-funded services. (Baseline: 1997 data expressed in different terms)</i></p> <p><i>FY 00: Maintain at 95 % the proportion of youth....</i></p> <p><i>FY 01: Maintain at 95% the proportion of youth....</i></p>	Runaway and Homeless Youth (RHY)	43.6	43.7	43.7	
	Transitional Living: Homeless Youth	14.9	20.5	20.5	
	Ed/Prevention: RHY Sexual Abuse	15.0	15.0	15.0	
	Strengthen Parent-Adolescent Relationships	0.0	0.0	10.0	
	Evaluation of Abstinence Education Program	3.0	0.0	0.0	
	<b>Youth Programs subtotal</b>	<b>76.5</b>	<b>79.2</b>	<b>89.2</b>	
	Family Violence*	*	*	*	
	Developmental Disabilities - State Grants*	*	*	*	
	Developmental Disabilities -P&A*	*	*	*	
	Social Services Research	.4	.4	.4	
Total funding per objective		<b>5716.2</b>	<b>6543.0</b>	<b>7266.5</b>	
<b>3. INCREASE HEALTH &amp; PROSPERITY OF COMMUNITIES AND TRIBES</b>					
<b>8. Build Healthy, Safe &amp; Supportive Communities &amp; Tribes</b>					
<p><b>CSBG performance measure</b></p> <p><i>FY 99: \$1,357 billion in non-federal funds brought into low-income communities (4% increase over previous year)</i></p> <p><i>FY 00: \$1.38 billion in non-federal funds brought into low-income communities (1% increase over previous year).</i></p> <p><i>FY 01: \$1.39 billion in non-federal funds brought into low-income communities (1% increase over previous year).</i></p>	Community Services Block Grant	499.8	527.7	510.0	
	National Youth Sports Program	15.0	15.0	0	
	Community Food and Nutrition	5.0	6.3	0	
	Community Services Discretionary	33.5	35.4	5.5	
	<b>Community Services Subtotal</b>	<b>553.3</b>	<b>584.4</b>	<b>515.5</b>	
	<p><b>Domestic Violence performance measure</b></p> <p><i>FY 99: Increase by 35%, from 120 (1996) to 162, the number of Federally-recognized Indian Tribes that have family violence prevention Programs.</i></p> <p><i>FY 00: Maintain at 174 the number of Federally recognized Tribes ...</i></p> <p><i>FY 01: Increase to 189 the number of Federally recognized Tribe</i></p>	Social Services Research	0.5	0.5	0.5
		Family Violence Prevention	88.8	101.1	116.9
		Domestic Violence Hotline	1.2	1.9	2.2
		DD – Protection and Advocacy	*	*	*
		<b>Domestic Violence Subtotal</b>	<b>90.5</b>	<b>103.5</b>	<b>119.6</b>

<b>LIHEAP performance measure</b>	LIHEAP **	1277.5	1105.0	1100.0
<i>FY 99: 75% of grantees have set a goal for the participation rate of Eligible households with at least one member age 5 years or under.</i>				
<i>FY 00: 75% of grantees have set a goal for the participation rate of Eligible households with at least one member age 5 years or under...</i>				
<i>FY 01: 75% of grantees that have set a goal for the participation rate of eligible households having at least one member 5 years or under Are successful in meeting that goal.</i>				
<b>Native American performance measure</b>	Native Americans Programs	34.9	35.4	44.4
<i>FY 99: Maintain at the current level of 1400 visits the number of site s Visits by Tribal contractors to the diverse Native American population w/particular emphasis on urban Native organizations, rural and non Federally recognized Tribes.</i>				
<i>FY 00: Maintain at the current level of 1400 visits ...</i>				
<i>FY 01: Maintain at the current level of 1400 visits....</i>				
Total funding per objective		<b>1956.2</b>	<b>1828.3</b>	<b>1779.5</b>
4. BUILD A RESULTS-ORIENTED ORGANIZATION				
<b>9. Streamline ACF Organizational Layers</b>	Federal Administration	144.5	147.9	164.4
<b>Streamlining performance measure</b>				
<i>FY 99: Reduce ACF manager-to-staff ratio to 1:9. (Baseline: 1993; 1:4.6)</i>				
<i>FY 00: Improve ACF manager-to-staff ratio to 1:8.</i>				
<i>FY 01: Improve ACF manager-to-staff ratio at 1.9.</i>				
<b>10. Improve Automated Data and Management Systems</b>	Federal Administration *	*	*	
<b>Automation performance measure</b>				
<i>FY'99: Improve automated mgmt systems: replace 27 systems.</i>				
<i>FY 00: Improve automated mgmt systems: replace audit system.</i>				
<i>FY 01: Improve debt collection and reengineering processes to approve. And track waivers granted in ACF programs; implement GATES II</i>				
Total funding per objectives 9 and 10		<b>144.5</b>	<b>147.9</b>	<b>164.4</b>
<b>TOTAL ACF PROGRAM &amp; ADMINISTRATIVE FUNDING:**</b>		<b>38322.1</b>	<b>38367.3</b>	<b>43262.9</b>
* Item with multiple citations, counted once only. ** These totals include obligation levels for Child Support Enforcement Programs rather than Budget Authority.				

## **A.7 Achieving Success: Trends and Targets, FY 1998-1999**

### **A Message from the Assistant Secretary on Our Need to Focus on Priority Results**

Today, the Administration for Children and Families has an unprecedented opportunity to make a difference in the lives of America's families and children, especially those in greatest need. In our sixty-six programs, we touch on many of the critical dimensions that can improve the quality and character of American life and assist in stabilizing and enriching America's neighborhoods and communities.

I have asked both ACF employees and our partners to focus on seven priority results that will have the greatest impact in the next several years. They are:

- Move families to work and self-sufficiency.
- Ensure financial and emotional support for children from both parents.
- Create access to affordable, quality child care for low-income working families.
- Reach children from ages 0-3 to promote full development, e.g., through Head Start, Early Head Start and Child Care.
- Enroll 1,000,000 children in quality Head Start by 2002 and prepare them to be ready to learn.
- Provide safety, permanency and well being for at-risk children and double the number of adoptions from the public child welfare system by 2002.
- Build internal capacity to meet partners needs and ensure for ACF a place at the table in the 21st Century.

These priority results have national visibility and support -- two are Presidential initiatives and four are High Impact Agency Year 2000 Reinvention goals supported by the Vice President and the National Partnership for Reinventing Government. They represent our joint commitment to improve services and restore the public's trust in government.

This *new* edition of "Achieving Success" provides us with some interim benchmarks for accomplishing these priority results and provides the latest information on our success in achieving our targets. I want to take this opportunity to thank our many partners and constituent groups for their commitment to achieving these goals. None of this would be possible without them.

Olivia Golden  
Assistant Secretary for Children and Families

## PREFACE

America wants the best for its children and families. Today, their needs are more complex and urgent than ever before. Too many children live in poverty, or remain too long in the foster care system. Many children are not supported, emotionally or financially, by both their parents. Too many parents lack adequate skills and employment to support their families. Families with young children confront critical shortages of appropriate, safe and supportive services. Families with members with developmental and other disabilities often need ongoing services in order to participate meaningfully in their communities.

The Administration for Children and Families (ACF), within the U.S. Department of Health and Human Services, is responsible for Federal programs that address the needs of vulnerable children and families throughout our society, including Native Americans, individuals with developmental disabilities, refugees and legalized aliens. Through its Federal leadership, ACF promotes:

- Empowerment of families and individuals to increase their economic independence and productivity;
- Strong, healthy, supportive communities that have a positive impact on the quality of life and the development of children;
- Partnerships that transcend traditional agency boundaries in order to help solve problems and focus on results.

ACF supports public and private community-based programs, such as Head Start, and makes financial assistance and intervention programs available to States to promote and support well being, safety and stability for children and families. Many States have launched innovative efforts and are working in partnership with ACF to benchmark, measure performance and track results. We hope that States and local communities will continue to join with us to develop mutually agreeable goals and measurable targets that help us work toward improving the economic and social well-being of children and families.

We are committed to measuring ACF's success in meeting its goals. How do our programs affect the lives of children and families? How are we making a difference? Senior managers throughout ACF have set preliminary targets in critical areas that will permit us to begin developing ways to measure program achievement. This report, first released in FY '96 and updated annually with the most recently available data, is part of our continuing commitment to share these efforts with our partners, stakeholders, customers and the general public. We have been discussing many of these preliminary targets with our partners and stakeholders so that we can reach agreement on realistic yet aspirational levels of achievement.

ACF is one of many Federal agencies committed to helping improve the lives of children and families. The challenges are great, but the risks of not achieving these goals are even greater. Strong, healthy, well-educated, self-sufficient families and children help improve the quality of life for us all. We will be updating "Achieving Success" annually with information that will reflect the progress we have been making with our partners in achieving results for the children and families we serve.

The set of social measures and national indicators that follow will continue to evolve as we have further consultations with our partners. They are representative of a larger group of measures and indicators which are included in the ACF Annual Performance Plan. Under each of the strategic goals are broad strategies (e.g., "Increase employment") and targets to gauge their achievement. (Numbers in brackets are targets for FY 1998 and 1999, or they may be estimates, if so indicated. Data are for fiscal years unless otherwise indicated.)

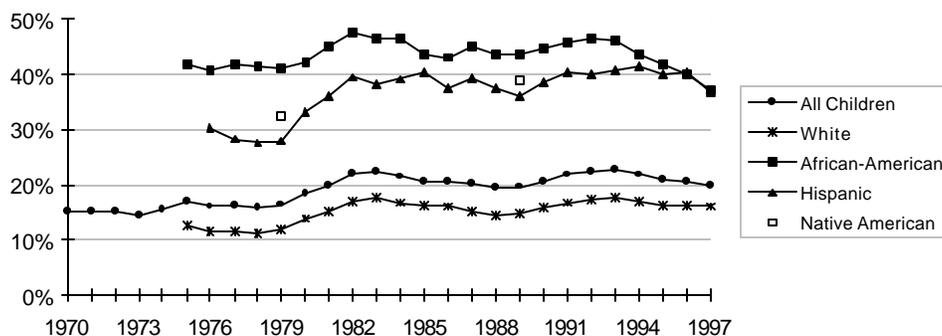
## KEY SOCIAL MEASURES

"All States must focus on work, parental responsibility and reducing teen pregnancy. Children must be protected, wherever they live..."

-- Donna Shalala, Secretary, HHS

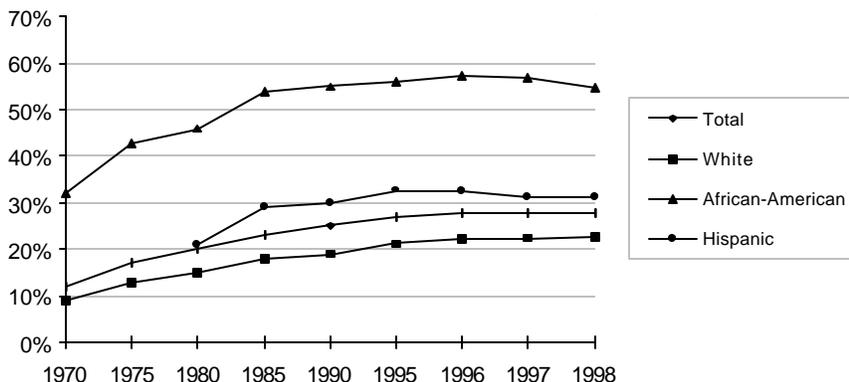
The following general social measures will be used to monitor overall progress and changes across the nation. While ACF programs can affect these indicators, many external factors influence them significantly. Nevertheless, only when these factors begin to improve can we and our partners truly claim success.

**Percent of Children under Age 18 in Poverty, 1970-1997**



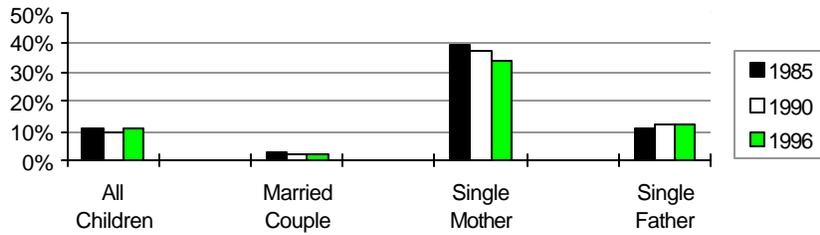
SOURCE: U.S. Census, March Current Population Survey. The data for Native Americans is based on the 1980 and 1990 Decennial Census as cited in *Trends in the Well-Being of America's Children and Youth, 1997* (USDHHS, page 53)

**Children under 18 Living with One Parent, 1970-1998**



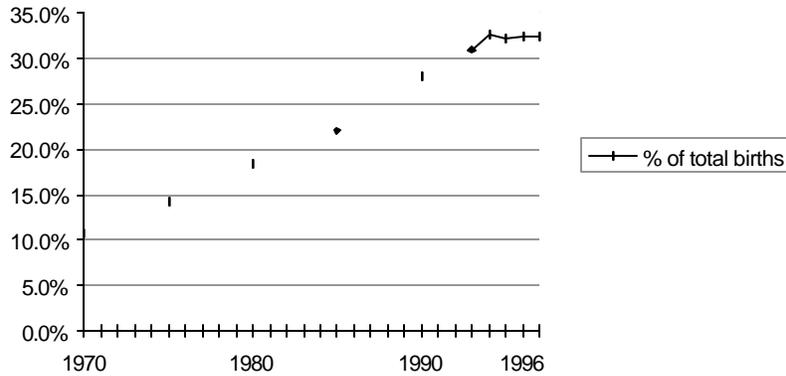
NOTE: In 1996, 84% of children under 18 in one-parent family groups lived only with their mothers.  
SOURCE: U.S. Census, Current Population Reports

### Percent of Children with No Resident Parents in the Labor Force, 1985-1996



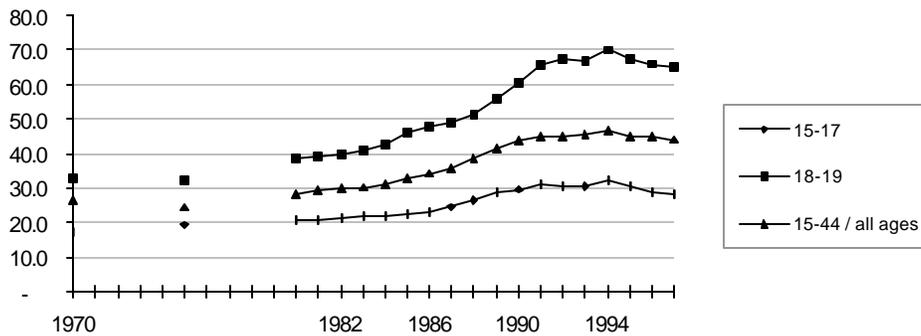
SOURCE: Child Trends, Inc., and U.S. Census, Current Population Survey

### Percent of Out-of-Wedlock Births, 1970-1997



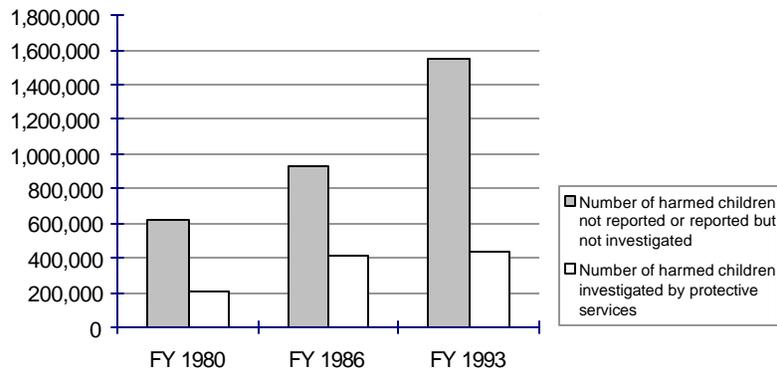
NOTE: Births to unmarried women as a percent of total births.  
SOURCE: National Center for Health Statistics, Monthly Vital Statistics Report

### Birth Rates per 1000 for Unmarried Women by Age, 1970-1997



NOTE: Rates are number of live births to unmarried women per 1000 unmarried women in the specified age groups.  
SOURCE: National Center for Health Statistics, Births: Final Data for 1997

**Number of Harmed Children Investigated  
by Child Protective Services, FY 1980-1993**



SOURCE: Third National Incidence Study of Child Abuse and Neglect, USDHHS, 1996

**KEY SOCIAL AND DEMOGRAPHIC DATA BY ETHNIC CATEGORIES**

	White	African-American	Asian & Pacific <sup>1</sup>	Hispanic <sup>2</sup>	Native American <sup>3</sup>	Total
<b>AGE</b>	<b>(1997)</b>	<b>(1997)</b>	<b>(1997)</b>	<b>(1997)</b>	<b>(1997)</b>	<b>(1997)</b>
Under 5	6.9%	8.5%	8.7%	11.4%	8.7%	7.2%
5 – 64	79.3%	83.3%	84.3%	82.9%	84.6%	80.2%
65 +	13.8%	8.3%	7.1%	5.6%	6.5%	12.7%
<b>EDUCATION (Age 25+)</b>	<b>(1998)</b>	<b>(1998)</b>	<b>(1998)</b>	<b>(1998)</b>	<b>(1990)</b>	<b>(1998)</b>
HS Grad or Higher	83.7%	76.0%	84.9%	55.5%	65.6%	82.8%
Bachelor's Degree or Higher	25.0%	14.7%	42.2%	11.0%	9.4%	24.4%
<b>WORK</b>	<b>(1997)</b>	<b>(1997)</b>	<b>(1997)</b>	<b>(1997)</b>	<b>(unspecified)</b>	<b>(1997)</b>
Unemployment Rate	2.8%	6.5%	3.2%	5.3%	37% <sup>4</sup>	4.9%
<b>FAMILY TYPE</b>	<b>(1997)</b>	<b>(1997)</b>	<b>(1997)</b>	<b>(1997)</b>	<b>(1990)</b>	<b>(1997)</b>
Married Couple	37.2% <sup>5</sup>	23.3% <sup>5</sup>	78.5% <sup>6</sup>	68.2% <sup>6</sup>	65.8% <sup>6</sup>	25.0% <sup>5</sup>
Female Householder	8.5% <sup>5</sup>	30.7% <sup>5</sup>	13.2% <sup>6</sup>	24.4% <sup>6</sup>	26.2% <sup>6</sup>	8.0% <sup>5</sup>
Male Householder	2.2% <sup>5</sup>	3.8% <sup>5</sup>	8.3% <sup>6</sup>	7.4% <sup>6</sup>	8.0% <sup>6</sup>	2.0% <sup>5</sup>
<b>INCOME &amp; POVERTY<sup>7</sup></b>	<b>(1996)</b>	<b>(1996)</b>	<b>(1996)</b>	<b>(1996)</b>	<b>(1989)</b>	<b>(1996)</b>
Median Family Income	\$44,756	\$26,522	\$49,105	\$26,179	\$21,619	\$42,300
% Families below Poverty	8.6%	26.1%	12.6%	26.4%	27.2%	11.0%
% Persons below Poverty	11.2%	28.3%	11.4%	29.4%	31.2%	13.7%

SOURCE: U.S. Census, Statistical Abstract of the United States, 1998 and other sources

<sup>1</sup> Asians & Pacific Islanders include 20 different population groups; education and income levels vary greatly from group to group.

<sup>2</sup> Hispanics include numerous different population groups; education and income levels vary greatly from group to group.

<sup>3</sup> Native Americans include American Indians, Eskimos, and Aleuts.

<sup>4</sup> Average unemployment on Native American reservations (year not specified) is estimated by the B IA, U.S. Department of the Interior.

<sup>5</sup> Data in these columns are for families with their own children under 18; female and male householders have no spouse present.

<sup>6</sup> Data in these columns are for families with or without children; female and male householders have no spouse present.

<sup>7</sup> Income data are for preceding year (1996) in 1996 constant dollars, except for Native Americans (1989.)

## ACF STRATEGIC GOALS AND TARGETS

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### GOAL: ECONOMIC INDEPENDENCE AND PRODUCTIVITY OF FAMILIES

**Measurably improve the economic independence and productivity of families by reforming the welfare system and by stimulating the changes in attitude and behavior necessary to achieve results.**

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- ***INCREASE EMPLOYMENT:** Increase employment and economic independence by reducing reliance on public welfare programs, providing job training and encouraging job creation. Focus on the abilities and skills of individuals, enabling them to be more self-sufficient and to pursue jobs in their communities.*

**Target:** All States meet the TANF work participation targets for FY 1998:

	1998	1999
all families:	35.4%	[35%]
two parent families:	42.3%	[90%]

SOURCE: State TANF data

NOTE: Under the 1996 national welfare reform legislation, TANF replaced the Aid to Families with Dependent Children program (AFDC) and the Job Opportunities and Basic Skills Training (JOBS) program. Targets # - # represent the closing years of AFDC and JOBS.

**Target:** Increase the AFDC recipient participation rate in the Job Opportunities and Basic Skills Training (JOBS) program beyond the statutory rate of 20%.

	1992	1993	1994	1995	1996 *
target rate:	11%	11%	15%	20%	25%
actual:	16.0%	17.0%	21.6%	27%	33%

\* Rate was statutory, FY 92-95. New target rate includes those working and some prior exempt recipients.

SOURCE: ACF-103

**Target:** Increase the proportion of AFDC cases with earnings by 10% annually.

	1994	1995	1996	1997	1998*
% of cases w/ earnings **: 9%	9%	10%	11%	12%	23%
change in % of cases:	-1%	10%	10%	10%	11%

\* 1998 projection represents combined AFDC and TANF results.  
 \*\* Total count, based on state administrative records.

SOURCE: State AFDC Data

**Target:** Increase the number of job entries from the JOBS program by 10% annually.

1992	1993	1994	1995	1996
243,525	270,875	385,500	650,000	665,000
	+11.2%	+42.3%	+69.0%	+2.3%

SOURCE: ACF-108

**Target:** Increase the number of refugees entering employment from ORR-funded employment-related services by 5% annually.

	1995	1996	1997	1998
entering employment	47,344	48,562	46,800	[49,140]
change from previous year	46%	3%	-4%	[5%]
total caseload	98,838	98,977	87,469	[87,526]

SOURCE: ORR-6

**Target:** Increase the number of adults with developmental disabilities who obtain integrated jobs as a result of developmental disabilities (DD) program intervention.

1997	1998	1999	2000
6,945	9,660	[9,517]	[9,517]

SOURCE: State DD Councils' Program Performance Reports

- *INCREASE INDEPENDENT LIVING: Empower individuals with developmental disabilities to move into their own homes, increasing their personal control and participation in their community.*

**Target:** Increase the number of people with developmental disabilities owning or renting their own homes as a result of developmental disabilities program intervention.

1997	1998	1999	2000
915	[1,800]	[2,079]	[2,132]

SOURCE: State DD Councils' Program Performance Reports

- **INCREASE PARENTAL RESPONSIBILITY:** *Establish paternities for children born out-of-wedlock and ensure that parents support their children.*

**Target:** Increase the number of paternity establishments to 1,078,000 in FY '97.

1994*	1995*	1996*	1997*	1998	1999
676,459	932,102	1,058,288	1,300,922	1,384,698	[1,523,167]

\* revised

SOURCE: OCSE-156 and in-hospital reports

**Target:** Increase the amount of total child support collections to \$16.3 billion in FY '99.

1994	1995	1996	1997	1998	1999
\$9.9B	\$10.8B	\$12.0B	\$13.3B	\$14.4B	[\$16.3B]

SOURCE: OCSE-34

- **INCREASE AFFORDABLE CHILD CARE:** *Increase the access of low income, working families to affordable, quality child care.*

**Target:** Annually increase the number of children receiving subsidized child care.

1993	1994	1995	1996
1,390,000	1,411,000	1,445,000	[1,634,000]

NOTE: 1994 data revised from 1,446,000; 1995 total is under-estimated since IV-A data from 9 states were not reported. Final data for FY 1996-97 and possibly through FY 1999 may be delayed by changes in welfare reform program requirements as well as implementation of systems.

SOURCE: ACF-700, ACF-108, ACF-115

## GOAL: HEALTHY DEVELOPMENT OF CHILDREN AND YOUTH

**Increase the number of children, youth and families who have improved health, development and well-being and live in stable communities.**

- **INCREASE THE QUALITY OF CHILD CARE TO PROMOTE EARLY CHILDHOOD DEVELOPMENT:** *Provide high quality early childhood programs, such as Head Start or accredited child care programs, so that early childhood experiences improve children's development and school readiness.*

**Target:** In FY '98 increase by 36,000 the number of children receiving comprehensive early childhood development services through Head Start.

Schoolyear	93-94	94-95	95-96	96-97	97-98
	740,493	750,696	752,077	793,809	830,000
	+26,590	+10,203	+1,381	+41,732	36,191

SOURCE: HSPIR

**Target:** In FY '98 increase by up to 12,000 the number of children receiving full day-full year Head Start services to meet the child care needs of parents in training or employment.

Schoolyear	93-94	94-95	95-96	96-97	97-98
	20,000	27,000	27,150	90,000	[102,000]

SOURCE: HSPIR

**Target:** Increase by 10% the number of child care facilities that are accredited by a nationally recognized early childhood development professional organization.

	1995	1996	1997	1998
	5300	5072	5672	[6200]

SOURCE: NCCIC

- *IMPROVE THE HEALTH STATUS OF ALL CHILDREN: Provide access to regular medical and dental examinations, immunizations and required medical and dental treatments for children.*

**Target:** Maintain at or above 93% (dental) and 95% (medical) the portion of Head Start children who receive dental and medical exams during the school year.

	92-93	93-94	94-95	95-96	96-97	97-98
Medical	93%	94%	95%	95%	94%	95%
Dental	91%	91%	94%	93%	92%	93%

SOURCE: HSPIR

**Target:** Maintain at or above 96% the portion of Head Start children who receive needed medical treatment, as indicated by exams they receive through Head Start during the school year.

	92-93	93-94	94-95	95-96	96-97	97-98
	96%	97%	96%	95%	95%	88%]

SOURCE: HSPIR

**Target:** Maintain at or above 95% the portion of Head Start children who receive needed dental treatment, indicated by exams received through Head Start during the school year.

92-93	93-94	94-95	95-96	96-97	97-98
97%	95%	95%	94%	93.6%	83%]

SOURCE: HSPiR

**Target:** Maintain at or above 99% the portion of Head Start children who receive required immunizations.

96-97	97-98
99%	99%

SOURCE: HSPiR

**Target:** Increase the number of health care providers trained to meet the health needs of people with developmental disabilities as a result of DD program intervention.

1997	1998	1999	2000
2,922	[3,500]	[4,000]	[4,825]

SOURCE: University-Assisted Programs Annual Report

- *INCREASE SAFETY, PERMANENCY AND WELL-BEING OF CHILDREN AND YOUTH: Help children and youth while they are living with their own families, when appropriate. When necessary, place children and youth in stable, family-like settings consistent with the needs of each child or youth. Support children and youth with developmental disabilities in individual and small group dwellings that will include them in community life.*

**Target:** Make progress towards doubling the number of adoptions for children in the public foster care system between FY 1997 and FY 2002 by increasing adoptions from 31,000 in FY 1997 to 62,000 in FY 2002.

1996	1997	1998	1999	2000	... 2002
28,000	31,000	36,000	[41,000]	[46,000]	[56,000]

Note: guardianship measure dropped until data stabilizes. SOURCE: Reports from States to establish baselines for the Adoption 2002 initiative and the Adoption Incentive program.

**Target:** Of the children who exit foster care through reunification, increase the percentage of children who are reunified within one year of placement from 69% in FY 1995 to 71% in FY 1999. Of the children who exit foster care through adoption, increase the percentage adopted within two years of placement from 18% in FY 1995 to 29% in FY 1999.

means of exit from foster care	1995	1996	1997	1998	1999	2000
reunification,<1 yr	66%	63%	[69%]	[68%]	[70%]	[70%]
adoption,<2 yrs	18%	24%	[27%]	[25%]	[26%]	[26%]

Note: guardianship measure dropped until data stabilizes.

SOURCE: AFCARS

**Target:** Decrease the percentage of children with substantiated reports of maltreatment who have a repeat substantiated report of maltreatment within 12 months from 21% in Calendar Year 1996 to 22% in Calendar Year 1999.

(Cal Year)	1995	1996	1997	1998	1999	2000
	20%	21%	22%	[21%]	[21%]	[21%]

Data source: National Child Abuse and Neglect Data System (NCANDS)

**Target:** Increase the number of people with developmental disabilities who are served in more integrated/inclusive educational settings as a result of developmental disabilities program intervention.

	1997	1998	1999	2000
	3,149	6,150	[8,000]	[8,000]

SOURCE: State P&A systems' Program Performance Reports

**Target:** Decrease the proportion of youth returning to the streets after receiving basic center and/or transitional living services.

	1994	1995	1996	1997	1998
	7%	7%	8%	7%	[6%]

SOURCE: Runaway and Homeless Youth (RHY) MIS

- *BUILD HEALTHY, SAFE AND SUPPORTIVE COMMUNITIES AND TRIBES: Strengthen local communities through community partnerships and improving civic participation; increase community development investments so that families and children can lead healthy, safe, and productive lives. Work with Tribes and Native American communities to develop strategies and programs that will promote social and economic development and self-sufficiency.*

**Target:** Maintain at 70% the proportion of Runaway and Homeless Youth programs using community networking and outreach activities to strengthen services.

1994	1995	1996	1997	1998
67%	68%	61%	64%	[65%]

NOTE: A recent evaluation, confirmed by anecdotal evidence, indicates that over the last several years there has been a significant decline in community resources available to link referrals and services for RHY youth.

SOURCE: RHY MIS

**Target:** Maintain the number of volunteer hours contributed by Community Services Block Grant consumers in one or more community groups.

1993	1994	1995	1996	1997
15.6 baseline	25.5 +63.5%	24.9 -2.4%	24.3 12.9%	27 11%

NOTE: The count is in millions of hours. The measure increased dramatically from 1993 to 1994 because 4 States began providing data for the first time and because more sophisticated tracking took place.

SOURCE: NASCSP/OCS

**Target:** Increase by 1% the amount of non-Community Services Block Grant resources brought into low-income communities by the Community Services Network.

	1993	1994	1995	1996	1997
<b>Community Services Block Grant (CSBG)</b>	\$372.0M	\$385.5M	\$387.5M	\$387.5M	\$453.8M
(\$ millions)	baseline	+3.6%	+1.0%	0.0%	+1.2%
<b>non CSBG Dollars mobilized.....</b>	\$4.446B	\$4.797B	\$4.676B	\$4.815B	\$479.1B
(\$ billions)	baseline	+7.9%	-2.5%	+2.97%*	-.5%

\* Estimated

SOURCE: NASCSP/OCS

**Target:** Increase the dollars leveraged from ADD's Federal partners in support of positive outcomes for people with developmental disabilities in terms of employment, housing, education, health, and community support as a result of ADD intervention.

1997	1998	1999	2000
2.6	2.6	[4.0]	[4.5]
(\$ millions)			

Data source: ADD administrative records

**Target:** Maintain at 25% or higher the percent of Low Income Home Energy Assistance Program (LIHEAP) recipient households that have young children under 6.

	1995	1996	1997	1998	1999
	27%*	26%	25%	25%	[25%]

\* Revised

SOURCE: U.S. Census, Current Population Survey

**Target:** Maintain or increase the number of individuals (tribal officials and staff) served by training and technical assistance (T&TA) providers through provision of outreach services to the diverse Native American population, with particular emphasis on urban Native organizations, rural and non-Federally recognized Tribes.

	1996	1997
individuals served	1456	1614 +11%

NOTE: At the end of FY 1998, ANA will award new T/TA contracts to include a number of requirements in the area of data collection. Accurate baselines will be established for additional GPRA measures in the provision of T/TA services, such as the number of site visits; Interaction through telephone, fax or e-mail; workshops or cluster sessions.

SOURCE: ANA

**Target:** Increase by 10% in 1998 the number of ANA grants with elder participation to demonstrate community participation in project design and implementation of ANA-funded social and economic development; native language preservation and enhancement; environmental regulatory enhancement and environmental mitigation.

	1996	1997
grants with elder participation	40	44 +10%

SOURCE: ANA

## GOAL: A RESULTS-ORIENTED ORGANIZATION

**Be a high-performing, customer focused organization that values its partners and empowers employees to achieve results.**

- *STREAMLINE ACF ORGANIZATIONAL LAYERS: Change the way ACF does business by reducing bureaucratic levels and relying more on teams; maintain or increase values such as effectiveness, efficiency, and diversity while reducing the number of managers.*

**Target:** Increase the ACF-wide manager-to-staff ratio from 1:4.6 in FY 1993 to 1:7.5 by the end of FY 1997 and to 1:9 by FY 1999.

1993	...	1995	1996	1997	1998	1999
1:4.6	...	1:5.5	1:6.1	1:7	1:7	[1:7]

NOTE: Staff separations have been primarily non-supervisory without full replacement. New legislation, such as TANF, and organizational realignments have also affected this target.

SOURCE: ACF personnel data

- BENEFIT GRANTEES BY IMPROVING AUTOMATED DATA AND MANAGEMENT SYSTEMS:**  
*Streamline more than 30 separate grant computer programs (application systems) into a single comprehensive system of electronic processing and transfers to benefit grantees by more timely and efficient grants processing, more accurate data, less down time, quicker start up, and correction of the "Year 2000" design flaw.*

**FY 1999:** Replace 15 systems. Use technology for purposes of child support enforcement, foster care, funds planning and electronic collection of State plans. 22 systems were completed in FY 1998; 15 systems were completed in-FY 1999.

**FY 2000:** Replace the audit system. Use technology for more efficient debt collection and reengineer processes to approve and track waivers granted in ACF programs.

SOURCE: ACF administrative data

## Programs of the Administration for Children and Families

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### *Income Assistance and Self-Sufficiency*

Temporary Assistance to Needy Families \*  
Refugee Assistance  
Repatriation

### *Children and Youth*

Foster Care and Adoption Assistance  
Head Start, Early Head Start  
Child Support Enforcement  
Child Welfare Services  
Family Preservation and Family Support  
Services  
Child Abuse and Neglect Programs  
Youth Programs

### *Child Care*

Child Care and Development Block Grant

### *Special Populations*

Developmental Disabilities Programs  
Native Americans Programs

### *Communities*

Social Services Block Grant  
Empowerment Zones and Enterprise  
Communities  
Low Income Home Energy Assistance  
Program  
Community Services Programs  
Family Violence Prevention Program

### *Advisory Groups*

President's Committee on Mental  
Retardation

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\* Replaced Aid to Families with Dependent Children and  
Job Opportunities & Basic Skills Training Program during 1996

