

A D O P T I O N A N D
F O S T E R C A R E
A N A L Y S I S A N D
R E P O R T I N G S Y S T E M
(A F C A R S) , 1 9 9 6

NDACAN Dataset Number 80
User's Guide

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**A D O P T I O N A N D F O S T E R
C A R E A N A L Y S I S A N D
R E P O R T I N G S Y S T E M
(A F C A R S) , 1 9 9 6**

Data Provided by

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Administration on Children, Youth and Families
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User's Guide written by

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Children's Bureau

PREFACE

The data for *Adoption and Foster Care Analysis and Reporting System (AFCARS), 1996* have been given to the National Data Archive on Child Abuse and Neglect for public distribution by the Children's Bureau. Funding for the project was provided by the Children's Bureau, Administration on Children, Youth and Families, Administration for Children and Families, U.S. Department of Health and Human Services.

ABSTRACT

The Adoption and Foster Care Analysis and Reporting System (AFCARS) is a federally mandated data collection system intended to provide case specific information on all children covered by the protections of Title IV-B of the Social Security Act (Section 427). Under the final AFCARS rules, states are required to collect data on all children in foster care for whom the state child welfare agency has responsibility for placement, care, or supervision. States are also required to collect data on all adopted children who were placed by the state child welfare agency or by private agencies under contract with the public child welfare agency. In addition, states are encouraged to report other adoptions that are finalized in the state. The AFCARS data are designed to address policy development and program management issues at both the state and federal levels. It is also useful for researchers interested in analyzing aspects of the United States' foster care and adoption programs. Tables and other reports summarizing the AFCARS data are available from the Children's Bureau home page on the world wide web (<http://www.acf.dhhs.gov/programs/cb>).

The Fiscal Year 1996 AFCARS dataset consists of data from the AFCARS reporting period extending from October 1, 1995 to September 30, 1996. Two data files are being distributed: one contains adoption data and the other foster care data. The adoption data file contains 45 elements and 16,010 unduplicated cases representing data collected from 38 states including the District of Columbia and Puerto Rico. Information is provided on the adoptive child's finalization date, gender, race, birth date, ethnicity, dates parental rights were terminated, characteristics of birth and adoptive parents, prior relationship of the adoptive parents to the child, and whether the child was placed from within the United States or from another country. The foster care data file contains 89 elements and 335,836 cases representing data from 17 states including the District of Columbia. Information is provided on child demographics including gender, birth date, race, and ethnicity, as well as other information such as the number of previous stays in foster care, service goals, availability for adoption, duration of care, funding sources and information on the biological and foster parents.

ACKNOWLEDGMENT OF ASSISTANCE

All manuscripts that use data made available through the National Data Archive on Child Abuse and Neglect should acknowledge that fact as well as identify the original collector of the data.

Users of these data are urged to follow some adaptation of the following statement.

The data in this publication were made available by the National Data Archive on Child Abuse and Neglect, Cornell University, Ithaca NY, and have been used by permission. Data from *Adoption and Foster Care Analysis and Reporting System (AFCARS), 1996* were originally collected by the Children's Bureau. Funding was provided by the Children's Bureau, Administration on Children, Youth and Families, Administration for Children and Families, U.S. Department of Health and Human Services. Neither the collector of the original data, the funder, the Archive, Cornell University, or its agents or employees bear any responsibility for the analyses or interpretations presented here.

INFORMATION ABOUT THE USE OF ARCHIVAL RESOURCES

To provide funding agencies with essential information about the use of NDACAN resources and to facilitate the exchange of information about research activities among data users and contributors, each user of these data is required to send two copies of any completed manuscript, thesis abstract, or reprint to the National Data Archive on Child Abuse and Neglect, Cornell University, Family Life Development Center, MVR Hall, Ithaca, New York 14853-4401.

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OVERVIEW

Background

In 1982 the Department of Health and Human Services Administration on Children, Youth and Families, through a grant to the American Public Welfare Association (APWA), implemented the Voluntary Cooperative Information System (VCIS) which collected national data on foster care and adoption. The VCIS system had many weaknesses including variation from state to state in reporting periods, a lack of common definitions for data elements and services, and inconsistent methodologies in reporting. In addition, the aggregate nature of the data limited the analyses that could be performed and limited its usefulness for purposes of planning or policy development at the federal and state levels. Due to these weaknesses in the VCIS system, the U.S. Congress set forth to establish an improved, mandatory national reporting system.

In 1986 Congress approved an amendment to Title IV-E of the Social Security Act (section 479) requiring that an advisory committee be established to prepare a report to Congress and HHS with recommendations for establishing, administering, and financing a system for collecting data on adoption and foster care in the United States. The advisory committee submitted its final report which detailed recommendations for a mandatory system that would collect data on all children covered by the protections of Title IV-B of the Social Security Act (Section 427). On September 27, 1990, HHS published proposed federal regulations to implement the data collection system, which has become known as the Adoption and Foster Care Analysis and Reporting System (AFCARS). On December 22, 1993, the final rule implementing AFCARS appeared in the Federal Register. (See Appendix D for a copy of the final rule).

Purpose of AFCARS

The purpose of AFCARS is twofold. First, AFCARS is designed to address policy development and program management issues at both the state and federal levels. Second, the data will be useful for research aimed at analyzing aspects of the United States' foster care and adoption programs, such as characteristics related to timing, trends, and populations. It is important to keep in mind that AFCARS was developed as an on-going data collection system and does not conform to traditional research design.

Specific objectives of AFCARS include the following:

- Reliable and consistent data through the use of uniform definitions, methodologies, and data standards.
- Statewide and national information on the characteristics of adoptive and foster care children and their parents (biological parents, adoptive parents, and foster care parents).
- Statewide and national information on the status of the foster care population (i.e., number of children in care, type of placement, length of placement, availability for adoption, and goals for ending or continuing care).
- Information on the extent and nature of assistance provided by federal, state, and local adoption and foster care programs.

- Information on the characteristics of the children to whom varying levels of assistance is provided.
- Information on the number and characteristics of children placed or removed from foster care.
- Information on the number and characteristics of adopted children and adoptive parents.
- Information on the number and characteristics of children placed in foster care outside of the state that has responsibility.

Data Collection

Under the final AFCARS rules, states are required to collect case specific data on all children in foster care for whom the state child welfare agency has responsibility for placement, care, or supervision, regardless of eligibility for Title IV-E funds. States are also required to collect data on all adopted children who were placed by the state child welfare agency or by private agencies under contract with the public child welfare agency. States are encouraged to report other adoptions finalized in the state (e.g., private and independent adoptions). For the states that participated, the fiscal year 1996 AFCARS data provide case-level information for children served by the foster care system and children whose adoptions were finalized from October 1, 1995 to September 30, 1996.

Financial penalties for states that did not submit AFCARS data or that submitted poor quality data were imposed with the 1998 submission. Before 1998, data submission was encouraged, but not required, while many states brought their information systems online. Therefore, the AFCARS Fiscal Year 1996 dataset is not as complete or reliable as subsequent datasets. For 1996, 40 states submitted at least the adoption or the foster care data of sufficient quality to be included in the final dataset. Dramatic improvements in data quality and completeness are expected in the coming years as states continue to develop their electronic information systems and financial penalties are levied.

AFCARS is structured on semi-annual reporting periods. These reporting periods close on March 31 and September 30 of each year. States are required to submit all of their foster care and adoption data electronically to the federal government for the specified period at the close of each reporting period. States submit data based on 66 data elements for the foster care data and 37 data elements for the adoption data (The data elements are detailed in Appendices A and B). State-specific footnotes are presented in Appendix C and the final AFCARS requirements as specified in the Code of Federal Regulations are detailed in Appendix D: The AFCARS Final Rules.

The foster care and adoption data files are composed of data from two different report periods (October 1 through March 31 and April 1 through September 30). The first and second report periods of any federal fiscal year (FFY) are identified by the two-digit FFY, followed by the letters A or B, respectively. For example, the first FFY 1996 report period (October 1, 1995-March 31, 1996) is called "96A," and the second report period (April 1, 1996-September 30, 1996) is "96B." Also, once all the state files have been combined into the annual database, the national annual database is identified by the two-digit FFY, followed by the letter C. Therefore,

in keeping with our example, the annual FFY 1996 database is referred to as “96C.”

Creating the Adoption File

The adoption data contain information for adopted children who were placed by the state child welfare agency, by private agencies under contract with the public child welfare agency, or by private adoptions voluntarily reported during the given reporting period. States submit data for each child with a finalized adoption. Duplicate records were detected and removed and the remaining records are sorted by the year that the adoption was finalized.

It is important to note that for many adoptions finalized in the 1996 Fiscal Year, the actual electronic data transmission might not occur until a subsequent year. To the extent possible, adoption transmissions received from FY 1997 through FY 1999 on an adoption finalized in FY 1996 have been included in the 1996 adoption data file, but the adoption count should not be considered an absolute, final count. Data submissions in the years after FY 1999 may contain a number of 1996 adoptions, which will lead to small increases in the final count. To account for this updating of the data, there will be new annual releases of these data.

Creating the Foster Care File

To produce an annual database of foster care children, the Children’s Bureau must first compare the information sent by states for each of the two AFCARS report periods (October-March and April-September) in that fiscal year. On a state-by-state basis, the Children’s Bureau creates interim extract files, matching case records across the two reporting periods. Through matching and extraction, an unduplicated annual file is created for each state. Finally, the state files are combined to create the annual database.

Each year this same process is used to construct an annual database from the semi-annual A and B files. Here are the basic principles of AFCARS reporting and analysis, which will help you understand the construction of an annual database:

- As long as a child is in foster care, the state must submit an AFCARS record for every report period during which the child is in care. When the child is discharged from foster care, the state will submit the child’s record for that report period, along with the discharge information.
- Each child’s AFCARS record has a “Date of Latest Removal.” This is the date the child entered foster care for the current episode. As long as the child remains in foster care without being discharged, this date of latest removal will not change.
- AFCARS extract files identify, match, and capture unique records across the two report periods, to avoid having more than one record for the same foster care child in the total annual database. The extract file excludes duplicate records that matched between two files.
- Focusing on the child as the unit of analysis, the annual database will include only the last record received for a child served. This means that if a child is in care or comes into care at the start of the year, exits care, and then later returns to care in the second half of the year, the record representing this child in the annual database will be the one submitted in the second report period when the child has returned to care .

The construction of the fiscal year 1996 annual database began with the creation of five separate

files using the 96A and 96B datasets from a particular state: 2 discharge files and 3 entry files.

From the state's 96A dataset, only one file, "Dis96A," with all foster care children discharged during the 96A report period was created.

From the State's 96B dataset, four other files were created:

- "E/96Ainc" file of children who entered care before the start of 96A and were still in care at the close of 96B
- "E96Ainc" file of children who entered care during 96A and were still in care at the close of 96B
- "E96Binc" file of children who entered care during 96B and were still in care at the close of 96B
- "Dis96B" file of children who were discharged during 96B

Confidentiality Protections for Children in the AFCARS

Before distributing the AFCARS data to the public, NDACAN staff make two data manipulations to the foster care data to protect the confidentiality of the children in the data files. First, geographic FIPS codes for the children from counties with fewer than 1,000 children in foster care are removed and given a FIPS code of 8, which means "Not provided for reasons of confidentiality". Second, the child's day of birth is recoded to correspond to the week of birth. For example, children born from the first to the seventh day of the month will all have a day of birth equal to 1.

County FIPS codes and child's day of birth are not reported to AFCARS. Therefore, no adjustments were necessary to assure confidentiality of the data.

State Footnotes

In addition to the required data elements states are encouraged (but not required) to provide footnote information with their data submissions. The footnotes allow states to provide additional information they deem vital to the interpretation of their data. The footnotes may include the following:

- General characteristics of the state's adoption and foster care system.
- Characteristics of the population, whether certain types of placements are included.
- State definitions that vary from the federal AFCARS definition.
- Explanations for data counts such as the number of deaths in foster care, the number of children with disabilities, or the number of children in types of institutional settings.

More information about the technical implementation of AFCARS can be found at <http://www.acf.dhhs.gov/programs/oss/afcars!/afcars.htm>

DESCRIPTION OF THE DATA FILES

NDACAN distributes these data as SAS transport or SPSS portable files. Other file formats and data subsets can be prepared by special request. Please refer to the NDACAN order form, web site, or call for more information.

File Characteristics

NDACAN distributes two files for this study. Brief descriptions of the data files are provided below. For information regarding variables, please refer to the codebook information in Appendices A and B. Frequencies and summary statistics are available from the NDACAN web site. For each file the child represents the unit of analysis.

FOSTER96

This data file contains 89 variables and 335,836 cases representing data from 17 states, including the District of Columbia. Information is provided on child demographics including gender, birth, race, and ethnicity, as well as information on the number of previous stays in foster care, service goals, availability for adoption, duration of care, funding sources and information on the biological and foster parents.

ADOPT96

This data file contains 45 variables and 16,010 cases representing data from 38 states, including the District of Columbia and Puerto Rico. Information is provided on child demographics including gender, birth, race, and ethnicity, as well as some information on disability or special needs of the child, funding sources, and information on the adoptive parents.

Notes Regarding the Data Files

In using these data, one should be aware of the following:

- In the adoption data file, each record should represent a unique child whose adoption was finalized during the fiscal year.
- There is some duplication of the foster care files, primarily amongst the discharge records; however, it is estimated to be less than 2%.
- Many states extracted their data from "legacy" (old) information systems or new information systems under development.
- The state footnotes (Appendix C) associated with each state should always be taken into account when utilizing data contained in the states. Footnotes specific to particular data elements can also be found in the variable information appendices.
- Information on child discharges are extracted from the subsequent period after the close of a fiscal year for inclusion in the fiscal year under review, therefore an undercount of discharges

is believed to be minimal.

- Differing state policies have an impact on how information is categorized and reported and any attempt to compare states should be sensitive to these differences.

Please contact the Archive directly if you have questions or encounter problems in using this dataset.

BIBLIOGRAPHY

The following references are not meant to be an exhaustive or representative list of documents produced from and related to the dataset. They are meant to provide the researcher with a starting point to begin an investigation of relevant aspects of the data.

Materials Related to the AFCARS

Palmiero, A. (1998, September). *Adoption and Foster Care Reporting System*. Paper presented at the meeting of State Automated Child Welfare Information System(SACWIS), Washington, DC.

Federal Register/67912, Vol. 58, No. 244 (1993).

Hargrove, J. Maza, P., & Gaudiosi, J. (1996, July). *Analysis of Child Welfare Data*. Paper presented at the meeting of the 36th annual National Association for Welfare Research and Statistics, San Francisco, CA.

Health and Human Services, Children's Bureau (1995, September) *Guide to the Elements*.
<http://www.ndacan.cornell.edu/holdingstable.html>

Tatara, T. (1993). *Characteristics of Children in Substitute and Adoptive Care*. The American Public Welfare Association, Washington, D.C.

Related Policy Documentation

Available from the Children's Bureau policy retrieval Web page:

<http://www.acf.dhhs.gov/programs/cb/policy/search.htm>

- 45 CFR 1355.40 (Final Rules)
- ACYF- PIQ-94-01, issued 7/8/94 (Questions and Answers Clarifying Data Elements)
- ACYF- PIQ-95-01, issued 5/8/95 (Questions and Answers Clarifying Data Elements)
- ACYF-95-IM-95-32, issued 9/18/95 (Addition of Foster Care Data Element: Amount of Monthly Foster Care Payment)

Related Technical Bulletins

Available from the Office of State Systems Web page:

<http://www.acf.dhhs.gov/programs/oss/>

- #003, AFCARS Optional Explanatory Footnotes, July 1994
- #011, Questions to Guide Footnote Preparation (May 15, 1995)

Related Web Site Information

- Children's Bureau, AFCARS information and statistics:
<http://www.acf.dhhs.gov/programs/cb/stats/index.htm>
- Children's Bureau:
<http://www.acf.dhhs.gov/programs/cb/>
- Office of State Systems:
<http://www.acf.dhhs.gov/programs/oss/>
- Children's Bureau Policy Retrieval:
<http://www.acf.dhhs.gov/programs/cb/policy/search.htm>

APPENDIX A: FOSTER CARE VARIABLE INFORMATION

This appendix consists of three sections. The first and second are lists of all the data elements in the FOSTER96 data file, sorted alphabetically and by element number, respectively. The third section provides a description of the foster care data elements. The elements are arranged in the order found in FOSTER96. For each element, the element number, variable name, variable label, and variable format is provided on the first line. A more extensive description of the variable follows with any state footnotes specific to the element. Finally, variable values and their corresponding labels are listed as appropriate.

The text of the footnotes were submitted by the states and are presented as is.

Foster Care Data Elements: Sorted Alphabetically

Element #	Variable	Label	Page
31	AACHILD	Alcohol Abuse Child	33
29	AAPARENT	Alcohol Abuse Parent	32
38	ABANDMNT	Abandonment	36
17	AGEADOPT	Age At Adoption	26
43	CASEGOAL	Most Recent Case Plan Goal	39
34	CHBEHPRB	Child Behavior Problem	34
33	CHILDIS	Child Disability	34
10	CLINDIS	Diagnosed Disability	23
45	CTK1YR	Year of Birth of 1st Caretaker	40
50	CTK1YR	Year of Birth of 1 st Foster Caretaker	42
46	CTK2YR	Year of Birth 2nd Caretaker	41
51	CTK2YR	Year of Birth 2 nd Foster Caretaker	43
44	CTKFAMST	Caretaker Family Structure	40
41	CURPLSET	Current Placement Setting	37
23d	CURSETDA	Placement Date, Day	30
23m	CURSETMO	Placement Date, Month	30
23y	CURSETYR	Placement Date, Year	30
32	DACHILD	Drug Abuse Child	34
30	DAPARENT	Drug Abuse Parent	33
58	DISREASN	Discharge Reason	46
20d	DLSTFCDA	Discharge Date, Day	28
20m	DLSTFCMO	Discharge Date, Month	28
20y	DLSTFCYR	Discharge Date, Year	28
06m	DOBMO	Child's Date of Birth, Month	21
06w	DOBWK	Child's Date of Birth, Day	21
06y	DOBYR	Child's Date of Birth, Year	21
56d	DODFCDA	Discharge Day	45
56m	DODFCMO	Discharge Month	45
56y	DODFCYR	Discharge Year	45
57d	DODTRNDA	Discharge Transaction Day	45
57m	DODTRNMO	Discharge Transaction Month	45
57y	DODTRNYR	Discharge Transaction Year	45
14	DSMIII	Emotionally Disturbed	25

16	EVERADPT	Child Adopted	26
66	FCMNTPAY	Amount of Monthly Foster Care Payment	49
03	FIPS	Local Agency FIPS Code	17
49	FOSFAMST	Foster Family Structure	42
09	HISORGIN	Hispanic Origin	23
53	HOFCCCK1	Hispanic Origin of 1st Foster Caretaker	43
55	HOFCCCK2	Hispanic Origin of 2nd Foster Caretaker	44
40	HOUSING	Inadequate Housing	37
61	IVAAFDC	Title IVA	47
62	IVDCHSUP	Title IVD	47
60	IVEAA	Title IVE Adoption	47
59	IVEFC	Title IVE Foster Care	46
21d	LATREMDA	Latest Removal Date, Day	29
21m	LATREMMO	Latest Removal Date, Month	29
21y	LATREMYR	Latest Removal Date, Year	28
25	MANREM	Removal Manner	31
11	MR	Mental Retardation	24
28	NEGLECT	Neglect	32
65	NOA	None of the Above	48
37	NOCOPE	Caretaker Inability Cope	35
24	NUMPLEP	Previous Placement Settings	30
15	OTHERMED	Other Diagnosed Condition	25
05d	PEDREVDA	Date Of Most Recent Periodic Review, Day	20
05m	PEDREVMO	Date Of Most Recent Periodic Review, Month	20
05y	PEDREVYR	Date Of Most Recent Periodic Review, Year	20
26	PHYABUSE	Physical Abuse	31
13	PHYDIS	Physically Disabled	25
42	PLACEOUT	Out Of State Placement	38
48d	PRTDADDA	TPR Father, Day	42
48m	PRTDADMO	TPR Father, Month	42
48y	PRTDADYR	TPR Father, Year	41
47d	PRTMOMDA	TPR Mother, Day	41
47m	PRTMOMMO	TPR Mother, Month	41
47y	PRTMOMYR	TPR Mother, Year	41
35	PRTSDIED	Parent Death	35
36	PRTSJAIL	Parent Incarceration	35

08	RACE	Child Race	22
04	RECNUMBR	Record Number	19
39	RELINQSH	Relinquishment	36
18d	REM1DA	First Removal Date, Day	27
18m	REM1MO	First Removal Date, Month	27
18y	REM1YR	First Removal Date, Year	27
22d	REMTRNDA	Removal Transaction Date, Day	30
22m	REMTRNMO	Removal Transaction Date, Month	30
22y	REMTRNYR	Removal Transaction Date, Year	29
02m	REPDATMO	Report End Date, Month	17
02y	REPDATYR	Report End Date, Year	17
52	RFCCTK1	Race of 1st Foster Caretaker	43
54	RFCCTK2	Race of 2nd Foster Caretaker	44
07	SEX	Child Sex	22
27	SEXABUSE	Sexual Abuse	32
64	SSIOOTHER	SSI	48
01	STATE	State	17
19	TOTALREM	Total Number of Removals	27
12	VISHEAR	Visually Hearing Impaired	24
63	XIXMEDCD	Title XIX	48

Foster Care Data Elements: Sorted By Data Element Number

Element #	Variable	Label	Page
01	STATE	State	17
02y	REPDATYR	Report End Date, Year	17
02m	REPDATMO	Report End Date, Month	17
03	FIPS	Local Agency FIPS Code	17
04	RECNUMBR	Record Number	19
05y	PEDREVYR	Date Of Most Recent Periodic Review, Year	20
05m	PEDREVMO	Date Of Most Recent Periodic Review, Month	20
05d	PEDREVDA	Date Of Most Recent Periodic Review, Day	20
06y	DOBYR	Child's Date of Birth, Year	21
06m	DOBMO	Child's Date of Birth, Month	21
06w	DOBWK	Child's Date of Birth, Day	21
07	SEX	Child Sex	22
08	RACE	Child Race	22
09	HISORGIN	Hispanic Origin	23
10	CLINDIS	Diagnosed Disability	23
11	MR	Mental Retardation	24
12	VISHEAR	Visually Hearing Impaired	24
13	PHYDIS	Physically Disabled	25
14	DSMIII	Emotionally Disturbed	25
15	OTHERMED	Other Diagnosed Condition	25
16	EVERADPT	Child Adopted	26
17	AGEADOPT	Age At Adoption	26
18y	REM1YR	First Removal Date, Year	27
18m	REM1MO	First Removal Date, Month	27
18d	REM1DA	First Removal Date, Day	27
19	TOTALREM	Total Number of Removals	27
20y	DLSTFCYR	Discharge Date, Year	28
20m	DLSTFCMO	Discharge Date, Month	28
20d	DLSTFCDA	Discharge Date, Day	28
21y	LATREMYR	Latest Removal Date, Year	28
21m	LATREMMO	Latest Removal Date, Month	29
21d	LATREMDA	Latest Removal Date, Day	29
22y	REMTRNYR	Removal Transaction Date, Year	29

22m	REMTRNMO	Removal Transaction Date, Month	30
22d	REMTRNDA	Removal Transaction Date, Day	30
23y	CURSETYR	Placement Date, Year	30
23m	CURSETMO	Placement Date, Month	30
23d	CURSETDA	Placement Date, Day	30
24	NUMPLEP	Previous Placement Settings	30
25	MANREM	Removal Manner	31
26	PHYABUSE	Physical Abuse	31
27	SEXABUSE	Sexual Abuse	32
28	NEGLECT	Neglect	32
29	AAPARENT	Alcohol Abuse Parent	32
30	DAPARENT	Drug Abuse Parent	33
31	AACHILD	Alcohol Abuse Child	33
32	DACHILD	Drug Abuse Child	34
33	CHILDIS	Child Disability	34
34	CHBEHPRB	Child Behavior Problem	34
35	PRTSDIED	Parent Death	35
36	PRTSJAIL	Parent Incarceration	35
37	NOCOPE	Caretaker Inability Cope	35
38	ABANDMNT	Abandonment	36
39	RELINQSH	Relinquishment	36
40	HOUSING	Inadequate Housing	37
41	CURPLSET	Current Placement Setting	37
42	PLACEOUT	Out Of State Placement	38
43	CASEGOAL	Most Recent Case Plan Goal	39
44	CTKFAMST	Caretaker Family Structure	40
45	CTK1YR	Year of Birth of 1st Caretaker	40
46	CTK2YR	Year of Birth 2nd Caretaker	41
47y	PRTMOMYR	TPR Mother, Year	41
47m	PRTMOMMO	TPR Mother, Month	41
47d	PRTMOMDA	TPR Mother, Day	41
48y	PRTDADYR	TPR Father, Year	41
48m	PRTDADMO	TPR Father, Month	42
48d	PRTDADDA	TPR Father, Day	42
49	FOSFAMST	Foster Family Structure	42
50	CTK1YR	Year of Birth of 1 st Foster Caretaker	42

51	CTK2YR	Year of Birth 2 nd Foster Caretaker	43
52	RFCCTK1	Race of 1st Foster Caretaker	43
53	HOFCTK1	Hispanic Origin of 1st Foster Caretaker	43
54	RFCCTK2	Race of 2nd Foster Caretaker	44
55	HOFCTK2	Hispanic Origin of 2nd Foster Caretaker	44
56y	DODFCYR	Discharge Year	45
56m	DODFCMO	Discharge Month	45
56d	DODFCDA	Discharge Day	45
57y	DODTRNYR	Discharge Transaction Year	45
57m	DODTRNMO	Discharge Transaction Month	45
57d	DODTRNDA	Discharge Transaction Day	45
58	DISREASN	Discharge Reason	46
59	IVEFC	Title IVE Foster Care	46
60	IVEAA	Title IVE Adoption	47
61	IVAAFDC	Title IVA	47
62	IVDCHSUP	Title IVD	47
63	XIXMEDCD	Title XIX	48
64	SSIOTHER	SSI	48
65	NOA	None of the Above	48
66	FCMNTPAY	Amount of Monthly Foster Care Payment	49

Foster Care Codebook Information

The variables in this codebook are arranged in the order in which they appear in the FOSTER96 data file. The first line in the description of each of the variables gives the AFCARS Data Element Number and the name (in all capital letters), label, and format for the variable. Formats beginning with the letter "F" are numeric. Those beginning with "A" are string, or character, variables. The numbers in the format refer to the number of digits allowed for the variable. Below the first line, a brief explanation of the variable, relevant state footnotes, and the allowable values with their labels are provided. For the state footnotes, the submission period for which the note applies are indicated by "03" for March or "09" for September. The text of the footnotes were submitted by the states and are presented as is.

01 STATE State Format: F8

Identity of the State reporting on the record. Use the two digit Federal Information Processing Standards (FIPS) code for the State.

Value	Label
2	Alaska
5	Arkansas
6	California
8	Colorado
11	District of Columbia
12	Florida
17	Illinois
23	Maine
25	Massachusetts
28	Mississippi
34	New Jersey
37	North Carolina
44	Rhode Island
45	South Carolina
49	Utah
50	Vermont
53	Washington

02y REPDATYR Report End Date, Year Format: F2

The last year for the reporting period.

02m REPDATMO Report End Date, Month Format: F2

The last month for the reporting period.

03 FIPS Local Agency FIPS Code Format: F8

Identity of the county or equivalent unit which has responsibility for the case. The 5 digit Federal Information Processing Standard (FIPS) must be used. For FIPS regions with fewer than 1000 children in foster care, the FIPS code has been replaced with a value of "8," meaning that the FIPS code is not being provided to protect the confidentiality of the children in the region.

State Footnotes

- FL 03,09 Where the service area includes multiple counties, the child's residence county is used if among the counties served, else the home office county is used.
- RI 03,09 RI currently has one central office from where all placements are made this being Providence.
- WI 03 In addition to reporting by county, WI reports cases by tribe. So far we have been unable to determine whether or not FIPS codes have been assigned for them.mm559603f16 although WI does track adoption placements of children

Value	Label
8	Not provided for reasons of confidentiality
9	Missing
2020	Anchorage Borough
6001	Alameda County
6007	Butte County
6013	Contra Costa County
6019	Fresno County
6029	Kern County
6037	Los Angeles County
6059	Orange County
6065	Riverside County
6067	Sacramento County
6071	San Bernardino county
6073	San Diego County
6075	San Francisco County
6077	San Joaquin County
6085	Santa Clara County
6099	Stanislaus County
6107	Tulare County
6111	Ventura County
8001	Adams County
8005	Arapahoe County
8031	Denver County
8041	El Paso County
11001	District of Columbia
12011	Broward County
12025	Dade County

12031 Duval County
 12033 Escambia County
 12057 Hillsborough County
 12095 Orange County
 12099 Palm Beach County
 12103 Pinellas County
 12105 Polk County
 17007 Boone County
 17031 Cook County
 17089 Kane County
 17097 Lake County
 17143 Peoria County
 17163 St. Clair County, IL
 25005 Bristol County, MA (part)
 25009 Essex County, MA (part)
 25013 Hampden County, MA (part)
 25015 Hampshire County, MA (part)
 25017 Middlesex County, MA (part)
 25023 Plymouth County, MA (part)
 25025 Suffolk County, MA
 25027 Worcester County, MA (part)
 34007 Camden County, NJ
 34013 Essex County
 37081 Guilford County
 37119 Mecklenburg County, NC
 44007 Providence County, RI
 49035 Salt Lake County
 53033 King County
 53053 Pierce County
 53061 Snohomish County
 53063 Spokane County

04 RECNUMBR Record Number Format: A12

The sequential number which the State uses to transmit data to the Department of Health and Human Services (DHHS) or a unique (encrypted) number which follows the child as long as he or she is in foster care. Encrypted values may appear garbled in the data file; this is not an error. The record number cannot be linked to the child's case I.D. number except at the State or local level.

State Footnotes

FL 03,09 A sequential number is created and stored in the state data base for the child.
 MA 03,09 Record number is encrypted state child identified

- NM 03,09 A unique encrypted number is assigned to each child; this unique number will follow the child as long as he or she is in foster care.
- PA 09 Record number is encrypted state child identifier number.
- SC 03,09 This data element is encrypted.

05y PEDREVYR Date Of Most Recent Periodic Review, Year Format: F2

For children who have been in care seven months or longer, enter year of the most recent administrative or court review, including dispositional hearing. For children who have been in care less than seven months, leave the field blank. An entry in this field certifies that the child's computer record is current up to this date.

State Footnotes

- HI 03 Periodic reviews are being held for all children in foster care. However, this information is currently not being inputted into the system for all cases.
- MN 03,09 MN's current foster care data system does not collect data on the date of the most recent periodic review.
- NM 03,09 Procedurally, social workers submit paperwork at the end of each month to the data entry operator. Events continue to occur, such as a citizen review board, or internal review. System updates do not occur as events occur.
- NM 03,09 A date in this field does not certify the child's computer record is current up to this date. Procedurally, it is not realistic to certify the child's computer record is current at the same time a 'review date' is entered into the system.

05m PEDREVMO Date Of Most Recent Periodic Review, Month Format: F2

For children who have been in care seven months or longer, enter month of the most recent administrative or court review, including dispositional hearing. For children who have been in care less than seven months, leave the field blank. An entry in this field certifies that the child's computer record is current up to this date.

State Footnotes

See Footnotes for 05y

05d PEDREVDA Date Of Most Recent Periodic Review, Day Format: F2

For children who have been in care seven months or longer, enter day of the most recent administrative or court review, including dispositional hearing. For children who have been in care less than seven months, leave the field blank. An entry in this field certifies that the child's computer record is current up to this date.

State Footnotes

See Footnotes for 05y

06y DOBYR Child's Date of Birth, Year Format: F2

Year of child's birth. If the child is abandoned or the date of birth is otherwise unknown, enter an approximate date of birth.

State Footnotes

NM	03,09	The automated system requires child's date of birth.
OH	03	Date-of-Birth is currently unedited in the Micro-FACIS County base systems. A service request has been released to require its entry, and to ensure the values are reasonable. Failure of this edit will then disallow the Client registration

06m DOBMO Child's Date of Birth, Month Format: F2

Month of child's birth. If the child is abandoned or the date of birth is otherwise unknown, enter an approximate date of birth.

State Footnotes

See Footnotes for 06y

06w DOBWK Child's Date of Birth, Day Format: F2

Day of child's birth. If the child is abandoned or the date of birth is otherwise unknown, enter an approximate date of birth. To protect the confidentiality of children in foster care, this variable has been recoded so that all possible days are collapsed into 4 values, representing each week of the month. The day of the month (1, 8, 15, 22) has been preserved in case the 3 date of birth variables are combined into a single variable with a date format.

State Footnotes

See Footnotes for 06y

Value	Label
1	1 st to the 7 th day
8	8 th to the 14 th day
15	15 th to the 21 st day
22	22 nd to the 31 st day

07 SEX Child Sex Format: F1

The gender of the child. Indicate as appropriate.

State Footnotes

OH 03 The sex code is currently unedited in the Micro-FACIS County base systems. A service request has been released to require its entry, and to ensure the values are reasonable. Failure of this edit will then disallow the Client registration

Value Label

1 Male
2 Female

08 RACE Child Race Format: F1

In general, a person's race is determined by how others define them or by how they define themselves. In the case of young children, parents determine the race of the child.

State Footnotes

FL 09 Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.

HI 03 HI currently collects data on ethnicity; not races. We are in the process of making the necessary modifications to the system to conform to AFCARS' definitions.

MA 03,09 Puerto Rican, Cuban, Mexican, other Hispanic coded as 5-unable to determine on FC #08 and 1-yes on FC #09

NM 03,09 If Hispanic origin is yes, then race data is not available. Data element for 2nd ethnicity will be added September 1996, July 1997.

RI 03,09 RI currently includes Hispanic as a racial group we have placed them in the unable to determine category.

SC 03,09 The system can report on three options for race: black, white, and other.

Value Label

1 White (a person of European, North African, or Middle Eastern origin).
2 Black (A person whose ancestry is any of the black racial groups of Africa).
3 American Indian/Alaskan Native (A person whose ancestry is North American, and who maintains tribal affiliation or is so recognized in the community)

- 4 Asian/Pacific Islander (A person whose origin is the Far East, Southeast Asia, the Indian Sub-continent, or the Pacific islands. This includes for example, China, India, Japan, Korea, the Philippine Islands, Samoa and Vietnam)
- 5 Unable to determine (The specific race category is "unable to determine "because the child is very young or is severely disabled and no person is available to identify the child's race).

09 HISORGIN Hispanic Origin Format: F1

Answer yes if the child is a Mexican, Puerto Rican, Cuban, Central or South American person, or person of other Spanish cultural origin regardless of race. Whether or not a person is Hispanic is determined by how others define them or how they define themselves. In the case of young children, parents determine the race of the child.

State Footnotes

- | | | |
|----|-------|---|
| FL | 09 | Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine. |
| FL | 03,09 | Effective January 17, 1996, FL began capturing ethnicity for subjects of new abuse reports. This data is not yet available for all children in care. |
| HI | 03 | HI currently collects some information related to Hispanic origin. We are in the process of making the necessary modifications to the system to conform more accurately to AFCARS' definitions. |
| RI | 03,09 | RI does not collect this information as a single data element but as an option in race identification. This number reflects cases where race was selected as Hispanic. |

Value Label

- | | |
|---|---|
| 1 | Yes |
| 2 | No |
| 3 | Unable to determine (the child is very young or is severely disabled and no person is available to determine whether or not the child is Hispanic). |

10 CLINDIS Diagnosed Disability Format: F1

Has the child been clinically diagnosed by a qualified professional as having one or more of the following: mental retardation; emotional disturbance; specific learning disability; hearing, speech or sight impairment; physical disability; or other clinically diagnosed handicap. Include regardless of whether the disability(ies) was one of the factors which led to the child's removal.

State Footnotes

FL 09 Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.

FL 03,09 Entry in state diagnosis fields is optional and does not necessarily mean there has not been a diagnosis; therefore no entry is coded as not yet determined.

MA 03,09 State disability data too unreliable to use

NM 03,09 Data for clinical diagnosis of disability is not collected. Data elements #10 - #15 will be added September 1996, July 1997.

OH 03 Also related to F11-F15, there are currently no edits to ensure the coordination of these elements, although the elements themselves are individually available. This will be corrected in planned County releases of the Micro-FACSYS software.

Value Label

- 1 Yes (A qualified professional has clinically diagnosed the child as having at least one of the disabilities listed in the definition above).
- 2 No (A qualified professional has conducted a clinical assessment of the child and has determined that the child has no disabilities).
- 3 Not Yet Determined (A clinical assessment of the child by a qualified professional has not been conducted).

11 MR Mental Retardation Format: F1

Significantly sub-average general cognitive and motor functioning existing concurrently with deficits in adaptive behavior manifested during the developmental period that adversely affect a child's/youth's socialization and learning. (Clinical diagnosis by a qualified professional).

State Footnotes

MA 03,09 State disability data too unreliable to use

Value Label

- 0 Condition does not apply
- 1 Condition applies

12 VISHEAR Visually Hearing Impaired Format: F1

Having a visual impairment that may significantly affect educational performance or development; or a hearing impairment, whether permanent or fluctuating, that adversely affects educational performance. (Clinical diagnosis by a qualified professional).

State Footnotes

MA 03,09 State disability data too unreliable to use
 RI 03,09 RI includes speech impaired in this disability group.

Value Label
 0 Condition does not apply
 1 Condition applies

13 PHYDIS Physically Disabled Format: F1

A physical condition that adversely affects the child's day-to-day motor functioning, such as cerebral palsy, spina bifida, multiple sclerosis, orthopedic impairments, and other physical disabilities. (Clinical diagnosis by a qualified professional).

State Footnotes

MA 03,09 State disability data too unreliable to use

Value Label
 0 Condition does not apply
 1 Condition applies

14 DSMIII Emotionally Disturbed Format: F1

A condition exhibiting one or more of the following characteristics over a long period of time and to a marked degree: an inability to build or maintain satisfactory interpersonal relationships; inappropriate types of behavior or feelings under normal circumstances; a general pervasive mood of unhappiness or depression; or a tendency to develop physical symptoms or fears associated with personal problems. The term includes persons who are schizophrenic or autistic. The term does not include persons who are socially maladjusted, unless it is determined that they are also seriously emotionally disturbed. The diagnosis is based on the Diagnostic and Statistical Manual of Mental Disorders (Third Edition) (DSM III) or the most recent edition. (Clinical diagnosis by a qualified professional).

State Footnotes

MA 03,09 State disability data too unreliable to use

Value Label
 0 Condition does not apply
 1 Condition applies

15 OTHERMED Other Diagnosed Condition Format: F1

Conditions other than those noted in AFCARS under types of disabilities (mental retardation, visually or hearing impaired, physically disabled, emotionally disturbed) which require special medical care such as chronic illnesses. Included are children diagnosed as HIV positive or with AIDS. (Clinical diagnosis by a qualified professional).

State Footnotes

FL 03,09 Based on state code for other developmental disability.
 MA 03,09 State disability data too unreliable to use

Value Label

0 Condition does not apply
 1 Condition applies

16 EVERADPT Child Adopted Format: F1

Has child ever been legally adopted.

State Footnotes

FL 09 Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.
 MA 03,09 Child ever adopted data not collected
 MN 03,09 MN's current foster care data system does not collect data on whether a child was "ever adopted."
 NM 03,09 Previous adoption data is not collected. Data elements #16 - #17 will be added September 1996, July 1997.
 TN 03,09 This data element is currently not being captured

Value

1
 2
 3

17 AGEADOPT Age At Adoption Format: F1

For a child in foster care system who has previously been adopted, indicate child's age in years, actual or estimated, at the time of the legalized adoption.

State Footnotes

FL 09 Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.
 MA 03,09 Age of child at prior adoption not collected
 MN 03,09 MN's current foster care data system does not collect data on the age at which a child was "ever adopted."
 TN 03,09 This data element is currently not being captured

Value Label

0 Not Applicable
 1 less than 2 years old
 2 2-5 years old

- 3 6-12 years old
- 4 13 years or older
- 5 Unable to Determine

18y REM1YR First Removal Date, Year Format: F2

Year the child was removed from home for the first time for purpose of placement in a foster care setting. If the current removal is the first removal, enter the date of the current removal.

State Footnotes

- MN 03,09 MN's current foster care data system does not collect data on the date of the first removal.
- NM 03,09 Date of removal from home is not collected. Date of first placement is used.

18m REM1MO First Removal Date, Month Format: F2

Month the child was removed from home for the first time for purpose of placement in a foster care setting. If the current removal is the first removal, enter the date of the current removal.

State Footnotes

See Footnotes for 18y

18d REM1DA First Removal Date, Day Format: F2

Day the child was removed from home for the first time for purpose of placement in a foster care setting. If the current removal is the first removal, enter the date of the current removal.

State Footnotes

See Footnotes for 18y

19 TOTALREM Total Number of Removals Format: F2

The number of times the child was removed from home, including the current removal.

State Footnotes

- MN 03,09 MN's current foster care data system does not collect data on the total number of removals to date.
- NM 03,09 Total number of removals from home are estimated based on the current system data structure. A complex program approximates the number of foster care episodes, and then estimates the total removals from home. Data conversion issues remain

OH 03 Also related to F20-F21, there are currently no edits to ensure the accuracy of the event dates. Also, backdating/predating facilities in the Micro-based County systems allow for consistency errors. Plans for F22 will also correct these.

SC 03,09 Child's disability: entry of data into this field in current system does not require a diagnosis, but is the caseworker's opinion.

20y DLSTFCYR Discharge Date, Year Format: F2

For children with prior removals, enter the year they were discharged from care for the episode immediately prior to the current episode. For children with no prior removals, leave blank.

State Footnotes

NM 03,09 Discharge date is approximated from two data elements that do not map directly. Depending on circumstances, placement termination date or loss of custody date is used.

20m DLSTFCMO Discharge Date, Month Format: F2

For children with prior removals, enter the month they were discharged from care for the episode immediately prior to the current episode. For children with no prior removals, leave blank.

State Footnotes

See Footnotes for 20y

20d DLSTFCDA Discharge Date, Day Format: F2

For children with prior removals, enter the day they were discharged from care for the episode immediately prior to the current episode. For children with no prior removals, leave blank.

State Footnotes

See Footnotes for 20y

21y LATREMYR Latest Removal Date, Year Format: F2

Year the child was last removed from his/her home for the purpose of being placed in foster care. This would be the date for the current episode or, if the child has exited foster care, the date of removal for the most recent removal.

State Footnotes

		NM 03,09	Latest removal from home is approximated from placement date, when beginning of foster care episode is determined.	
		PA 09	Counties have most of the transaction dates exceeding the 60day limit because they have been entering archival data and/or converting systems.	
21m	LATREMMO	Latest Removal Date, Month		Format: F2
		Month the child was last removed from his/her home for the purpose of being placed in foster care. This would be the date for the current episode or, if the child has exited foster care, the date of removal for the most recent removal.		
		State Footnotes		
		See Footnotes for 21y		
21d	LATREMDA	Latest Removal Date, Day		Format: F2
		Day the child was last removed from his/her home for the purpose of being placed in foster care. This would be the date for the current episode or, if the child has exited foster care, the date of removal for the most recent removal.		
		State Footnotes		
		See Footnotes for 21y		
22y	REMTRNYR	Removal Transaction Date, Year		Format: F2
		A computer-generated date which accurately indicates the year the response to "Date of Latest Removal From Home" was entered into the information system.		
		State Footnotes		
		MN 03,09	MN's current foster care data system is not able to collect data on the removal transaction date.	
		NM 03,09	Removal transaction date is not collected. Data element will be added September 1996, July 1997.	
		OH 03	A State data integrity audit also pointed out the lack of an unmodifiable transaction date stamp. The correction is under analysis at this time, but it represents a fundamental departure from the current County system architecture.	
		OK 03	A majority of subject records are out of compliance due to conversion of existing data. As this element does not accurately reflect timeliness for these records, we strongly feel they should not be subject to this error.	

		RI 03,09	RI did not record transaction dates prior to 1992. For these events prior to 1992 we are using event dates.	
		TN 03,09	This data element is currently not being captured	
22m	REMTRNMO	Removal Transaction Date, Month		Format: F2
		A computer-generated date which accurately indicates the month the response to "Date of Latest Removal From Home" was entered into the information system.		
		State Footnotes		
		See Footnotes for 22y		
22d	REMTRNDA	Removal Transaction Date, Day		Format: F2
		A computer-generated date which accurately indicates the day the response to "Date of Latest Removal From Home" was entered into the information system.		
		State Footnotes		
		See Footnotes for 22y		
23y	CURSETYR	Placement Date, Year		Format: F2
		Year the child moved into the current foster home, facility, residence, shelter, institution, etc. for purposes of continued foster care.		
23m	CURSETMO	Placement Date, Month		Format: F2
		Month the child moved into the current foster home, facility, residence, shelter, institution, etc. for purposes of continued foster care.		
23d	CURSETDA	Placement Date, Day		Format: F2
		Day the child moved into the current foster home, facility, residence, shelter, institution, etc. for purposes of continued foster care.		
24	NUMPLEP	Previous Placement Settings		Format: F2
		The number of places the child has lived, including the current setting, during the current removal episode. Do not include trial home visits as a placement setting.		
		State Footnotes		
		RI 03,09	RI can only record changes in address as placement change, thus our events will currently include changes in address while placed with the same care taker.	

25 MANREM Removal Manner Format: F1

For the current placement episode for children in foster care, indicate whether the current placement agreement was voluntary, court ordered, or not yet determined.

State Footnotes

FL 09 Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.

TN 03,09 Manner removal home - both computer systems original order can be

Value Label

- 1 Voluntary (An official voluntary placement agreement has been executed between the caretaker and the agency. The placement remains voluntary even if a subsequent court order is issued to continue the child in foster care).
- 2 Court Ordered (The court has issued an order which is the basis of the child's removal).
- 3 Not Yet Determined (A voluntary placement agreement has not been signed or a court order has not been issued. This will mostly occur in very short-term cases. When either a voluntary placement agreement is signed or a court order issued, the record should be updated to reflect the manner of removal at that time).

26 PHYABUSE Physical Abuse Format: F1

As a condition associated with a child's removal from home and contact with the foster care system, alleged or substantiated physical abuse, injury or maltreatment of the child by a person responsible for the child's welfare.

State Footnotes

MA 03,09 Physical abuse data not collected

NM 03,09 Condition associated with a child's removal from home is not collected. Data elements #26 - #40 will be added September 1996, July 1997.

RI 03,09 RI collects data on abuse/neglect but does not break it down into type of abuse/neglect. Number reflects cases where removal was associated with abuse/neglect.

SC 03,09 The current system reports on physical abuse and sexual abuse combined.

Value Label

- 0 Condition does not apply
- 1 Condition applies

27 SEXABUSE Sexual Abuse Format: F1

As a condition associated with a child's removal from home and contact with the foster care system, alleged or substantiated sexual abuse or exploitation of a child by a person who is responsible for the child's welfare.

State Footnotes

MA 03,09 Sexual abuse data not collected
 RI 03,09 RI does not have this brake down of information available see F26.
 SC 03,09 The current system reports on physical abuse and sexual abuse combined.

Value Label

0 Condition does not apply
 1 Condition applies

28 NEGLECT Neglect Format: F1

As a condition associated with a child's removal from home and contact with the foster care system, alleged or substantiated negligent treatment or maltreatment, including failure to provide adequate food, clothing, shelter or care.

State Footnotes

FL 03,09 Includes state codes for neglect and mental injury.
 MA 03,09 Neglect data not collected
 RI 03,09 RI does not have this brake down of information available see F26.

Value Label

0 Condition does not apply
 1 Condition applies

29 AAPARENT Alcohol Abuse Parent Format: F1

As a condition associated with a child's removal from home and contact with the foster care system, the principal caretaker's compulsive use of alcohol that is not of a temporary nature.

State Footnotes

MA 03,09 Alcohol abuse (parent) data not collected
 MN 03,09 MN's current foster care data system collects data on child substance abuse without splitting it into drug and alcohol.

OH	03	Also applies to F30-F33, F38-F40. These are essentially Caretaker Family oriented and therefore not available for entry. They will be included in the next software release to the Counties, along with the facilities for multiple "reasons".
RI	03,09	RI does not have this brake down of information available see F26.
SC	03,09	The current system does not differentiate among types of substance abuse.
TN	03,09	This data element is currently not being captured
Value	Label	
0		Condition does not apply
1		Condition applies

30 DAPARENT Drug Abuse Parent Format: F1

As a condition associated with a child's removal from home and contact with the foster care system, the principal caretaker's compulsive use of drugs that is not of a temporary nature.

State Footnotes

MA	03,09	Drug abuse (parent) data not collected
MN	03,09	All instances of substance abuse were mapped into AFCARS alcohol abuse since alcohol is by far the most prevalent type of substance abuse noted.
RI	03,09	RI does not have this brake down of information available see F26.
SC	03,09	The current system does not differentiate among types of substance abuse.
TN	03,09	This data element is currently not being captured
Value	Label	
0		Condition does not apply
1		Condition applies

31 AACHILD Alcohol Abuse Child Format: F1

As a condition associated with a child's removal from home and contact with the foster care system, the Child's compulsive use of or need for alcohol. This element should include infants addicted at birth.

State Footnotes

MA	03,09	Alcohol abuse (child) data not collected
MN	03,09	MN's current foster care data system collects data on child substance abuse without splitting it into drug and alcohol.
RI	03,09	RI does not have this brake down of information available see F26.

TN 03,09 This data element is currently not being captured
Value Label
 0 Condition does not apply
 1 Condition applies

32 DACHILD Drug Abuse Child Format: F1

As a condition associated with a child's removal from home and contact with the foster care system, the child's compulsive use of or need for narcotics. This element should include infants addicted at birth.

State Footnotes

MA 03,09 Drug abuse (child) data not collected
 MN 03,09 All instances of substance abuse were mapped into AFCARS alcohol abuse since alcohol is by far the most prevalent type of substance abuse noted.
 RI 03,09 RI does not have this brake down of information available see F26.
 TN 03,09 This data element is currently not being captured
Value Label
 0 Condition does not apply
 1 Condition applies

33 CHILDIS Child Disability Format: F1

As a condition associated with a child's removal from home and contact with the foster care system, a clinical diagnosis by a qualified professional of one or more of the following: mental retardation; emotional disturbance; specific learning disability; hearing, speech or sight impairment; physical disability; or other clinically diagnosed handicap. Include only if the disability(ies) was at least one of the factors which led to the child's removal.

State Footnotes

MA 03,09 State disability data too unreliable to use
 RI 03,09 RI does not have this brake down of information available see F26.
Value Label
 0 Condition does not apply
 1 Condition applies

34 CHBEHPRB Child Behavior Problem Format: F1

As a condition associated with a child's removal from home and contact with the foster care system, child's behavior in the school and/or community that adversely affects socialization, learning, growth and moral development. These may include adjudicated or non-adjudicated child behavior problems. This would include the child's running away from home or other placement.

State Footnotes

FL 03,09 Includes state codes for runaway, truancy and beyond control.
 MA 03,09 Child's behavior problem data not collected
 RI 03,09 RI does not have this brake down of information available see F26.

Value Label

0 Condition does not apply
 1 Condition applies

35 PRTSDIED Parent Death Format: F1

As a condition associated with a child's removal from home and contact with the foster care system, family stress or inability to care for child due to death of a parent or caretaker.

State Footnotes

MA 03,09 Death of parent(s) data not collected
 RI 03,09 RI does not have this brake down of information available see F26.

Value Label

0 Condition does not apply
 1 Condition applies

36 PRTSJAIL Parent Incarceration Format: F1

As a condition associated with a child's removal from home and contact with the foster care system, temporary or permanent placement of a parent or caretaker in jail that adversely affects care for the child.

State Footnotes

MA 03,09 Incarceration of parent(s) data not collected
 RI 03,09 RI does not have this brake down of information available see F26.

Value Label

0 Condition does not apply
 1 Condition applies

37 NOCOPE Caretaker Inability Cope Format: F1

As a condition associated with a child's removal from home and contact with the foster care system, physical or emotional illness or disabling condition adversely affecting the caretaker's ability to care for the child.

State Footnotes

- FL 03,09 Includes state code for other dependency; other dependency includes parent deceased or incarcerated which cannot be separated under F35 and F36.
- MA 03,09 Caretaker's inability to cope data not collected
- RI 03 RI does not have this brake down of information available see F26.
- RI 03,09 RI does not have this brake down of information available see F26.

Value Label

- 0 Condition does not apply
- 1 Condition applies

38 ABANDMNT Abandonment Format: F1

As a condition associated with a child's removal from home and contact with the foster care system, the child has been left alone or with others; caretaker did not return or make whereabouts known.

State Footnotes

- MA 03,09 Abandonment data not collected
- RI 03,09 RI does not have this brake down of information available see F26.

Value Label

- 0 Condition does not apply
- 1 Condition applies

39 RELINQSH Relinquishment Format: F1

As a condition associated with a child's removal from home and contact with the foster care system, parent(s), in writing, assigned the physical and legal custody of the child to the agency for the purpose of having the child adopted.

State Footnotes

- MA 03,09 Relinquishment data not collected
- RI 03,09 RI does not have this brake down of information available see F26.

Value Label

- 0 Condition does not apply
- 1 Condition applies

40 HOUSING Inadequate Housing Format: F1

As a condition associated with a child's removal from home and contact with the foster care system, housing facilities were substandard, overcrowded, unsafe or otherwise inadequate resulting in their not being appropriate for the parents and child to reside together. Also includes homelessness.

State Footnotes

MA 03,09 Inadequate housing data not collected
 RI 03,09 RI does not have this brake down of information available see F26.
 TN 03,09 This data element is currently not being captured

Value Label

0 Condition does not apply
 1 Condition applies

41 CURPLSET Current Placement Setting Format: F1

Identify the type of setting in which the child currently lives. Types of settings include: Pre-Adoptive Home, Foster Family Home (Relative), Foster Family Home (Non-Relative), Group Home, Institution, Supervised Independent Living, Runaway, Trial Home Visit.

State Footnotes

FL 03,09 Delinquency, alcohol, drug abuse and mental health residential programs are coded as institutions because the majority would meet that definition although a few would qualify as group homes; hospitals are coded as institutions.
 FL 03,09 Relatives licensed as foster or shelter parents cannot be distinguished, therefore all family home settings are coded as non-relative; trial home visits are not captured.
 MA 03,09 Homes are not licensed but are qualified based on home study, criminal records and perpetrator searches.
 MA 03,09 Relative foster homes include blood relatives and 'kinship' relationships - persons significantly attached to a child with same intensity as a blood relative
 PA 09 PA defines Group Home as a 24 hour per day placement of a child in a nonsecure facility which serves no more than 25 children.

RI	03,09	RI group homes may have less than 7 children. R.I. has specialized Foster Homes which may or may not be relative foster homes these are being grouped in with relative foster homes as most are also this group.
SC	03,09	In some instances, the licensing data base does not differentiate group home from institutional placements.
SC	03,09	Relative placements cannot be differentiated from foster family care in some instances.
SC	03,09	Private providers of foster family care are considered child placing agencies which are designated as institutions on the licensing data base.

Value Label

- 1 Pre-Adoptive Home (A home in which the family intends to adopt the child. The family may or may not be receiving a foster care payment or an adoption subsidy on behalf of the child).
- 2 Foster Family Home (Relative) (A licensed or unlicensed home of the child's relatives regarded by the State as a foster care living arrangement for the child).
- 3 Foster Family Home (Non-Relative) (A licensed foster family home regarded by the State as a foster care living arrangement).
- 4 Group Home (A licensed or approved home providing 24-hour care for children in a small group setting that generally has from seven to twelve children).
- 5 Institution (A child care facility operated by a public or private agency and providing 24-hour care and/or treatment for children who require separation from their own homes and group living experience. These facilities may include: Child care institutions; residential treatment facilities; maternity homes; etc.)
- 6 Supervised Independent Living (An alternative traditional living arrangement where the child is under the supervision of the agency but without 24 hour adult supervision, is receiving financial support from the child welfare agency, and is in a setting which provides the opportunity for increased responsibility for self care).
- 7 Runaway (The child has run away from the foster care setting).
- 8 Trial Home Visit (The child has been in a foster care placement but, under State agency supervision, has been returned to the principal caretaker for a limited and specified period of time).

The type of setting in which the child currently lives is located in another State. Note: Only the State with the placement and care responsibility for the child should include the child in the AFCARS reporting system.

Value Label

- 1 Yes (The current placement setting is located outside of the State making the report).
- 2 No (The child continues to reside within the State making the report).

43 CASEGOAL Most Recent Case Plan Goal Format: F1

Indicate the most recent case plan goal for the child based on the latest review of the child's case plan -- whether a court review or an administrative review. If the child has been in care less than six months, enter the goal in the case record as determined by the caseworker.

State Footnotes

- | | | |
|----|-------|--|
| FL | 03,09 | State code for custody on a permanent basis to a foster parent is coded as long term foster care; relative care and guardianship cannot be distinguished from reunification. |
| RI | 03,09 | RI does not assign a case plan goal for cases open less than 6 months. RI also does not allow adoption as a case plan goal if parental rights are not already terminated. |
| SC | 03,09 | The current system posts the permanent plan as determined by the caseworker; it may or may not be the plan recommended at an administrative (foster care review board) or judicial review. |

Value Label

- 1 Reunify With Parent(s) or Principal Caretaker(s) (The goal is to keep the child in foster care for a limited time to enable the agency to work with the family with whom the child had been living prior to entering foster care in order to reestablish a stable family environment).
- 2 Live With Other Relatives (The goal is to have the child live permanently with a relative or relatives other than the ones from whom the child was removed. This could include guardianship by a relative(s)).
- 3 Adoption (The goal is to facilitate the child's adoption by relatives, foster parents or other unrelated individuals).
- 4 Long Term Foster Care (Because of specific factors or conditions, it is not appropriate or possible to return the child home or place her or him for adoption, and the goal is to maintain the child in a long term foster care placement).

- 5 Emancipation (Because of specific factors or conditions, it is not appropriate or possible to return the child home, have a child live permanently with a relative or have the child adopted; therefore, the goal is to maintain the child in a foster care setting until the child reaches the age of majority).
- 6 Guardianship (The goal is to facilitate the child's placement with an agency or unrelated caretaker, with whom he or she was not living prior to entering foster care, and whom a court of competent jurisdiction has designated as legal guardian).
- 7 Case Plan Goal Not Yet Established (No case plan goal has been established other than the care and protection of the child).

44 CTKFAMST Caretaker Family Structure Format: F1

Select from the four alternatives -- married couple, unmarried couple, single female, single male -- the category which best describes the type of adult caretaker(s) from whom the child was removed for the current foster care episode.

State Footnotes

- FL 09 Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.
- MN 03,09 MN's current foster care data system cannot report family structure in the AFCARS schema.
- NM 03,09 Caretaker family structure data not collected. Data element will be added September 1996, July 1997.
- OH 03 Also applies to F45-F48. These are the Family oriented elements that are not currently available in the current State-level database. A proposal to obtain these items is currently undergoing review in "policy" areas of the systems users.
- RI 03,09 RI is including as Single those that we categorizes as separated.

- Value Label**
- 0 Not Applicable
 - 1 Married Couple
 - 2 Unmarried Couple
 - 3 Single Female
 - 4 Single Male
 - 5 Unable to Determine

45 CTK1YR Year of Birth of 1st Caretaker Format: F2

Year that the first principal caretaker was born. If the exact year of birth is unknown, enter an estimated year of birth.

State Footnotes

MN	03,09	MN's current foster care data system does not collect data on caretakers' dates of birth.
NM	03,09	If the caretaker date of birth is not known, an estimated birth date is not entered.
RI	03,09	RI does not collect this data.

46 CTK2YR Year of Birth 2nd Caretaker Format: F2

Year that the second principal caretaker was born. If the exact year of birth is unknown, enter an estimated year of birth.

State Footnotes

MN	03,09	MN's current foster care data system does not collect data on caretakers' dates of birth.
NM	03,09	If the caretaker date of birth is not known, an estimated birth date is not entered.
RI	03,09	RI does not collect this data.

47y PRTMOMYR TPR Mother, Year Format: F2

Year that the court terminated the mother's parental rights. If the mother is known to be deceased, enter the date of death.

State Footnotes

MA	03,09	Separate data on mother's and father's termination of parent al rights data not collected, we will use our parent's rights terminated data for both mother & father
----	-------	---

47m PRTMOMMO TPR Mother, Month Format: F2

Month that the court terminated the mother's parental rights. If the mother is known to be deceased, enter the date of death.

State Footnotes

See Footnotes for 47y

47d PRTMOMDA TPR Mother, Day Format: F2

Day that the court terminated the mother's parental rights. If the mother is known to be deceased, enter the date of death.

State Footnotes

See Footnotes for 47y

48y PRTDADYR TPR Father, Year Format: F2

Year that the court terminated the father's parental rights. If the mother is known to be deceased, enter the date of death.

State Footnotes

48m PRTDADMO TPR Father, Month Format: F2

Month that the court terminated the father's parental rights. If the mother is known to be deceased, enter the date of death.

State Footnotes

See Footnotes for 48y

48d PRTDADDA TPR Father, Day Format: F2

Day that the court terminated the father's parental rights. If the mother is known to be deceased, enter the date of death.

State Footnotes

See Footnotes for 48y

49 FOSFAMST Foster Family Structure Format: F1

Select from the four alternatives -- married couple, unmarried couple, single female, single male --the category which best describes the nature of the foster parents with whom the child is living in the current foster care episode.

State Footnotes

Value	Label
0	Not Applicable
1	Married Couple
2	Unmarried Couple
3	Single Female
4	Single Male
5	Unable to Determine

50 CTK1YR Year of Birth of 1st Foster Caretaker Format: F2

Year that the first foster caretaker was born. If the exact year of birth is unknown, enter an estimated year of birth.

State Footnotes

- 51 CTK2YR Year of Birth 2nd Foster Caretaker Format: F2
- Year that the second foster caretaker was born. If the exact year of birth is unknown, enter an estimated year of birth.

State Footnotes

- 52 RFCCTK1 Race of 1st Foster Caretaker Format: F1
- In general, a person's race is determined by how others define them or by how they define themselves.

State Footnotes**Value Label**

- 0 Not Applicable
- 1 White (a person of European, North African, or Middle Eastern origin)
- 2 Black (A person whose ancestry is any of the black racial groups of Africa)
- 3 American Indian/Alaskan Native (A person whose ancestry is North American, and who maintains tribal affiliation or is so recognized in the community)
- 4 Asian/Pacific Islander (A person whose origin is the Far East, Southeast Asia, the Indian Sub-continent, or the Pacific islands. This includes for example, China, India, Japan, Korea, the Philippine Islands, Samoa and Vietnam)
- 5 Unable to determine

- 53 HOFCTK1 Hispanic Origin of 1st Foster Caretaker Format: F1
- Answer yes if the first foster caretaker is a Mexican, Puerto Rican, Cuban, Central or South American person, or person of other Spanish cultural origin regardless of race. Whether or not a person is Hispanic is determined by how others define them or how they define themselves.

State Footnotes

Value	Label
0	Not Applicable
1	Yes
2	No
3	Unable to determine

54 RFCCTK2 Race of 2nd Foster Caretaker Format: F1

In general, a person's race is determined by how others define them or by how they define themselves.

State Footnotes

Value	Label
0	Not Applicable
1	White (a person of European, North African, or Middle Eastern origin)
2	Black (A person whose ancestry is any of the black racial groups of Africa)
3	American Indian/Alaskan Native (A person whose ancestry is North American, and who maintains tribal affiliation or is so recognized in the community)
4	Asian/Pacific Islander (A person whose origin is the Far East, Southeast Asia, the Indian Sub-continent, or the Pacific islands. This includes for example, China, India, Japan, Korea, the Philippine Islands, Samoa and Vietnam)
5	Unable to determine

55 HOFCTK2 Hispanic Origin of 2nd Foster Caretaker Format: F1

Answer yes if the first foster caretaker is a Mexican, Puerto Rican, Cuban, Central or South American person, or person of other Spanish cultural origin regardless of race. Whether or not a person is Hispanic is determined by how others define them or how they define themselves.

State Footnotes

Value	Label
0	Not Applicable
1	Yes
2	No

3 Unable to determine

56y	DODFCYR	Discharge Year	Format: F2
		Year the child was discharged from foster care. If the child has not been discharged from care, leave blank.	
		State Footnotes	
56m	DODFCMO	Discharge Month	Format: F2
		Month the child was discharged from foster care. If the child has not been discharged from care, leave blank.	
		State Footnotes	
		See Footnotes for 56y	
56d	DODFCDA	Discharge Day	Format: F2
		Day the child was discharged from foster care. If the child has not been discharged from care, leave blank.	
		State Footnotes	
		See Footnotes for 56y	
57y	DODTRNYR	Discharge Transaction Year	Format: F2
		A computer generated date which accurately indicates the year the response to "Date of Discharge From Foster Care" was entered into the information system.	
		State Footnotes	
57m	DODTRNMO	Discharge Transaction Month	Format: F2
		A computer generated date which accurately indicates the month the response to "Date of Discharge From Foster Care" was entered into the information system.	
		State Footnotes	
		See Footnotes for 57y	
57d	DODTRNDA	Discharge Transaction Day	Format: F2

A computer generated date which accurately indicates the day the response to "Date of Discharge From Foster Care" was entered into the information system.

State Footnotes

See Footnotes for 57y

58 DISREASN Discharge Reason Format: F1

For child(ren) no longer in foster care, indicate outcome or reason for discharge.

State Footnotes

Value Label

- 0 Not Applicable (The child has not been discharged as of the end of the reporting period).
- 1 Reunification With Parents or Primary Caretaker(s) (The child was returned to his or her principal caretaker(s)' home).
- 2 Living With Other Relatives (The child went to live with a relative other than the one from whose home he or she was removed).
- 3 Adoption (The child was legally adopted).
- 4 Emancipation (The child reached majority according to State law by virtue of age, marriage, etc.).
- 5 Guardianship (Permanent custody of the child was awarded to an individual).
- 6 Transfer to Another Agency (Responsibility for the care of the child was awarded to another agency -- either inside or outside of the State).
- 7 Runaway (The child ran away from the foster care placement).
- 8 Death of Child (The child died while in foster care).

59 IVEFC Title IVE Foster Care Format: F1

Title IV-E foster care maintenance payments are being paid on behalf of the child.

State Footnotes

Value	Label
0	Condition does not apply
1	Condition applies

60 IVEAA Title IVE Adoption Format: F1

Title IV-E adoption subsidy is being paid on behalf of the child who is in an adoptive home, but the adoption has not been legalized.

State Footnotes

Value	Label
0	Condition does not apply
1	Condition applies

61 IVAAFDC Title IVA Format: F1

Child is living with relative(s) whose source of support is an AFDC payment for the child.

State Footnotes

Value	Label
0	Condition does not apply
1	Condition applies

62 IVDCHSUP Title IVD Format: F1

Child support funds are being paid to the State agency on behalf of the child by assignment from the receiving parent.

State Footnotes

Value Label
 0 Condition does not apply
 1 Condition applies

63 XIXMEDCD Title XIX Format: F1

Child is eligible for and may be receiving assistance under title XIX.

State Footnotes

Value Label
 0 Condition does not apply
 1 Condition applies

64 SSIOTHER SSI Format: F1

Child is receiving support under title XVI or other Social Security Act titles not included in elements 59-63.

State Footnotes

Value Label
 0 Condition does not apply
 1 Condition applies

65 NOA None of the Above Format: F1

The child is receiving support only from the State or from some other source (Federal or non-Federal) which is not included in elements 59-64.

State Footnotes

Value Label
 0 Condition does not apply
 1 Condition applies

66 FCMNTPAY Amount of Monthly Foster Care Payment Format: F5

Enter the monthly foster care payment (regardless of sources) - Enter the monthly payment paid on behalf of the child regardless of source (i.e., Federal, State, county, municipality, tribal, and private payments). If title IV-E is paid on behalf of the child the amount indicated should be the total computable amount. If the payment made on behalf of the child is not the same each month, indicated the amount of the last full monthly payment made during the reporting period. If no monthly payment has been made during the period, enter all zeros.

State Footnotes

APPENDIX B: ADOPTION VARIABLE INFORMATION

This appendix consists of three sections. The first and second are lists of all the data elements in the ADOPT96 data file, sorted alphabetically and by element number, respectively. The third section provides a description of the adoption data elements. The elements are arranged in the order found in ADOPT96. For each element, the element number, variable name, variable label, and variable format is provided on the first line. A more extensive description of the variable follows with any state footnotes specific to the element. Finally, variable values and their corresponding labels are listed as appropriate.

The text of the footnotes were submitted by the states and are presented as is.

Adoption Data Elements: Sorted Alphabetically

Element #	Variable	Label	Page
27	ADADRACE	Adoptive Father Race	68
24	ADDADYR	Adoptive Father Year of Birth	67
23	ADMOMYR	Adoptive Mother Year of Birth	67
22	ADPFAMST	Adoptive Family Structure	66
04	AGNYINVL	State Agency Involvement	58
09	AGYSPNDS	Child Special Needs	61
25	AMOMRACE	Adoptive Mother Race	67
10	BASSPNDS	Special Needs Basis	61
34	CHPLDBY	Child Placed By	71
33	CHPLDFRM	Child Placed From	70
05m	DOBMO	Child Date of Birth, Month	59
05y	DOBYR	Child Date of Birth, Year	59
17	DOBYRDAD	Father Year of Birth	64
16	DOBYRMOM	Mother Year of Birth	64
14	DSMIII	Emotionally Disturbed	63
21d	FINADPDA	Date Adoption Legalized, Day	66
21m	FINADPMO	Date Adoption Legalized, Month	66
21y	FINADPYR	Date Adoption Legalized, Year	66
31	FOSPARCH	Foster Parent	70
08	HISORGIN	Child Hispanic Origin	60
28	HODAD	Adoptive Father Hispanic Origin	69
26	HOMOM	Adoptive Mother Hispanic Origin	68
37	IVEAA	IVE Assistance	72
18	MOMARRD	Mother Married	64
36	MONAMNT	Monthly Amount	72
35	MONSUBSY	Receiving Subsidy	71
11	MR	Mental Retardation	62
32	NONREL	Non Relative	70
30	OTHEREL	Other Relative	70
15	OTHRMED	Other Diagnosed Condition	63
13	PHYDIS	Physically Disabled	63
07	RACE	Child Race	59
03	RECNUM	Record Number	58

02m	REPDATMO	Report End Date, Month	58
02y	REPDATYR	Report End Date, Year	58
06	SEX	Child Sex	59
01	STATE	State	57
29	STPARENT	Stepparent	69
20d	TPRDADDA	TPR Father, Day	66
20m	TPRDADMO	TPR Father, Month	66
20y	TPRDADYR	TPR Father, Year	65
19d	TPRMOMDA	TPR Mother, Day	65
19m	TPRMOMO	TPR Mother, Month	65
19y	TPRMOMYR	TPR Mother, Year	65
12	VISHEAR	Visual Hearing Impaired	62

Adoption Data Elements: Sorted By Element Number

Element #	Variable	Label	Page
01	STATE	State	57
02y	REPDATYR	Report End Date, Year	58
02m	REPDATMO	Report End Date, Month	58
03	RECNUM	Record Number	58
04	AGNYINVL	State Agency Involvement	58
05y	DOBYR	Child Date of Birth, Year	59
05m	DOBMO	Child Date of Birth, Month	59
06	SEX	Child Sex	59
07	RACE	Child Race	59
08	HISORGIN	Child Hispanic Origin	60
09	AGYSPNDS	Child Special Needs	61
10	BASSPNDS	Special Needs Basis	61
11	MR	Mental Retardation	62
12	VISHEAR	Visual Hearing Impaired	62
13	PHYDIS	Physically Disabled	63
14	DSMIII	Emotionally Disturbed	63
15	OTHRMED	Other Diagnosed Condition	63
16	DOBYRMOM	Mother Year of Birth	64
17	DOBYRDAD	Father Year of Birth	64
18	MOMARRD	Mother Married	64
19y	TPRMOMYR	TPR Mother, Year	65
19m	TPRMOMO	TPR Mother, Month	65
19d	TPRMOMDA	TPR Mother, Day	65
20y	TPRDADYR	TPR Father, Year	65
20m	TPRDADMO	TPR Father, Month	66
20d	TPRDADDA	TPR Father, Day	66
21y	FINADPYR	Date Adoption Legalized, Year	66
21m	FINADPMO	Date Adoption Legalized, Month	66
21d	FINADPDA	Date Adoption Legalized, Day	66
22	ADPFAMST	Adoptive Family Structure	66
23	ADMOMYR	Adoptive Mother Year of Birth	67
24	ADDADYR	Adoptive Father Year of Birth	67
25	AMOMRACE	Adoptive Mother Race	67

26	HOMOM	Adoptive Mother Hispanic Origin	68
27	ADADRACE	Adoptive Father Race	68
28	HODAD	Adoptive Father Hispanic Origin	69
29	STPARENT	Stepparent	69
30	OTHEREL	Other Relative	70
31	FOSPARCH	Foster Parent	70
32	NONREL	Non Relative	70
33	CHPLDFRM	Child Placed From	70
34	CHPLDBY	Child Placed By	71
35	MONSUBSY	Receiving Subsidy	71
36	MONAMNT	Monthly Amount	72
37	IVEAA	IVE Assistance	72

Adoption Codebook Information

The variables in this codebook are arranged in the order in which they appear in the ADOPT96 data file. The first line in the description of each of the variables gives the AFCARS Data Element Number and the name (in all capital letters), label, and format for the variable. Formats beginning with the letter "F" are numeric. Those beginning with "A" are string, or character, variables. The numbers in the format refer to the number of digits allowed for the variable. Below the first line, a brief explanation of the variable, relevant state footnotes, and the allowable values with their labels are provided. For the state footnotes, the submission period for which the note applies are indicated by "03" for March or "09" for September. The text of the footnotes were submitted by the states and are presented as is.

01 STATE State Format: F2

Identity of the State reporting on the record. Use the two digit Federal Information Processing Standards (FIPS) code for the State.

State Footnotes

MI 09 LD footnote for element 1/fips code

Value Label

4	Arizona
5	Arkansas
6	California
8	Colorado
10	Delaware
11	District of Columbia
12	Florida
13	Georgia
15	Hawaii
16	Idaho
17	Illinois
18	Indiana
19	Iowa
21	Kentucky
22	Louisiana
23	Maine
24	Maryland
25	Massachusetts
27	Minnesota
28	Mississippi
30	Montana
31	Nebraska
34	New Jersey
35	New Mexico
37	North Carolina

- 39 Ohio
- 40 Oklahoma
- 41 Oregon
- 42 Pennsylvania
- 44 Rhode Island
- 46 South Dakota
- 47 Tennessee
- 48 Texas
- 49 Utah
- 50 Vermont
- 53 Washington
- 55 Wisconsin
- 72 Puerto Rico

02y REPDATYR Report End Date, Year Format: F4

The last year for the reporting period.

02m REPDATMO Report End Date, Month Format: F2

The last month for the reporting period.

03 RECNUM Record Number Format: A12

The sequential number which the state uses to transmit data to the Department of Health and Human Services (DHHS) or a unique (encrypted) number which follows the child as long as he or she is in foster care. Encrypted values may appear garbled in the data file; this is not an error. The record number cannot be linked to the child's case I.D. number except at the State or local level.

State Footnotes

- FL 03,09 A sequential number is created and stored in the state data base for the child.
- MA 03,09 Record number is encrypted state child identified
- NM 03,09 A unique encrypted number is assigned to each child; this unique number will follow the child as long as he or she is in foster care.

04 AGNYINVL State Agency Involvement Format: F1

Indicate whether the State Title IV-B/IV-E agency had any involvement in the adoption, that is, whether the adopted child belongs to one of the following categories: (1) a child who had been in foster care under the responsibility and care of the State child welfare agency and who was subsequently adopted whether special needs or not and whether a subsidy was provided or not; (2) a special needs child who was adopted in the State, whether or not he/she was in the public foster care system prior to his/her adoption and for whom non-recurring expenses were reimbursed; or (3) a child for whom an adoption assistance payment or service is being provided based on arrangement made by or through the State agency.

State Footnotes

NM 03,09 The state automated system only tracks title IV-B/IV-E agency adoptions. Private adoption data is handled manually. Procedures would need to be modified to collect and store private adoption data in the automated system.

Value Label

1 Yes
2 No

05y DOBYR Child Date of Birth, Year Format: F4

Month of the child's birth. If the child is abandoned or the date of birth is otherwise unknown, enter an approximate date of birth.

State Footnotes

NM 03,09 The automated system requires child's date of birth.

05m DOBMO Child Date of Birth, Month Format: F2

Month of the child's birth. If the child is abandoned or the date of birth is otherwise unknown, enter an approximate date of birth.

State Footnotes

See Footnotes for 05y

06 SEX Child Sex Format: F1

The gender of the person.

Value Label

1 Male
2 Female

07 RACE Child Race Format: F1

In general, a person's race is determined by how others define them or by how they define themselves. In the case of young children, parents determine the race of the child.

State Footnotes

FL	09	Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.
MA	03,09	Puerto Rican, Cuban, Mexican, other Hispanic coded as 5-unable to determine on a #07 and 1-yes on a #08
NM	03,09	If Hispanic origin is yes, then race data is not available. Data element for race will be added September 1996, July 1997.
RI	03,09	RI records Hispanic as a racial category and reports this in A08. Thus our totals in racial groups are missing these persons and may not be accurate in cross state comparisons.

Value Label

- 1 White (A person of European, North African, or Middle Eastern origin).
- 2 Black (A person whose ancestry is any of the black racial groups of Africa).
- 3 American Indian/Alaskan Native (A person whose ancestry is North American, and who maintains tribal affiliation or is so recognized in the community).
- 4 Asian/Pacific Islander (A person whose origin is the Far East, Southeast Asia, the Indian sub-continent, or the Pacific Islands. This includes for example, China, India, Japan, Korea, the Philippine Islands, Samoa and Vietnam).
- 5 Unable to Determine (The specific race category is "Unable to Determine" because the child is very young or is severely disabled and no other person is available to identify the child's race).

08 HISORGIN Child Hispanic Origin Format: F1

Answer yes if the child is a Mexican, Puerto Rican, Cuban, Central or South American person, or person of other Spanish cultural origin regardless of race. Whether or not a person is Hispanic is determined by how others define them or by how they define themselves. In the case of young children, parents determine the race of the child.

State Footnotes

FL	09	Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.
FL	03,09	Effective January 17, 1996, FL began capturing ethnicity for subjects of new abuse reports. This data is not yet available for all children in care.

RI 03,09 RI records Hispanic as a selection under race. Our numbers reflect only cases where race was indicated as Hispanic.

Value Label

- 1 Yes
- 2 No
- 3 Unable to determine (the child is very young or is severely disabled and no person is available to determine whether or not the child is Hispanic)

09 AGYSPNDS Child Special needs Format: F1

Use the State definition of special needs as it pertains to a child eligible for an adoption subsidy under Title IV-E.

State Footnotes

- MA 03,09 Special needs data too unreliable to use
- NM 03,09 NM special needs data does not map directly to AFCARS definitions. Data element will be added September 1996, July 1997.
- OH 03 Also applies to A10. The Counties are asked to state whether there is special needs, but are not required to elaborate on the type of need. Also, we do not consider Race or Age to be special needs.

Value Label

- 1 Yes
- 2 No

10 BASSPNDS Special Needs Basis Format: F1

The primary basis or condition for categorization as special needs and only as it is defined by the State.

State Footnotes

- FL 03,09 Racial origin includes black children; age includes children eight and over; conditions and disabilities includes only those where the optional state diagnosis fields have been entered.
- FL 03,09 Children meeting multiple criteria are counted according to the first which applies: disability, race, age, other.
- FL 03,09 Children of mixed race, sibling groups, and some conditions or disabilities cannot be distinguished and are included in other; the special condition of emotional tie to foster parent is also coded other.
- MA 03,09 Special needs data too unreliable to use

NM 03,09 NM special needs data does not map directly to AFCARS definitions. Data element will be added September 1996, July 1997.

- | Value | Label |
|--------------|--|
| 0 | Not Applicable |
| 1 | Racial/Original Background (The primary condition or factor for special needs is racial/original background as defined by the State) |
| 2 | Age (The primary factor or condition for special needs is age of the child as defined by the State) |
| 3 | Sibling group Member (The primary factor or condition for special needs is membership in a sibling group as defined by the State) |
| 4 | Medical Condition or Mental, Physical, Emotional Disabilities (The primary factor or condition for special needs is the child's medical condition as defined by the State, but clinically diagnosed by a qualified professional) |
| 5 | Other |

11 MR Mental Retardation Format: F1

Significantly sub-average general cognitive and motor functioning existing concurrently with deficits in adaptive behavior manifested during the developmental period that adversely affect a child/youth's socialization and learning. (Clinical diagnosis by a qualified professional).

State Footnotes

- | | | |
|----|-------|---|
| MA | 03,09 | Mental retardation data too unreliable to use |
| NM | 03,09 | Data for clinical diagnosis of disability is not collected. Adoption data elements #11 - #15 will be added September 1996, July 1997. |

- | Value | Label |
|--------------|----------------|
| 0 | Does not Apply |
| 1 | Applies |

12 VISHEAR Visual Hearing Impaired Format: F1

Having a visual impairment that may significantly affect educational performance or development; or a hearing impairment, whether permanent or fluctuating, that adversely affects educational performance. (Clinical diagnosis by a qualified professional).

State Footnotes

- | | | |
|----|-------|--|
| MA | 03,09 | Visual or hearing impaired data too unreliable to use |
| RI | 03,09 | RI includes speech impairments with visually and or hearing impaired as one group. |

		Value	Label		
		0	Does not Apply		
		1	Applies		
13	PHYDIS	Physically disabled		Format: F1	
<p>A physical condition that adversely affects the child's day-to-day motor functioning, such as cerebral palsy, spina bifida, multiple sclerosis, orthopedic impairments and other physical disabilities. (Clinical diagnosis by a qualified professional).</p>					
State Footnotes					
		MA	03,09	State disability data too unreliable to use	
		Value	Label		
		0	Does not Apply		
		1	Applies		
14	DSMIII	Emotionally Disturbed		Format: F1	
<p>A condition exhibiting one or more of the following characteristics over a long period of time and to a marked degree: an inability to build or maintain satisfactory interpersonal relationships; inappropriate types of behavior or feelings under normal circumstances; a general pervasive mood of unhappiness or depression; or a tendency to develop physical symptoms or fears associated with personal problems. The term includes persons who are schizophrenic or autistic. The term does not include persons who are socially maladjusted, unless it is determined that they are also seriously emotionally disturbed. The diagnosis is based the Diagnostic and Statistical Manual of Mental Disorders (Third Edition) (DSM III) or the most recent edition. (Clinical diagnosis by a qualified professional).</p>					
State Footnotes					
		MA	03,09	Emotionally disturbed data too unreliable to use	
		Value	Label		
		0	Does not Apply		
		1	Applies		
15	OTHRMED	Other Diagnosed Condition		Format: F1	
<p>Conditions other than those noted in AFCARS under types of disabilities (mental retardation, visually or hearing impaired, physically disabled, emotionally disturbed) which require special medical care such as chronic illnesses. Included are children diagnosed as HIV positive or with AIDS. (Clinical diagnosis by a qualified professional).</p>					
State Footnotes					
		FL	03,09	Based on state code for other developmental disability.	

MA 03,09 Other medical data too unreliable to use

Value Label
 0 Does not Apply
 1 Applies

16 DOBYRMOM Mother Year of Birth Format: F4

Year that a person was born. AFCARS Adoption data elements ask for this data on the birth parent(s) and adoptive parent(s).

State Footnotes

NM 03,09 The functionality and data elements to track birth parent data will be added September 1996, July 1997.
 OH 03 Also applies to A17-A20. We do not know at this time the ability to respond to questions on the Biological parents. Plans to include Family data at the State level are currently being formulated.
 RI 03,09 RI does not keep record of this information.
 TN 03,09 One agency's computer system has data element, but that agency does

17 DOBYRDAD Father Year of Birth Format: F4

Year that a person was born. AFCARS Adoption data elements ask for this data on the birth parent(s) and adoptive parent(s).

State Footnotes

NM 03,09 The functionality and data elements to track birth parent data will be added September 1996, July 1997.
 RI 03,09 RI does not keep record of this information.
 TN 03,09 One agency's computer system has data element, but that agency does

18 MOMARRD Mother married Format: F1

For adoption data, indicate whether the birth mother was married at time of child's birth; include common law marriage if legal in the State.

State Footnotes

FL 09 Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.
 MA 03,09 Mother married at time of child's birth not collected
 NM 03,09 The functionality and data elements to track birth parent data will be added September 1996, July 1997.
 RI 03,09 RI does not keep record of this information.

Value Label
 0 Not Applicable

- 1 Yes
- 2 No
- 3 Unable to determine (The child was abandoned and no information was available on the mother).

19y TPRMOMYR TPR Mother, Year Format: F4

The year that the court terminated the mother's parental rights. If the mother is known to be deceased, enter the date of death.

State Footnotes

MA 03,09 Separate data on mother's and father's termination of parental rights data not collected, we will use our parent's rights terminated data for both mother & father

RI 03,09 RI has this information in most cases exceptions are where adoptive parental rights may have also been terminated as this information would overwrite original dates of termination of rights.

19m TPRMOMO TPR Mother, Month Format: F2

The month that the court terminated the mother's parental rights. If the mother is known to be deceased, enter the date of death.

State Footnotes

See Footnotes for 19y

19d TPRMOMDA TPR Mother, Day Format: F2

The day that the court terminated the mother's parental rights. If the mother is known to be deceased, enter the date of death.

State Footnotes

See Footnotes for 19y

20y TPRDADYR TPR Father, Year Format: F4

The year that the court terminated the father's parental rights. If the father is known to be deceased, enter the date of death.

State Footnotes

MA 03,09 Separate data on mother's and father's termination of parental rights data not collected, we will use our parent's rights terminated data for both mother & father

		RI 03,09	RI has this information in most cases exceptions are where adoptive parental rights may have also been terminated as this information would overwrite original dates of termination of rights.	
20m	TPRDADMO	TPR Father, Month		Format: F2
			The month that the court terminated the father's parental rights. If the father is known to be deceased, enter the date of death.	
			State Footnotes	
			See Footnotes for 20y	
20d	TPRDADDA	TPR Father, Day		Format: F2
			The day that the court terminated the father's parental rights. If the father is known to be deceased, enter the date of death.	
			State Footnotes	
			See Footnotes for 20y	
21y	FINADPYR	Date Adoption Legalized, Year		Format: F4
			The year the court issued the final adoption decree.	
21m	FINADPMO	Date Adoption Legalized, Month		Format: F2
			The month the court issued the final adoption decree.	
21d	FINADPDA	Date Adoption Legalized, Day		Format: F2
			The day the court issued the final adoption decree.	
22	ADPFAMST	Adoptive Family Structure		Format: F1
			Select from the four alternatives -- married couple, unmarried couple, single female, single male -- the category which best describes the nature of the adoptive parent(s) family structure.	
			State Footnotes	
		NM 03,09	Family structure data is not collected. Data element will be added September 1996, July 1997.	
		OH 03	Also applies to A23-A28. The County system users are not required to enter the specific demographic data for the Foster Care Family members. Edits will soon be added to ensure complete data, in a Micro software release to the Counties.	
			Value Label	
			1 Married Couple	

- 2 Unmarried Couple
- 3 Single Female
- 4 Single Male
- 5 Unable to Determine

23 ADMOMYR Adoptive Mother Year of Birth Format: F4

Year that a person was born. AFCARS Adoption data elements ask for this data on the birth parent(s) and adoptive parent(s).

State Footnotes

NM 03,09 If adoptive mother date of birth is not known, an estimated birth date is not entered.

24 ADDADYR Adoptive Father Year of Birth Format: F4

Year that a person was born. AFCARS Adoption data elements ask for this data on the birth parent(s) and adoptive parent(s).

State Footnotes

NM 03,09 If adoptive father date of birth is not known, an estimated birth date is not entered.

25 AMOMRACE Adoptive Mother Race Format: F1

In general, a person's race is determined by how others define them or by how they define themselves.

State Footnotes

MA 03,09 Puerto Rican, Cuban, Mexican, other Hispanic coded as 5-unable to determine on a #25 and 1-yes on a #26

NM 03,09 If Hispanic origin is yes, then race data is not collected. Data element for 2nd ethnicity will be added September 1996, July 1997.

RI 03,09 RI records Hispanic as a racial category and reports this in A26. Thus our totals in racial groups are missing these persons and may not be accurate in cross state comparisons.

Value Label

- 0 Not Applicable
- 1 White (A person of European, North African, or Middle Eastern origin).
- 2 Black (A person whose ancestry is any of the black racial groups of Africa).
- 3 American Indian/Alaskan Native (A person whose ancestry is North American, and who maintains tribal affiliation or is so recognized in the community).

- 4 Asian/Pacific Islander (A person whose origin is the Far East, Southeast Asia, the Indian sub-continent, or the Pacific Islands. This includes for example, China, India, Japan, Korea, the Philippine Islands, Samoa and Vietnam).
- 5 Unable to Determine

26 HOMOM Adoptive Mother Hispanic Origin Format: F1

Indicate yes if adoptive mother is Mexican, Puerto Rican, Cuban, Central or South American person, or person of other Spanish cultural origin regardless of race. Whether or not a person is Hispanic is determined by how others define them or by how they define themselves. In the case of young children, parents determine the race of the child.

State Footnotes

RI 03,09 RI records Hispanic as a selection under race. Our numbers reflect only cases where race was indicated as Hispanic.

Value Label

- 0 Not Applicable
- 1 Yes
- 2 No
- 3 Unable to determine

27 ADADRACE Adoptive Father Race Format: F1

In general, a person's race is determined by how others define them or by how they define themselves.

State Footnotes

- MA 03,09 Puerto Rican, Cuban, Mexican, other Hispanic coded as 5-unable to determine on a #27 and 1-yes on a #28
- NM 03,09 If Hispanic origin is yes, then race data is not collected. Data element for 2nd ethnicity will be added September 1996, July 1997.
- RI 03,09 RI records Hispanic as a racial category and reports this in A08. Thus our totals in racial groups are missing these persons and may not be accurate in cross state comparisons.

Value Label

- 0 Not Applicable
- 1 White (A person of European, North African, or Middle Eastern origin).
- 2 Black (A person whose ancestry is any of the black racial groups of Africa).

- 3 American Indian/Alaskan Native (A person whose ancestry is North American, and who maintains tribal affiliation or is so recognized in the community).
- 4 Asian/Pacific Islander (A person whose origin is the Far East, Southeast Asia, the Indian sub-continent, or the Pacific Islands. This includes for example, China, India, Japan, Korea, the Philippine Islands, Samoa and Vietnam).
- 5 Unable to Determine

28 HODAD Adoptive Father Hispanic Origin Format: F1

Indicate yes if adoptive father is Mexican, Puerto Rican, Cuban, Central or South American person, or person of other Spanish cultural origin regardless of race. Whether or not a person is Hispanic is determined by how others define them or by how they define themselves. In the case of young children, parents determine the race of the child.

State Footnotes

RI 03,09 RI records Hispanic as a selection under race. Our numbers reflect only cases where race was indicated as Hispanic.

Value Label

- 0 Not Applicable
- 1 Yes
- 2 No
- 3 Unable to determine

29 STPARENT Stepparent Format: F1

Indicate if adoptive parent's prior relationship with the child was as a spouse of the child's birth mother or birth father.

State Footnotes

MA 03,09 Stepparent data not collected

NM 03,09 Stepparent adoption data are not collected or stored in the state information system. These are all done through private attorney's.

OH 03 Also applies to A30-A32. These questions are in regard to the relationships between the Adoptive Home and the Adopted Child. We have no such data at this time, but they will be added to the next software to the Counties.

RI 03,09 RI does not collect this data.

Value Label

- 0 Does not Apply
- 1 Applies

30 OTHEREL Other Relative Format: F1

Indicate if adoptive parent's prior relationship with child was as a relative through the birth parents by blood or marriage.

State Footnotes

RI 03,09 RI does not collect this data.

Value Label

0 Does not Apply

1 Applies

31 FOSPARCH Foster Parent Format: F1

Indicate if child was placed in a non-relative foster family home with a family which later adopted him or her. The initial placement could have been for the purpose of adoption or for the purpose of foster care.

State Footnotes

FL 03,09 Relative and non-relative are not distinguished; includes all foster parent adoptions.

RI 03,09 RI does not collect this data.

Value Label

0 Does not Apply

1 Applies

32 NONREL Non Relative Format: F1

Indicate if adoptive parent's prior relationship to child fits into none of the categories listed (Stepparent, Other Relative of Child by Birth or Marriage, Foster Parent of Child).

State Footnotes

RI 03,09 RI does not collect this data.

Value Label

0 Does not Apply

1 Applies

33 CHPLDFRM Child Placed From Format: F1

Indicate the location of the individual or agency that had custody or responsibility for the child at the time of initiation of adoption proceedings (placed from within State, another State, or another country).

State Footnotes

NM 03,09 The value for 'placed from' will always be equal to 1 - child was placed from within the state. If the child was placed from another state, that state is finalizing adoption proceedings and will have reporting responsibility.

Value Label

- 1 Within State (Responsibility for the child resided with an individual or agency within the State filling the report)
- 2 Another State (Responsibility for the child resided with an individual or agency in another State or territory of the United States)
- 3 Another Country (Immediately prior to the adoptive placement, the child was residing in another country and was not a citizen of the United States)

34 CHPLDBY Child Placed By Format: F1

Indicate the individual or agency which placed the child for adoption.

State Footnotes

MA 03,09 Placed by is always public agency
 NM 03,09 Data for 'child placed by' is not collected. Data element will be added September 1996, July 1997.
 RI 03,09 RI records only those adoptions placed by public agency.

Value Label

- 1 Public Agency (A unit of State or local government)
- 2 Private Agency (A for-profit or non-profit agency institution)
- 3 Tribal Agency (A unit within one of the Federally recognized Indian Tribes or Indian Tribal Organizations)
- 4 Independent Person (A doctor, lawyer, or some other individual)
- 5 Birth Parent (The parent(s) placed the child directly with the Adoptive parent(s))

35 MONSUBSY Receiving Subsidy Format: F1

Enter "yes" if the child was adopted with an adoption assistance agreement under which: (1) regular subsidies (Federal or State) are paid.

State Footnotes

FL 03,09 Coded yes if payment was made for maintenance subsidy - title iv-e.
 FL 03,09 Includes only children entered in the child welfare vouchersing system (CWVS) and the client information system (CIS) with the same client identification number.

NM 03,09 Private adoptions receiving a one-time adoption subsidy payment are not included. Functionality to collect these payments will be added September 1996, July 1997.

FL 03,09 Coded yes if payment was made for maintenance subsidy - title iv-e.

Value Label
 1 Yes
 2 No

36 MONAMNT Monthly Amount Format: F2

Indicate the monthly amount of the adoption subsidy rounded to the nearest dollar. Indicate "0" if the subsidy includes only benefits under titles XIX or XX of the Social Security Act.

State Footnotes

FL 03,09 Includes only children entered in the child welfare vouchering system (CWVS) and the client information system (CIS) with the same client identification number.

FL 03,09 Most recent monthly amount paid for maintenance subsidy only.

MA 03,09 Amount of subsidy not available

37 IVEAA IVE Assistance Format: F1

If element #35 is yes, indicate whether subsidy is claimed by the State for reimbursement under Title IV-E. Do not include Title IV-E non-recurring costs in this item.

State Footnotes

FL 03,09 Coded yes if payment was made for maintenance subsidy - title iv-e.

FL 03,09 Includes only children entered in the child welfare vouchering system (CWVS) and the client information system (CIS) with the same client identification number.

MA 03,09 Title IV-E adoption assistance data not available

Value Label
 1 Yes
 2 No

APPENDIX C: STATE FOOTNOTES

This appendix provides all the AFCARS footnotes submitted by the states, sorted by state and element number. The submission date for the footnote is also provided. The two dates are "199603" for March, 1996 and "199609" for September, 1996. All the footnotes listed in the codebooks from Appendices A and B are listed here again in addition to any footnotes that did not apply to specific data elements. The general state footnotes are given an element number of "00". The "A" or "F" preceding the element number indicate whether the note applies to the adoption data or the foster care data, respectively. The text of the footnotes were submitted by the states and are presented as is.

State	Submission	Element #	Footnote
California	199603,09	A00	Adoption data is late in reporting because of program changes in order to meet requirements for AFCARS.
Florida	199603,09	A03	A sequential number is created and stored in the state data base for the child.
Florida	199609	A07	Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.
Florida	199603,09	A08	Effective January 17, 1996, Florida began capturing ethnicity for subjects of new abuse reports. This data is not yet available for all children in care.
Florida	199609	A08	Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.
Florida	199603,09	A10	Racial origin includes black children; age includes children eight and over; conditions and disabilities includes only those where the optional state diagnosis fields have been entered.
Florida	199603,09	A10	Children meeting multiple criteria are counted according to the first which applies: disability, race, age, other.
Florida	199603,09	A10	Children of mixed race, sibling groups, and some conditions or disabilities cannot be distinguished and are included in other; the special condition of emotional tie to foster parent is also coded other.
Florida	199603,09	A15	Based on state code for other developmental disability.
Florida	199609	A18	Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.
Florida	199603,09	A31	Relative and non-relative are not distinguished; includes all foster parent adoptions.
Florida	199603,09	A35	Coded yes if payment was made for maintenance subsidy - title iv-e.
Florida	199603,09	A35	Includes only children entered in the child welfare vouchering system (CWVS) and the client information system (CIS) with the same client identification number.
Florida	199603,09	A36	Includes only children entered in the child welfare vouchering system (CWVS) and the client information system (CIS) with the same client identification number.

Florida	199603,09	A36	Most recent monthly amount paid for maintenance subsidy only.
Florida	199603,09	A37	Coded yes if payment was made for maintenance subsidy - title iv-e.
Florida	199603,09	A37	Includes only children entered in the child welfare vouchersing system (CWVS) and the client information system (CIS) with the same client identification number.
Florida	199603,09	F00	Relative placement records (other than long-term) are selected based on their status and living arrangement at the date of extract since history is not available; these values could vary from those during the reporting period.
Florida	199603,09	F00	Records have been selected for extraction based on actual dates in care.
Florida	199603,09	F03	Where the service area includes multiple counties, the child's residence county is used if among the counties served, else the home office county is used.
Florida	199603,09	F04	A sequential number is created and stored in the state data base for the child.
Florida	199609	F08	Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.
Florida	199603,09	F09	Effective January 17, 1996, Florida began capturing ethnicity for subjects of new abuse reports. This data is not yet available for all children in care.
Florida	199609	F09	Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.
Florida	199603,09	F10	Entry in state diagnosis fields is optional and does not necessarily mean there has not been a diagnosis; therefore no entry is coded as not yet determined.
Florida	199609	F10	Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.
Florida	199603,09	F15	Based on state code for other developmental disability.
Florida	199609	F16	Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.
Florida	199609	F17	Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.

Florida	199609	F25	Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.
Florida	199603,09	F28	Includes state codes for neglect and mental injury.
Florida	199603,09	F34	Includes state codes for runaway, truancy and beyond control.
Florida	199603,09	F37	Includes state code for other dependency; other dependency includes parent deceased or incarcerated which cannot be separated under F35 and F36.
Florida	199603,09	F41	Delinquency, alcohol, drug abuse and mental health residential programs are coded as institutions because the majority would meet that definition although a few would qualify as group homes; hospitals are coded as institutions.
Florida	199603,09	F41	Relatives licensed as foster or shelter parents cannot be distinguished, therefore all family home settings are coded as non-relative; trial home visits are not captured.
Florida	199603,09	F43	State code for custody on a permanent basis to a foster parent is coded as long term foster care; relative care and guardianship cannot be distinguished from reunification.
Florida	199609	F44	Effective report period ending 09/96, missing data is reflected as blanks rather than unable to determine.
Florida	199603,09	F58	Placement with legal guardian (not a relative) cannot be distinguished from reunification with parents.
Florida	199603,09	F58	Transfer to another agency includes juvenile justice, adult corrections, other hrs programs (not child welfare), private agencies and closure of interstate cases.
Florida	199603,09	F59	This field is coded based on iv-e eligibility of the child; if the placement is not eligible, payments will not be IV-E.
Florida	199603,09	F59	This field is coded based on iv-e eligibility of the child; if the placement is not eligible, payments will not be IV-E.
Florida	199603,09	F60	This field is coded based on iv-e eligibility of the child; if the placement is not eligible, payments will not be IV-E.
Florida	199603,09	F64	This field is coded based on SSI eligibility of the child.

Florida	199603,09	F66	Includes only children entered in the child welfare vouchering system (CWVS) and the client information system (CIS) with the same client identification number.
Florida	199603,09	F66	Most recent monthly amount paid for maintenance subsidy only.
Hawaii	199609	A00	Tested. The accuracy of the data as it exists in our system and how the data appears in transmission has not been verified and may reflect inconsistencies.
Hawaii	199609	A00	This report is being submitted primarily for the purpose of testing the transmission after conversion. Our electronic data system is still being tested and revised and the extraction program needs to be more thoroughly analyzed and
Hawaii	199603	F00	Hawaii collects data related to most elements. Only elements whose AFCARS definitions are similar to Hawaii's definitions are being reported at this time. Elements in this report include FC elements: 1-9, 23, 41-43, 49-55, 59-61, & 64.
Hawaii	199609	F00	Tested. The accuracy of the data as it exists in our system and how the data appears in transmission has not been verified and may reflect inconsistencies.
Hawaii	199609	F00	This report is being submitted primarily for the purpose of testing the transmission after conversion. Our electronic data system is still being tested and revised and the extraction program needs to be more thoroughly analyzed and
Hawaii	199603	F05	Periodic reviews are being held for all children in foster care. However, this information is currently not being inputted into the system for all cases.
Hawaii	199603	F08	Hawaii currently collects data on ethnicity; not races. We are in the process of making the necessary modifications to the system to conform to AFCARS' definitions.
Hawaii	199603	F09	Hawaii currently collects some information related to Hispanic origin. We are in the process of making the necessary modifications to the system to conform more accurately to AFCARS' definitions.
Hawaii	199603	F49	Hawaii collects data related to this element. However, this information is currently not being inputted into the system for all cases.

Hawaii	199603	F50	Hawaii collects data related to this element. However, this information is currently not being inputted into the system for all cases.
Hawaii	199603	F51	Hawaii collects data related to this element. However, this information is currently not being inputted into the system for all cases.
Hawaii	199603	F52	Hawaii collects data related to this element. However, this information is currently not being inputted into the system for all cases.
Hawaii	199603	F53	Hawaii collects data related to this element. However, this information is currently not being inputted into the system for all cases.
Hawaii	199603	F54	Hawaii collects data related to this element. However, this information is currently not being inputted into the system for all cases.
Hawaii	199603	F55	Hawaii collects data related to this element. However, this information is currently not being inputted into the system for all cases.
Hawaii	199603	F64	Currently only SSI benefits are being reported. We are in the process of making modifications to the system to collect data on other federal resources.
Kentucky	199603		Kentucky does not currently capture this date
Kentucky	199603		Kentucky code 14 (other) does not translate to an AFCARS code so it is being left blank
Kentucky	199603		Kentucky code 7 (other) does not translate to an AFCARS code so it is being left blank
Kentucky	199603		Kentucky codes for Hispanic, biracial and not reported are reported as AFCARS code 5 (unable to determine).
Kentucky	199603		Kentucky codes for biracial and not reported are reported as AFCARS code 3 (unable to determine).
Kentucky	199603		Kentucky source system for this transmission does not capture this information
Kentucky	199603		Kentucky source system for this transmission does not capture this information
Kentucky	199603		Kentucky codes for biracial and not reported are reported as AFCARS code 3 (unable to determine).
Kentucky	199603		Kentucky codes for Hispanic, biracial and not reported are reported as AFCARS code 5 (unable to determine).
Kentucky	199603		Kentucky code 7 (other) does not translate to an AFCARS code so it is being left blank

Kentucky	199603		Kentucky code 14 (other) does not translate to an AFCARS code so it is being left blank
Kentucky	199603		Kentucky does not currently capture this date
Louisiana	199609	A00	This submission does not contain ad information. We are working on this. The FC data is complete for our department, but we are missing dept. Of corrections data for this submission.
Louisiana	199609	A00	Also, we have run conversions for fields in the FC data. Some fields will not have data since they are new. Thank you.
Massachusetts	199603,09	A00	Adoptions occurring in the last 60 days of the report period will be reported in the submission for the following period
Massachusetts	199603,09	A00	Non-state agency adoptions are not included
Massachusetts	199603,09	A03	Record number is encrypted state child identified
Massachusetts	199603,09	A07	Puerto Rican, Cuban, Mexican, other Hispanic coded as 5-unable to determine on a #07 and 1-yes on a #08
Massachusetts	199603,09	A09	Special needs data too unreliable to use
Massachusetts	199603,09	A10	Special needs data too unreliable to use
Massachusetts	199603,09	A11	Mental retardation data too unreliable to use
Massachusetts	199603,09	A12	Visual or hearing impaired data too unreliable to use
Massachusetts	199603,09	A13	State disability data too unreliable to use
Massachusetts	199603,09	A14	Emotionally disturbed data too unreliable to use
Massachusetts	199603,09	A15	Other medical data too unreliable to use
Massachusetts	199603,09	A18	Mother married at time of child's birth not collected
Massachusetts	199603,09	A19	Separate data on mother's and father's termination of parental rights data not collected, we will use our parent's rights terminated data for both mother & father
Massachusetts	199603,09	A20	Separate data on mother's and father's termination of parental rights data not collected, we will use our parent's rights terminated data for both mother & father
Massachusetts	199603,09	A25	Puerto Rican, Cuban, Mexican, other Hispanic coded as 5-unable to determine on a #25 and 1-yes on a #26
Massachusetts	199603,09	A27	Puerto Rican, Cuban, Mexican, other Hispanic coded as 5-unable to determine on a #27 and 1-yes on a #28
Massachusetts	199603,09	A29	Stepparent data not collected
Massachusetts	199603,09	A34	Placed by is always public agency
Massachusetts	199603,09	A36	Amount of subsidy not available

Massachusetts	199603,09	A37	Title IV-E adoption assistance data not available
Massachusetts	199603,09	F00	Temporary method of extraction used (based on actual dates in care)
Massachusetts	199603,09	F00	Reported population includes children with mental health, mental retardation, developmental disabilities but not as their primary problem
Massachusetts	199603,09	F00	Multi-racial not tracked
Massachusetts	199603,09	F00	There should be no duplication in reported cases
Massachusetts	199603,09	F00	Population being reported does not include cases in juvenile justice system
Massachusetts	199603,09	F04	Record number is encrypted state child identified
Massachusetts	199603,09	F08	Puerto Rican, Cuban, Mexican, other Hispanic coded as 5-unable to determine on FC #08 and 1-yes on FC #09
Massachusetts	199603,09	F10	State disability data too unreliable to use
Massachusetts	199603,09	F11	State disability data too unreliable to use
Massachusetts	199603,09	F12	State disability data too unreliable to use
Massachusetts	199603,09	F13	State disability data too unreliable to use
Massachusetts	199603,09	F14	State disability data too unreliable to use
Massachusetts	199603,09	F15	State disability data too unreliable to use
Massachusetts	199603,09	F16	Child ever adopted data not collected
Massachusetts	199603,09	F17	Age of child at prior adoption not collected
Massachusetts	199603,09	F26	Physical abuse data not collected
Massachusetts	199603,09	F27	Sexual abuse data not collected
Massachusetts	199603,09	F28	Neglect data not collected
Massachusetts	199603,09	F29	Alcohol abuse (parent) data not collected
Massachusetts	199603,09	F30	Drug abuse (parent) data not collected
Massachusetts	199603,09	F31	Alcohol abuse (child) data not collected
Massachusetts	199603,09	F32	Drug abuse (child) data not collected
Massachusetts	199603,09	F33	State disability data too unreliable to use
Massachusetts	199603,09	F34	Child's behavior problem data not collected
Massachusetts	199603,09	F35	Death of parent(s) data not collected
Massachusetts	199603,09	F36	Incarceration of parent(s) data not collected
Massachusetts	199603,09	F37	Caretaker's inability to cope data not collected
Massachusetts	199603,09	F38	Abandonment data not collected
Massachusetts	199603,09	F39	Relinquishment data not collected
Massachusetts	199603,09	F40	Inadequate housing data not collected
Massachusetts	199603,09	F41	Homes are not licensed but are qualified based on home study, criminal records and perpetrator searches.

Massachusetts	199603,09	F41	Relative foster homes include blood relatives and 'kinship' relationships - persons significantly attached to a child with same intensity as a blood relative
Massachusetts	199603,09	F47	Separate data on mother's and father's termination of parent al rights data not collected, we will use our parent's rights terminated data for both mother & father
Massachusetts	199603,09	F48	Separate data on mother's and father's termination of parent al rights data not collected, we will use our parent's rights terminated data for both mother & father
Massachusetts	199603,09	F52	Race (1st foster caretaker) - Puerto Rican, Cuban, Mexican, other Hispanic coded as 5-unable to determine on #52 and as 1-yes on #53
Massachusetts	199603,09	F54	Race (2nd foster caretaker) - Puerto Rican, Cuban, Mexican, other Hispanic coded as 5-unable to determine on #54 and as 1-yes on #55
Massachusetts	199603,09	F60	Title iv-e adoption subsidy only claimed after child's adoption is legalized
Massachusetts	199603,09	F61	AFDC status of children not collected
Massachusetts	199603,09	F62	Child support status of children not collected
Massachusetts	199603,09	F63	Medicaid eligibility of children not collected
Massachusetts	199603,09	F64	SSI or other federal benefit data not collected
Michigan	199609	A00	LD general footnote
Michigan	199609	A01	LD footnote for element 1/fips code
Minnesota	199603	F00	Minnesota's data for this 9603 transmission are from the 2nd half of calendar year 1995 (for foster care only), rather than the AFCARS requested reporting p
Minnesota	199609	F00	Minnesota's data for this 9609 transmission are from the 1st half of calendar year 1996 (for foster care only), rather than the AFCARS requested reporting period.
Minnesota	199603,09	F05	Minnesota's current foster care data system does not collect data on the date of the most recent periodic review.
Minnesota	199603,09	F16	Minnesota's current foster care data system does not collect data on whether a child was "ever adopted."
Minnesota	199603,09	F17	Minnesota's current foster care data system does not collect data on the age at which a child was "ever adopted."
Minnesota	199603,09	F18	Minnesota's current foster care data system does not collect data on the date of the first removal.

Minnesota	199603,09	F19	Minnesota's current foster care data system does not collect data on the total number of removals to date.
Minnesota	199603,09	F22	Minnesota's current foster care data system is not able to collect data on the removal transaction date.
Minnesota	199603,09	F29	Minnesota's current foster care data system collects data on child substance abuse without splitting it into drug and alcohol.
Minnesota	199603,09	F30	All instances of substance abuse were mapped into AFCARS alcohol abuse since alcohol is by far the most prevalent type of substance abuse noted.
Minnesota	199603,09	F31	Minnesota's current foster care data system collects data on child substance abuse without splitting it into drug and alcohol.
Minnesota	199603,09	F32	All instances of substance abuse were mapped into AFCARS alcohol abuse since alcohol is by far the most prevalent type of substance abuse noted.
Minnesota	199603,09	F44	Minnesota's current foster care data system cannot report family structure in the AFCARS schema.
Minnesota	199603,09	F45	Minnesota's current foster care data system does not collect data on caretakers' dates of birth.
Minnesota	199603,09	F46	Minnesota's current foster care data system does not collect data on caretakers' dates of birth.
Minnesota	199603,09	F49	Minnesota's current foster care data system cannot report family structure in the AFCARS schema.
Minnesota	199603,09	F50	Minnesota's current foster care data system does not collect data on foster parents' years of birth.
Minnesota	199603,09	F51	Minnesota's current foster care data system does not collect data on foster parents' years of birth.
Minnesota	199603,09	F57	Minnesota's current foster care data system is not able to collect data on the discharge transaction date.
Minnesota	199603,09	F60	Minnesota's current foster care data system does not collect data on federal financial support types other than iv-e foster care.
Minnesota	199603,09	F60	In Minnesota, IV-E adoption support is only received by children whose adoptions are finalized, so they are in the adoptions file, not foster care.
Minnesota	199603,09	F61	Minnesota's current foster care data system does not collect data on federal financial support types other than iv-e foster care.
Minnesota	199603,09	F61	In Minnesota, no child who receives IV-E foster or adoptive care would be simultaneously eligible for IV-A.

Minnesota	199603,09	F62	Minnesota's current foster care data system does not collect data on federal financial support types other than IV-E foster care.
Minnesota	199603,09	F63	Minnesota's current foster care data system does not collect data on federal financial support types other than IV-E foster care.
Minnesota	199603,09	F63	In Minnesota, all children who receive any type of IV-E are automatically eligible for title XIX ma.
Minnesota	199603,09	F64	Minnesota's current foster care data system does not collect data on federal financial support types other than IV-E foster care.
Minnesota	199603,09	F65	Minnesota's current foster care data system does not collect data on federal financial support types other than IV-E foster care.
New Mexico	199603,09	A00	The state of New Mexico's adoption file has duplicate adoptions that were finalized in previous reporting periods. This error was procedural in nature and procedures will be corrected before the next reporting period.
New Mexico	199603,09	A00	The state of New Mexico's automated system does not track private adoption subsidy payments. The data is in manual systems. Functionality for one-time private adoption subsidy payments will be added September 1996, July 1997.
New Mexico	199603,09	A00	The state of New Mexico's automated system does not track birth parent information for adoption services. This data is only in manual systems. The functionality and data elements to track birth parent data will be added September 1996, July 1997.
New Mexico	199603,09	A00	The state of New Mexico implemented a computer system in 1984 for tracking adoption and foster care clients. Historical data is available beginning more than ten years ago for adoption data elements that map directly to AFCARS definitions
New Mexico	199603,09	A00	217 adoptions are being reported and estimates are that there were less finalized during the reporting period ending 3/31/96.
New Mexico	199609	A00	The state of new Mexico will be implementing a new tracking system called facts in July, 1997.
New Mexico	199603,09	A03	A unique encrypted number is assigned to each child; this unique number will follow the child as long as he or she is in foster care.

New Mexico	199603,09	A04	The state automated system only tracks title IV-B/IV-E agency adoptions. Private adoption data is handled manually. Procedures would need to be modified to collect and store private adoption data in the automated system.
New Mexico	199603,09	A05	The automated system requires child's date of birth.
New Mexico	199603,09	A07	If Hispanic origin is yes, then race data is not available. Data element for race will be added September 1996, July 1997.
New Mexico	199603,09	A09	New Mexico special needs data does not map directly to AFCARS definitions. Data element will be added September 1996, July 1997.
New Mexico	199603,09	A10	New Mexico special needs data does not map directly to AFCARS definitions. Data element will be added September 1996, July 1997.
New Mexico	199603,09	A11	Data for clinical diagnosis of disability is not collected. Adoption data elements #11 - #15 will be added September 1996, July 1997.
New Mexico	199603,09	A16	The functionality and data elements to track birth parent data will be added September 1996, July 1997.
New Mexico	199603,09	A17	The functionality and data elements to track birth parent data will be added September 1996, July 1997.
New Mexico	199603,09	A18	The functionality and data elements to track birth parent data will be added September 1996, July 1997.
New Mexico	199603,09	A22	Family structure data is not collected. Data element will be added September 1996, July 1997.
New Mexico	199603,09	A23	If adoptive mother date of birth is not known, an estimated birth date is not entered.
New Mexico	199603,09	A24	If adoptive father date of birth is not known, an estimated birth date is not entered.
New Mexico	199603,09	A25	If Hispanic origin is yes, then race data is not collected. Data element for 2nd ethnicity will be added September 1996, July 1997.
New Mexico	199603,09	A27	If Hispanic origin is yes, then race data is not collected. Data element for 2nd ethnicity will be added September 1996, July 1997.
New Mexico	199603,09	A29	Stepparent adoption data are not collected or stored in the state information system. These are all done through private attorney's.

New Mexico	199603,09	A33	The value for 'placed from' will always be equal to 1 - child was placed from within the state. If the child was placed from another state, that state is finalizing adoption proceedings and will have reporting responsibility.
New Mexico	199603,09	A34	Data for 'child placed by' is not collected. Data element will be added September 1996, July 1997.
New Mexico	199603,09	A35	Private adoptions receiving a one-time adoption subsidy payment are not included. Functionality to collect these payments will be added September 1996, July 1997.
New Mexico	199603,09	F00	The state of New Mexico implemented a computer system in 1984 for tracking adoption and foster care clients. Historical data is available beginning more than ten years ago for adoption data elements that map directly to AFCARS definitions
New Mexico	199603,09	F00	A complex computer program was developed to approximate the data corresponding with the foster care episode definition. Data structure issues and data integrity exceptions are not yet fully resolved.
New Mexico	199603,09	F00	The state of New Mexico does not specifically collect data for a 'foster care episode.' data is collected for service planning, with placement and termination dates.
New Mexico	199609	F00	The state of New Mexico will be implementing a new tracking system called facts in July, 1997.
New Mexico	199603,09	F04	A unique encrypted number is assigned to each child; this unique number will follow the child as long as he or she is in foster care.
New Mexico	199603,09	F05	Procedurally, social workers submit paperwork at the end of each month to the data entry operator. Events continue to occur, such as a citizen review board, or internal review. System updates do not occur as events occur.
New Mexico	199603,09	F05	A date in this field does not certify the child's computer record is current up to this date. Procedurally, it is not realistic to certify the child's computer record is current at the same time a 'review date' is entered into the system.
New Mexico	199603,09	F06	The automated system requires child's date of birth.
New Mexico	199603,09	F08	If Hispanic origin is yes, then race data is not available. Data element for 2nd ethnicity will be added September 1996, July 1997.

New Mexico	199603,09	F10	Data for clinical diagnosis of disability is not collected. Data elements #10 - #15 will be added September 1996, July 1997.
New Mexico	199603,09	F16	Previous adoption data is not collected. Data elements #16 - #17 will be added September 1996, July 1997.
New Mexico	199603,09	F18	Date of removal from home is not collected. Date of first placement is used.
New Mexico	199603,09	F19	Total number of removals from home are estimated based on the current system data structure. A complex program approximates the number of foster care episodes, and then estimates the total removals from home. Data conversion issues remain
New Mexico	199603,09	F20	Discharge date is approximated from two data elements that do not map directly. Depending on circumstances, placement termination date or loss of custody date is used.
New Mexico	199603,09	F21	Latest removal from home is approximated from placement date, when beginning of foster care episode is determined.
New Mexico	199603,09	F22	Removal transaction date is not collected. Data element will be added September 1996, July 1997.
New Mexico	199603,09	F26	Condition associated with a child's removal from home is not collected. Data elements #26 - #40 will be added September 1996, July 1997.
New Mexico	199603,09	F44	Caretaker family structure data not collected. Data element will be added September 1996, July 1997.
New Mexico	199603,09	F45	If the caretaker date of birth is not known, an estimated birth date is not entered.
New Mexico	199603,09	F46	If the caretaker date of birth is not known, an estimated birth date is not entered.
New Mexico	199603,09	F49	Foster family structure data is not collected. Data element will be added September 1996, July 1997.
New Mexico	199603,09	F50	If the caretaker date of birth is not known, an estimated birth date is not entered.
New Mexico	199603,09	F51	If the caretaker date of birth is not known, an estimated birth date is not entered.
New Mexico	199603,09	F52	If Hispanic origin is yes, then race data is not available. Data element for race will be added September 1996, July 1997.
New Mexico	199603,09	F54	If Hispanic origin is yes, then race data is not available. Data element for race will be September 1996, July 1997.

New Mexico	199603,09	F56	Discharge date is approximated from two data elements that do not map directly. Depending on circumstances, placement termination date or loss of custody date is used.
New Mexico	199603,09	F61	AFDC payment data not available in the computer system. Data element will be added September 1996, July 1997.
New Mexico	199603,09	F62	Child support data not available in the current system. An interface is required to capture this data from another system. Funding to develop this interface not yet determined. Projected September 1996, July 1997.
Ohio	199603	A09	Also applies to A10. The Counties are asked to state whether there is special needs, but are not required to elaborate on the type of need. Also, we do not consider Race or Age to be special needs.
Ohio	199603	A16	Also applies to A17-A20. We do not know at this time the ability to respond to questions on the Biological parents. Plans to include Family data at the State level are currently being formulated.
Ohio	199603	A22	Also applies to A23-A28. The County system users are not required to enter the specific demographic data for the Foster Care Family members. Edits will soon be added to ensure complete data, in a Micro software release to the Counties.
Ohio	199603	A29	Also applies to A30-A32. These questions are in regard to the relationships between the Adoptive Home and the Adopted Child. We have no such data at this time, but they will be added to the next software to the Counties.
Ohio	199603	F00	Although AFCARS is a function of SACWIS, we are forced by budgetary limitations to redesign (reorient) our 1987 FACSIS system which was not permitted to contain Family (Caretaker) data. Thus, these elements will be under-reported for a time
Ohio	199603	F06	Date-of-Birth is currently unedited in the Micro-FACSIS County base systems. A service request has been released to require its entry, and to ensure the values are reasonable. Failure of this edit will then disallow the Client registration

Ohio	199603	F07	The sex code is currently unedited in the Micro-FACSYS County base systems. A service request has been released to require its entry, and to ensure the values are reasonable. Failure of this edit will then disallow the Client registration
Ohio	199603	F10	Also related to F11-F15, there are currently no edits to ensure the coordination of these elements, although the elements themselves are individually available. This will be corrected in planned County releases of the Micro-FACSYS software.
Ohio	199603	F19	Also related to F20-F21, there are currently no edits to ensure the accuracy of the event dates. Also, backdating/predating facilities in the Micro-based County systems allow for consistency errors. Plans for F22 will also correct these.
Ohio	199603	F22	A State data integrity audit also pointed out the lack of an unmodifiable transaction date stamp. The correction is under analysis at this time, but it represents a fundamental departure from the current County system architecture.
Ohio	199603	F29	Also applies to F30-F33, F38-F40. These are essentially Caretaker Family oriented and therefore not available for entry. They will be included in the next software release to the Counties, along with the facilities for multiple "reasons".
Ohio	199603	F44	Also applies to F45-F48. These are the Family oriented elements that are not currently available in the current State-level database. A proposal to obtain these items is currently undergoing review in "policy" areas of the systems users.
Ohio	199603	F49	Also applies to F50-F55. Consistency errors involving these items stem from the lack of mandatory entries for data elements in the Foster homes demographics database at the County sites. These edits will be installed shortly.
Ohio	199603	F57	See notes on F22 - transaction date stamping is essential for fiscal prudence, and there will be Draconian modifications to the County and State systems toward that end. We hope to simultaneously evolve into the SACWIS model.
Ohio	199603	F61	Also applies to F62-F64. The SACWIS model includes a communications link to other applications for other Federally funded services. We have no such linkage but are preparing to have the Counties declare these services explicitly.

Oklahoma	199603	F00	Children with placements in tribal foster care homes and children within relative placements were not included in this data. We have submitted two questions concerning this and are awaiting resolution.
Oklahoma	199603	F22	A majority of subject records are out of compliance due to conversion of existing data. As this element does not accurately reflect timeliness for these records, we strongly feel they should not be subject to this error.
Pennsylvania	199609	F04	Record number is encrypted state child identifier number.
Pennsylvania	199609	F21	Counties have most of the transaction dates exceeding the 60day limit because they have been entering archival data and/or converting systems.
Pennsylvania	199609	F41	Pennsylvania defines Group Home as a 24 hour per day placement of a child in a nonsecure facility which serves no more than 25 children.
Pennsylvania	199609	F57	Entering discharge dates in a timely fashion (i.e. within 60days) is a new requirement for the counties. Therefore, many of the dates exceed the limit.
Pennsylvania	199609	F58	3 deaths: by accident (1), by natural causes (2).
Rhode Island	199603,09	A00	RI does not maintain a connection between the pre-adoptive record of a child and the new record created after the adoption is finalized.
Rhode Island	199603,09	A00	RI Corrected methodology for determining if child was adopted during the AFCARS period.
Rhode Island	199603,09	A07	RI records Hispanic as a racial category and reports this in A08. Thus our totals in racial groups are missing these persons and may not be accurate in cross state comparisons.
Rhode Island	199603,09	A08	RI records Hispanic as a selection under race. Our numbers reflect only cases where race was indicated as Hispanic.
Rhode Island	199603,09	A12	RI includes speech impairments with visually and or hearing impaired as one group.
Rhode Island	199603,09	A16	RI does not keep record of this information.
Rhode Island	199603,09	A17	RI does not keep record of this information.
Rhode Island	199603,09	A18	RI does not keep record of this information.
Rhode Island	199603,09	A19	RI has this information in most cases exceptions are where adoptive parental rights may have also been terminated as this information would overwrite original dates of termination of rights.

Rhode Island	199603,09	A20	RI has this information in most cases exceptions are where adoptive parental rights may have also been terminated as this information would overwrite original dates of termination of rights.
Rhode Island	199603,09	A25	RI records Hispanic as a racial category and reports this in A26. Thus our totals in racial groups are missing these persons and may not be accurate in cross state comparisons.
Rhode Island	199603,09	A26	RI records Hispanic as a selection under race. Our numbers reflect only cases where race was indicated as Hispanic.
Rhode Island	199603,09	A27	RI records Hispanic as a racial category and reports this in A08. Thus our totals in racial groups are missing these persons and may not be accurate in cross state comparisons.
Rhode Island	199603,09	A28	RI records Hispanic as a selection under race. Our numbers reflect only cases where race was indicated as Hispanic.
Rhode Island	199603,09	A29	RI does not collect this data.
Rhode Island	199603,09	A30	RI does not collect this data.
Rhode Island	199603,09	A31	RI does not collect this data.
Rhode Island	199603,09	A32	RI does not collect this data.
Rhode Island	199603,09	A34	RI records only those adoptions placed by public agency.
Rhode Island	199603,09	F03	RI currently has one central office from where all placements are made this being Providence.
Rhode Island	199603,09	F08	RI currently includes Hispanic as a racial group we have placed them in the unable to determine category.
Rhode Island	199603,09	F09	RI does not collect this information as a single data element but as an option in race identification. This number reflects cases where race was selected as Hispanic.
Rhode Island	199603,09	F12	RI includes speech impaired in this disability group.
Rhode Island	199603,09	F22	RI did not record transaction dates prior to 1992. For these events prior to 1992 we are using event dates.
Rhode Island	199603,09	F24	RI can only record changes in address as placement change, thus our events will currently include changes in address while placed with the same care taker.
Rhode Island	199603,09	F26	RI collects data on abuse/neglect but does not break it down into type of abuse/neglect. Number reflects cases where removal was associated with abuse/neglect.

Rhode Island	199603,09	F27	RI does not have this brake down of information available see F26.
Rhode Island	199603,09	F28	RI does not have this brake down of information available see F26.
Rhode Island	199603,09	F29	RI does not have this brake down of information available see F26.
Rhode Island	199603,09	F30	RI does not have this brake down of information available see F26.
Rhode Island	199603,09	F31	RI does not have this brake down of information available see F26.
Rhode Island	199603,09	F32	RI does not have this brake down of information available see F26.
Rhode Island	199603,09	F33	RI does not have this brake down of information available see F26.
Rhode Island	199603,09	F34	RI does not have this brake down of information available see F26.
Rhode Island	199603,09	F35	RI does not have this brake down of information available see F26.
Rhode Island	199603,09	F36	RI does not have this brake down of information available see F26.
Rhode Island	199603,09	F37	RI does not have this brake down of information available see F26.
Rhode Island	199603	F37	RI does not have this brake down of information available see F26.
Rhode Island	199603,09	F38	RI does not have this brake down of information available see F26.
Rhode Island	199603,09	F39	RI does not have this brake down of information available see F26.
Rhode Island	199603,09	F40	RI does not have this brake down of information available see F26.
Rhode Island	199603,09	F41	RI group homes may have less than 7 children. R.I. has specialized Foster Homes which may or may not be relative foster homes these are being grouped in with relative foster homes as most are also this group.
Rhode Island	199603,09	F43	RI does not assign a case plan goal for cases open less than 6 months. RI also does not allow adoption as a case plan goal if parental rights are not already terminated.
Rhode Island	199603,09	F44	RI is including as Single those that we categorizes as separated.
Rhode Island	199603,09	F45	RI does not collect this data.
Rhode Island	199603,09	F46	RI does not collect this data.
Rhode Island	199603,09	F49	RI does not collect this data.
Rhode Island	199603,09	F50	RI does not collect this data.
Rhode Island	199603,09	F51	RI does not collect this data.

Rhode Island	199603,09	F52	RI does not collect this data.
Rhode Island	199603,09	F53	RI does not collect this data.
Rhode Island	199603,09	F54	RI does not collect this data.
Rhode Island	199603,09	F55	RI does not collect this data.
Rhode Island	199603,09	F57	RI did not record transaction dates prior to 1992. For these events prior to 1992 we are using event dates.
Rhode Island	199603,09	F62	RI D.C.Y.F. does not record this information. Funds are distributed by another Agency and information can not be integrated in D.C.Y.F. records.
South Carolina	199603,09	F00	Adoption data is maintained on a personal computer system which is not currently linked to the other systems.
South Carolina	199603,09	F00	Some foster care data is maintained on six separate systems. Data is currently being reported from two separate systems. Five of these systems are linked.
South Carolina	199603,09	F04	This data element is encrypted.
South Carolina	199603,09	F08	The system can report on three options for race: black, white, and other.
South Carolina	199603,09	F19	Child's disability: entry of data into this field in current system does not require a diagnosis, but is the caseworker's opinion.
South Carolina	199603,09	F26	The current system reports on physical abuse and sexual abuse combined.
South Carolina	199603,09	F27	The current system reports on physical abuse and sexual abuse combined.
South Carolina	199603,09	F29	The current system does not differentiate among types of substance abuse.
South Carolina	199603,09	F30	The current system does not differentiate among types of substance abuse.
South Carolina	199603,09	F41	In some instances, the licensing data base does not differentiate group home from institutional placements.
South Carolina	199603,09	F41	Relative placements cannot be differentiated from foster family care in some instances.
South Carolina	199603,09	F41	Private providers of foster family care are considered child placing agencies which are designated as institutions on the licensing data base.
South Carolina	199603,09	F43	The current system posts the permanent plan as determined by the caseworker; it may or may not be the plan recommended at an administrative (foster care review board) or judicial review.

South Carolina	199603,09	F58	The current system does not capture AFCARS codes 5 (guardianship) and 6 (transfer to another agency).
Tennessee	199603	A00	Due to a program code problem, a new program which captures adoption
Tennessee	199603,09	A16	One agency's computer system has data element, but that agency does
Tennessee	199603,09	A17	One agency's computer system has data element, but that agency does
Tennessee	199603,09	F00	Cannot determine Hispanic culture with 100% accuracy, due to TN data
Tennessee	199603,09	F00	Tennessee is attempting to match data from (3) computer systems in (3
Tennessee	199603,09	F00	Tennessee uses the temporary method of extraction for records. We have no
Tennessee	199603,09	F00	Record numbers in the data set are sequential. Tenn. Uses adoption
Tennessee	199603,09	F16	This data element is currently not being captured
Tennessee	199603,09	F17	This data element is currently not being captured
Tennessee	199603,09	F22	This data element is currently not being captured
Tennessee	199603,09	F25	Manner removal home - both computer systems original order can be
Tennessee	199603,09	F29	This data element is currently not being captured
Tennessee	199603,09	F30	This data element is currently not being captured
Tennessee	199603,09	F31	This data element is currently not being captured
Tennessee	199603,09	F32	This data element is currently not being captured
Tennessee	199603,09	F40	This data element is currently not being captured
Tennessee	199603,09	F57	This data element is currently not being captured
Wisconsin	199603	F03	In addition to reporting by county, Wisconsin reports cases by tribe. So far we have been unable to determine whether or not FIPS codes have been assigned for them.mm559603f16 although Wisconsin does track adoption placements of children

APPENDIX D: AFCARS FINAL RULE

The complete text of the AFCARS Final Rule as it appeared in the Federal Register, 58 (244), 67912-67938.

Federal Register

Wednesday
December 22, 1993

Part II

**Department of
Health and Human
Services**

Administration for Children and Families

45 CFR Parts 1355, et al.

**Data Collection for Foster Care and
Adoption; Statewide Automated Child
Welfare Information Systems; Final Rule
and Interim Final Rule**

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Administration for Children and Families

45 CFR Parts 1355, 1356 and 1357

RIN 0970-AB&05

Title IV-B and Title IV-E of the Social Security Act: Data Collection for Foster Care and Adoption

AGENCY: Administration for Children and Families, Department of Health and Human Services.

ACTION: Final rule.

SUMMARY: The Department is issuing this final rule to implement the requirements of section 479 of the Social Security Act. This section requires the Secretary to publish regulations that implement a system for the collection of adoption and foster care data in the United States. All States that administer State plans under title IV-B and title IV-E of the Social Security Act are subject to this final rule.

EFFECTIVE DATE: This rule is effective January 21, 1994.

FOR FURTHER INFORMATION CONTACT:

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SUPPLEMENTARY INFORMATION:

I. General

This rule, generally known as the Adoption and Foster Care Analysis and Reporting System (AFCARS) is designed to collect uniform, reliable information on children who are under the responsibility of the State title IV-B/IV-E agency for placement and care. The collection of adoption and foster care data is mandated by section 479 of the Social Security Act. In order to adequately meet the intent of the law and the requirements of this regulation, the States' data collection systems for AFCARS must be computerized.

The Department of Health and Human Services (DHHS) will use this information to respond to Congressional requests for current data on children in foster care or who have been adopted, and to respond to questions and requests from other Departments and agencies, including the General Accounting Office, the Office of Management and Budget (OMB), the

DHHS Office of Inspector General, national advocacy organizations, States and other interested organizations. The Department will aggregate the data both by State and nationally and will issue summaries twice a year to each of the States and to any other group or organization on request.

The purpose for the establishment of the AFCARS is twofold: To address policy development and program management issues at both the State and Federal levels. The data will enable the Federal Government to more effectively direct and manage the national foster care and adoption assistance programs. The data will respond to the needs of the Congress, the Department and OMB for national data and information upon which to propose, develop, change and implement policy. Specifically, the Department will use these data for:

- Short and long-term budget projections;
- Trend analyses and short and long-term planning;
- Targeting areas for greater or potential technical assistance efforts, for discretionary service grants, for research and evaluation, and for regulatory change; and
- Background and justification for policy changes and legislative proposals.

The data will enable policymakers to assess the reasons why children are in foster care and develop remedies to prevent it. The data will provide information about foster care placements, adoptive parents, length of time in care, delays in termination of parental rights and placement for adoption, and identify geographic areas with special problems.

The data will also be useful for research, the ultimate purpose of which is to gain a better understanding of the foster care program and the causes and other factors contributing to its expansion and other changes; and, eventually, to make suggestions and proposals for change to improve the child welfare system.

II. Program Description

Title IV-B of the Social Security Act (the Act), Child Welfare Services, is a formula grant program. Each State receives a basic grant representing its share of \$141 million and is eligible for a share of incentive funds beyond the basic grant if it provides certain protection, as required by section 427 of the Act, for children in foster care. The basic grant and the incentive funds provide States with Federal support for a wide variety of State child welfare services including preplacement preventive services to strengthen

families and avoid placement of children, services to prevent abuse and neglect, and to provide foster care and adoption services. The basic grant and incentive funds can be used to provide services regardless of the income of the families and children who are in need of such services.

Title IV-E of the Act is an entitlement program which authorizes Federal financial participation (FFP) in the costs of State foster care maintenance and adoption assistance payments. Federal matching of State foster care maintenance payments is available for children in foster care who meet certain eligibility criteria that are based, in part, on the child's eligibility under the Aid to Families With Dependent Children (AFDC) program. The adoption assistance program under title IV-E is designed to assist States in placing "special needs" children with adoptive families through the provision of an adoption assistance payment. In order to be eligible for this program, a child must be eligible for AFDC, title IV-E foster care or Supplemental Security Income for the Blind and Disabled (SSI) and must meet the statutory definition of "a child with special needs" according to section 473(c) of the Act.

Under section 473(c), the State title IV-E agency makes a determination as to whether or not a child has special needs, according to the following factors: (1) The child cannot or should not be returned to the home of the parents; (2) there exists a specific factor or condition (such as the child's age, ethnic background, emotional, physical or mental disability, or membership in a minority or sibling group) because of which it is reasonable to conclude that the child cannot be placed for adoption without providing adoption assistance; and, (3) except where it would be against the best interests of the child, a reasonable, but unsuccessful, effort has been made to place the child without adoption assistance.

There are several Federal programs which fund foster care and adoption assistance payments and services. For FY 1993, \$2.574 billion has been appropriated for title IV-E foster care and \$279.8 million for title IV-E adoption assistance. Federal funds appropriated for child welfare services under title IV-B for the basic grant and incentive awards amount to \$294.624 million in FY 1993. Another major funding source to States for social services is the Social Services Block Grant (title XX of the Act), totaling \$2.8 billion in FY 1993. While no specific figures are available on the amounts allocated by the States to adoption and foster care services under title XX, in FY

1991, 34 States used some of these funds for adoption services and 30 States provided foster care services with these funds.

Although title IV-E of the Act is the major single source of Federal support for foster care and adoption assistance payments, over half the funds for adoption and foster care services come from State and local governments and the private sector.

According to State agency information gathered by the American Public Welfare Association (APWA) under the Voluntary Cooperative Information System (VCIS), there were approximately 442,000 children in foster care on the last day of 1992.

In 1989, the most recent year for which complete data have been analyzed, approximately 382,600 children were in foster care. Of these children, approximately 54,700 had plan for adoption and approximately 30,500 had parental rights terminated or relinquished and were waiting for adoptive homes.

III. Past and Current Data Collection Efforts

From the late 1940's through the early 1970's the Children's Bureau (and later, the former Social and Rehabilitation Services) collected data on foster care and adoption from the States on an annual and voluntary basis. When those voluntary efforts were terminated, national data on foster care and adoption were not available. However, the need for reliable and consistent data has always been a critical concern, especially for planning services and developing policy.

In 1978, the Child Abuse Prevention and Treatment and Adoption Reform Act (Pub. L. 95-266) was enacted. It required the Secretary to provide (either directly or by grant or contract) for the establishment and operation of a national adoption and foster care data gathering and analysis system (42 U.S.C. 5113). Before 1978, there had never been a legislatively mandated national data collection system for foster care and adoption with standards and methodology set by Federal law and regulation.

In 1980, landmark legislation reforming the foster care system and initiating Federal financial participation in adoption assistance payments was passed. This Act is known as the Adoption Assistance and Child Welfare Act of 1980 (Pub. L. 96-272), 42 U.S.C. 670. It contains two sections which address the subject of data collection. Section 476 of title IV-E of the Act states that, "Each State shall submit statistical reports as the Secretary may

require with respect to children for whom payments are made under this part containing information with respect to such children including legal status, demographic characteristics, location, and length of any stay in foster care." In addition, States which apply for additional incentive funds under section 427 of title IV-B must have implemented and be operating a statewide information system that can readily identify the status, demographic characteristics, location and goals for placement of every child in foster care within the preceding 12 months. This requirement applies to all children in foster care under the responsibility of the State title IV-B/IV-E agency, not just those children eligible for title IV-E payments.

As indicated in the hearings prior to the passage of Pub. L. 96-272 (see Congressional Record for July 26, 1977, and October 25 and 29, 1979), the impetus behind the passage of the Adoption Assistance and Child Welfare Act was the belief that the public child welfare system had become a receiving and holding system for children in foster care. The National Study of Social Services to Children and Their Families, conducted in 1977, documented that thousands of children remained in foster care with little hope of being reunited with their parents or placed with adoptive families. The prospect of adoption was particularly bleak if the child was a member of an ethnic or racial minority group, an older child, a member of a sibling group, or mentally or physically disabled.

Repeatedly in hearings and in testimony before the Congress, child advocates and practitioners expressed concern that the public child welfare systems in many of the States did not know how many children were actually in foster care; how long they had been in care; where they resided; their race, age, sex and special needs; or the plan for each child. They indicated that, although this was a problem at the State and local levels, national attention and incentives were needed to focus attention on this lack of information and provided ways to encourage States and localities to develop this information. If the goal of permanency for each child was to be encouraged and achieved, national attention needed to be called to the importance of knowing the locations and characteristics of children in foster care so that those who could not return home might find families through adoption.

In 1982, in response to the legislative requirements in Public Law 95-266 and Public Law 96-272, the Department, through a grant to the American Public

Welfare Association (APWA), implemented the Voluntary Cooperative Information System (VCIS) which collects aggregate information annually about children in foster care and special needs adoption from State child welfare agencies.

This voluntary system has been characterized by variation from State to State in reporting periods, the lack of common definitions for data elements and services, and inconsistent methodologies in reporting. In addition, the aggregate nature of the data limits the analyses that can be performed and limits its usefulness for purposes of planning or policy development at either the Federal or State levels.

IV. Legislation Establishing New Data Collection Requirements

Section 9943 of the Omnibus Budget Reconciliation Act (OBRA) of 1986 (Pub. L. 99-509) amended title IV-E of the Social Security Act by adding section 479. This section sets forth directives for establishing and implementing an adoption and foster care data collection system. The law requires:

(1) The establishment of an Advisory Committee to the Secretary, the composition and tasks of which are mandated by the Act. The tasks include a Report to the Secretary and to the Congress on the results of a study on the development of a data collection system;

(2) The submission to the Congress, by the Secretary, of a subsequent report that, based on the Advisory Committee's Report, recommends a method of establishing, administering and financing a system for data collection on foster care and adoption in the United States; and

(3) The promulgation of regulations that set forth the requirements governing this data collection system.

Although prior legislation authorized data collection efforts, the 1986 OBRA amendments clearly reflected Congressional interest in establishing, administering and financing a system for the collection of data with respect to adoption and foster care.

The Advisory Committee on Adoption and Foster Care Information was established by the Secretary and included representation from private, nonprofit organizations, organizations representing State and local governmental agencies, Federal agencies and other major groups interested in adoption and foster care, as required by the statute. The Advisory Committee was to:

- Identify the types of data necessary to assess on a continuing basis the

incidence, characteristics, and status of adoption and foster care in the United States;

- Develop appropriate national policies with respect to adoption and foster care data collection;
- Evaluate the feasibility and appropriateness of collecting data with respect to privately arranged adoptions and adoptions arranged through private agencies without assistance from public child welfare agencies;
- Assess the validity of various methods of collecting data with respect to adoption and foster care; and
- Evaluate the financial and administrative impact of implementing each method.

The Advisory Committee concluded its work and submitted its study findings and recommendations to the Secretary by the legislative deadline of October 1, 1987. Highlights of the report are summarized below:

- Despite some progress over the past decade, there remains a serious shortfall in the availability of adoption and foster care information, particularly for policy purposes.

- The VCIS, initiated by the Federal government in 1982 in concert with the APWA, is the major vehicle for collecting child welfare and adoption data through the voluntary participation of the States. However, not all States have provided reports over the years, reporting periods differ, common definitions and methodologies are lacking, and the nature of aggregate data limits the analyses that can be carried out.

- The VCIS should be phased out gradually so as to avoid a gap in the availability of data, and a mandatory data collection system should be created with separate components for adoption and foster care.

- Adoption data should be collected on all legalized adoptions, including relative and non-relative adoptions and adoptions under both public and private auspices, as well as privately arranged adoptions.

- Foster care data should be collected on all children under the care and responsibility of the State child welfare agency. The foster care data system should also include children placed privately in licensed private agencies.

- Foster care information should include demographic information on the child (sex, birth data, race, ethnicity, previous stays in foster care, service goals, availability for adoption, duration of care, funding sources, and what happens to the child after the period of foster care is concluded). Data on each child should also include relevant

demographic information about that child's biological and foster parents.

- Similar information should be collected for all adoptions at the time the adoption is legalized.

- Special provision needs to be made for Indian children who are affected by requirements in the Indian Child Welfare Act of 1978, 25 U.S.C. 1901, especially section 1951 mandating submission of adoption data to the Bureau of Indian Affairs (BIA) of the Department of the Interior. Indian children served by a Tribe would be reported to the BIA which would, in turn, report to ACYF.

- Individual child case data should be the basis of the data collection. The data must be kept confidential as the purpose of the data collection system is the conduct of program and policy analyses and not the tracking of individual children at the national level.

- Individual child and family identifiers should be eliminated in the data provided for Federal reporting purposes to preserve confidentiality.

- Nationwide data should be a subset of the same data used by State and local agencies in managing adoption and foster care programs on a day-to-day basis.

- Legislation should be enacted to require the Governor of each State to designate a lead institution to compile and transmit to ACYF statewide data on adoptions.

- Foster care and adoption data should be maintained in computer files at the State level and the data transmitted electronically to ACYF on a quarterly basis.

- The ACYF should generate reports on an annual basis to coincide with the Federal fiscal year. Summary reports should also be produced each quarter so data would be available for use by all States that would coincide with each State's annual fiscal period.

- There should be appropriate penalties for noncompliance and incentives to encourage timely compliance.

- Incentives should include, at a minimum, new Federal funding for 100 percent of add-on developmental expenses incurred by States in the transition to the new data collection system, plus Federal participation at 50 percent for ongoing operational costs.

- The ACYF should also provide training and technical assistance support to the States in establishing the data collection system, commencing in FY 1989. An ongoing work group should be established by ACYF so that there is consultation with appropriate State officials as well as representatives from appropriate groups on the

planning and design of the new data collection system.

- The ACYF should be encouraged to conduct a variety of special studies to complement the information compiled under the data collection system. Data from the system would contribute to the conduct of many of those studies.

The Secretary, as required by section 479(b)(1) of the Act, reviewed the Advisory Committee's report and submitted to the Congress a report with recommendations for a new system. The Secretary's report proposed a method of establishing, administering, and financing a system for the collection of data relating to adoption and foster care in the United States; evaluated the feasibility and appropriateness of collecting data with respect to privately arranged foster care placements and adoptions arranged through private agencies without assistance from public child welfare agencies; and evaluated the impact of the system on the agencies with responsibility for implementing it.

Section 479 directs the Secretary to promulgate regulations that provide for full implementation of a data collection system for adoption and foster care no later than October 1, 1991.

According to section 479, this data collection system shall:

(1) Avoid unnecessary diversion of resources from agencies responsible for adoption and foster care;

(2) Assure that any data that are collected are reliable and consistent over time and among jurisdictions through the use of uniform definitions and methodologies;

(3) Provide comprehensive national information with respect to—

- Demographic characteristics of adoptive and foster children and their biological and adoptive or foster parents;

- The status of the foster care population (including the number of children in foster care, length of placement, type of placement, availability for adoption, and goals for ending or continuing foster care);

- The number and characteristics of children placed in or removed from foster care, and children adopted or with respect to whom adoptions have been dissolved; and

- The extent and nature of assistance provided by Federal, State and local adoption and foster care programs and the characteristics of the children with respect to whom such assistance is provided; and

(4) Utilize appropriate requirements and incentives to insure that the system functions reliably throughout the United States.

V. Alternative Methodologies Considered

In deciding how to best implement the requirements of the legislation, the Department did a cost benefit analysis in which five alternatives were considered relative to AFCARS data collection. The Department's assessment of data collection alternatives was guided by the following principles with regard to data utility. It must:

- Produce national information on adoption and foster care.
- Permit meaningful State-specific analyses.
- Permit meaningful comparisons among States.
- Allow for detailed analyses which address critical child welfare policy issues.
- Not unduly burden the Federal government or the States.

The five alternatives considered were:

1. A continuation of the Voluntary Cooperative Information System Survey (VCIS) in its present form.
2. A quality control methodology which would require each State to submit monthly samples of AFCARS data.
3. A semi-annual census of AFCARS data as specified in this final rule.
4. A quarterly census of AFCARS data as originally set forth in the NPRM dated September 27, 1990.
5. A semi-annual sample of AFCARS data.

Each of these alternatives, where applicable, was evaluated on the basis of burden, timeliness, completeness, longitudinal analysis and complexity. Burden deals with the amount of resources expended by the States to satisfy the AFCARS data requirements. Timeliness pertains to the timely receipt of clean data and the timeframe for publication. Completeness addresses the total number of States participating and the number of data elements completed. Longitudinal analysis recognizes whether or not the data is collected on a case by case basis which allows for tracking of case changes over time. Complexity of the data addresses whether or not national data analysis requires a weighting methodology with its attendant limitations. These factors were applied to each alternative and scored according to a set formula.

The result of this analysis indicated that at this time, given Congress' intention with respect to AFCARS, and the noted problems with VCIS and sampling, the semi-annual census appears to be the most viable and, in the long run, the most cost effective alternative. Many States have, to some degree, existing information systems

and AFCARS will serve as a catalyst for States to develop a more complete information system or to improve an existing one. Although the semi-annual census for AFCARS data is more costly than that of VCIS or any sampling methodology, the resultant information systems and broader base of data it provides, would allow and encourage States to manage programs more effectively due to more efficient retrieval of available information within the agency. In addition, improved information flow and availability will allow for more informed policy development and, in the long run, more efficiently run programs resulting in cost savings to the States and Federal government.

VI. Summary of Major Changes in the Final Rule

Section 479 of the Social Security Act (the Act), 42 U.S.C. 679, directs the Secretary to promulgate regulations for the implementation of a system to collect data relating to adoption and foster care in the United States.

On September 27, 1990, the Department published a Notice of Proposed Rulemaking (NPRM) (55 FR 39540) that proposed that State agencies administering or supervising the administration of titles IV-B and IV-E of the Act implement data collection systems and report quarterly on data elements set forth in the proposed rule. The NPRM proposed that States report data on all children for whom the State agency was responsible who were in foster care or had been adopted.

The proposed rule was based principally on the Secretary's report and his recommendations to the Congress. The Secretary's report indicated that reporting frequency would be at least annually, and no more frequently than each quarter. The NPRM proposed quarterly reporting. All other aspects of the Secretary's proposed system were included in the NPRM.

The proposed data elements and methodology for data collection were described in Appendices to the proposed rule. Those Appendices defined the data elements and proposed the specifications for submission format, record layouts and quality standards for data, including logic edits to assess the internal consistency of the data.

The NPRM included provisions pertaining to State compliance and penalties for noncompliance. Finally, the NPRM addressed costs for the establishment and maintenance of the data collection systems and rules governing State claims for partial reimbursement through administrative cost matching under title IV-E.

Ninety-eight letters were received in response to the NPRM, including 1000 specific comments. These included comments from agencies in 49 States and the District of Columbia, as well as comments from national associations and individuals. All comments were reviewed and analyzed and form the basis of the changes in this final rule.

Eighty-one commenters expressed general agreement with the need for an adoption and foster care data reporting system. Disagreements tended to focus on particular requirements set forth in the NPRM. The issues that elicited the most frequent expressions of concern were the potential time and cost burdens on the States resulting from the time required to collect and process the data and the possible diversion of resources from services to children; the need for greater Federal support in the costs of the information system; objections to definitions of particular data elements and the overall scope of the data requested; and disagreement with the penalty structure. Many States argued that the implementation deadline was unrealistic. Several commenters questioned the need for quarterly reporting. Other concerns included:

- (1) The need for technical assistance support;
- (2) Questions about data analysis;
- (3) The need to clarify the missing data criteria; and
- (4) Questions about who reports on Indian children.

These comments have been carefully considered by the Department in reaching the decisions reflected in this final rule. The following is a discussion of the changes made in the final rule as a result of these comments.

Several major changes have been incorporated in the final rule. First, the NPRM reflected the legal mandate to begin full implementation as of October 1, 1991. However, the Department sent an Information Memorandum to the States indicating that the final rule would specify the date of actual implementation. These rules specify that the first-reporting period will begin October 1, 1994 and end March 31, 1995. The first transmission must be received in the Administration for Children and Families (ACF) no later than May 15, 1995. The six reporting periods beginning October 1, 1994 and ending September 30, 1997 will be penalty-free. The next year (covering the reporting periods October 1, 1997-March 31, 1998 and April 1, 1998-September 30, 1998) will be at half penalty and the following year, beginning with the transmission filed for the period beginning October 1,

1998, will be at full penalty. Second, the NPRM would have required quarterly reporting. Based upon comments from the States, these rules specify that the reporting frequency will be semi-annual. The semi-annual reporting periods will be as of the end of March and September for each year. The States will be required to submit reports within 45 calendar days after the end of the semi-annual periods. The data must be extracted from the State system as of the last day of each reporting period.

Third, the NPRM's proposed approach to dealing with missing data, and the relationship between missing data and penalties, has been significantly changed. The allowable amount of missing data for any data element prior to the imposition of penalties has been raised from five percent, as proposed in the NPRM, to ten percent. Certain other modifications have been made in response to the comments. These include adding "not yet determined" and "cannot be determined" to several data categories. Only a limited set of core data elements will be required for children who have been in foster care less than 30 days. Core data elements include general information about the jurisdiction, the child's demographic information (date of birth, sex and race/ethnicity), the date of latest removal from the home, the current placement setting, and the date of discharge from substitute care. For children who enter foster care prior to October 1, 1995 and who are still in the system, only core data elements will be required; however, States will also be required to report on the most recent case plan goals affecting those children. Complete adoption data must be reported only for children adopted after the implementation date of October 1, 1994. In accordance with instructions to be issued at a later date, we will require the submission of aggregate information, broken out by age of child, on children adopted prior to October 1, 1994, who are continuing to receive title IV-E subsidies.

Fourth, in order to insure timeliness of the data, the Department will require that data be entered into the State's data system within 60 days of any placement or exit event affecting a child subject to the AFCARS reporting. For each child, we will require a computer generated transaction date to accompany the date of latest removal from the home and the date of discharge from foster care. The transaction date will indicate the actual calendar date when the date of removal and the discharge date are recorded in the State's system. Ninety percent of the subject transactions must have been entered into the data system within 60

days of the event (removal from home or discharge from foster care).

Fifth, for any child in the foster care system more than seven months, the State must indicate the date of the last periodic review. When this is done, it also means that the computer record has been checked and that the data on the child have been reviewed and are current, at least as of that date.

Sixth, modifications were made in the penalty provisions in response to objections from a majority of those commenting. No penalty will be assessed on a State until the State has had an opportunity for a hearing in accordance with the requirements at 45 CFR 201.6. When such a penalty has been assessed in accordance with § 1355.40, one regularly scheduled acceptable data transmission will be considered sufficient to assure the Secretary that there will no longer be any such failure to comply. The Department believes that the penalty provisions are the only ones available under current legislation. The net effect of several of the provisions will be to ease the burden of the penalties upon the States.

Seventh, administrative funding under either title IV-B, or title IV-E for systems design, development and implementation must comply with the requirements of 45 CFR part 95, subpart F, "Automatic Data Processing Equipment and Services—Conditions for Federal Financial Participation (FFP)". Specifically, 45 CFR 95.601 identifies the conditions under which the Department will approve Federal financial participation (FFP). Cost allocation may be required under some circumstances. Cost allocation under subpart F is addressed in 45 CFR 95.631, which requires the identification of costs associated with the development and operation of ADP acquisitions.

As requested by the commenters, the Department will provide technical assistance to those States desiring it on the planning, development and implementation of the required system. The intent is to provide technical assistance through a technical assistance contract and by working with the States to define how the foster care and adoption reporting system fits into the broader framework of support service automation. In order to provide services to children, many States are now in the process of planning for, or developing a comprehensive automated support services system which focuses on case management. Other States plan to enhance an existing management information system to meet the reporting requirements of this rule.

Further, to effectively meet the statewide information system requirements of section 427 of title IV-B, States need better automation for monitoring and tracking. As States automate to meet the data reporting requirements of this rule, the Department encourages comprehensive service delivery and case management automation, rather than a simplistic data collection and reporting system which serves only to meet Federal reporting requirements. A state-of-the-art system would go beyond the delivery of management reports by providing the States with a vehicle to increase their efficiency and productivity.

The Department further encourages the States to focus on the level of automation required as an opportunity to develop automated capability which provides for consolidation and integration of children's services. For example, a State should automate every step of the process including referral, eligibility determination, assessment and analysis, placement and reporting. Proper application of automated technology can provide the State, regardless of organizational structure or funding program, with a system which provides for a single point of entry to determine eligibility regardless of whether the child is in title IV-E care or under protective services. The Department will provide guidance in the development of these comprehensive systems.

The designation and contents of the appendices included in the NPRM have been changed in this final rule. Appendix A describes and defines the Foster Care Data Elements and appendix B describes and defines the Adoption Data Elements. Appendices C and D of the NPRM have been dropped for reasons which are explained below and appendices E, F and G of the NPRM have been amended and redesignated C, D and E in this final rule. A new appendix F has been added (see § 1355.40(e) discussion below).

Certain changes have been made in the data elements in appendices A and B. For example, the following foster care data items have been dropped: Race/ethnicity of parents and school status. Categories related to the circumstances of removal from the home have been revised. Revisions were made regarding the categorization of types of disabilities. A data element on out of state placements has been added. For adoption, the child's day of birth has been dropped but the month and year will be reported; for foster care, the full date of birth will be reported.

Indian children covered under section 427 protections must be reported by the

State on the same basis as any other children.

We also are planning to add a financial data element to the appendices which would indicate the monthly amount of State and Federal foster care benefit.

We anticipate that many States will be in a position to include such data in their semiannual reporting if they decide to apply for enhanced funding which is now available for automated data systems. Further in this preamble, the discussion of § 1356.60 will provide more information on the enhanced funding statute and regulation.

We welcome and urge you to provide comments on this matter so we can take your concerns into consideration prior to making such a change.

In the interest of giving States flexibility in implementing AFCARS, we are allowing States the option of submitting data based on sampling for the first and second years. This is discussed later in this preamble.

Finally, in October 1996, the Secretary will review these regulations and the States' implementation of them to determine whether any changes are necessary.

VII. Section by Section Discussion of Comments and the Department's Response

Part 1355—General

Section 1355.20. Definitions

Comment: One commenter requested clarification of "provision of services" under the definition of adoption.

Response: The Department made no changes in the definitions. The definition of "adoption" in § 1355.20 does not mention provision of services.

Section 1355.30. Other applicable regulations

This section addresses the withholding/reduction of FFP, the evidence relevant at hearings under 45 CFR 201.6 related to the standards set forth in § 1355.40 and whether there were circumstances beyond the control of the State or political subdivisions that should be considered by the Secretary.

Comment: Two comments were received from State agencies disagreeing with the evidentiary restrictions in § 1355.30(e) because they either appeared to preclude raising other important issues or were unclear as to whether the adequacy of data submitted could also be discussed.

Response: The rule does preclude factors other than those specified from being raised in the hearing. The intent of this section is to limit the hearing to items immediately relevant to the items

set forth in § 1355.40 and to determine whether circumstances beyond the control of the State impeded the accurate or timely submission of the required data. Therefore, no changes were made.

1355.40. Foster care and adoption data collection

Paragraph (a)(1). Implementation of the adoption and foster care data collection system by October 1, 1991.

Comment: A total of 58 comments were received, including responses from 47 State agencies and four national organizations. Forty-nine commenters disagreed with the October 1, 1991 deadline. States pointed out that they must redesign their data systems, and could not complete such systems development by the deadline. Suggested start-up dates ranged from 1992 to 1995 depending on funding, technical assistance, and the availability of staff. Other suggestions addressed the provisions for mandatory adoption reporting; suggested a period of pilot testing; recommended delaying the imposition of penalties until three years after the regulations were issued; and proposed lengthening the schedule for submitting and analyzing data.

Response: The Department concurs with the arguments advanced by the States that they could not meet the schedule originally proposed for full implementation. We believe these same considerations call for a phased imposition of penalties. The final rule reflects these conclusions. The Department has determined that the first reporting period will begin October 1, 1994 and will end March 31, 1995. The first transmission must be received in ACF no later than May 15, 1995. Reports covering the period October 1, 1994 through September 30, 1997 will be penalty-free. Reports for the next year will be subject to half penalty and those for the following year, beginning with the transmission filed for the period beginning October 1, 1998, will be subject to full penalty.

Paragraph (a)(2)-(4). AFCARS includes all children under the authority of the IV-B/IV-E agency.

Comment: Two comments were received disagreeing with the proposed regulation. One commenter suggested including all foster care, adoption, abused, and neglected children in the same data collection requirement since they are essentially one population. The other commenter suggested including all private and independent adoption totals to give a true picture of adoption activity in the United States.

One commenter expressed concern about how to gather information on

ongoing cases, some of which may have sealed adoption files. It was suggested that current cases should be "grandfathered" to facilitate conversion to the system.

Response: These paragraphs have been edited for clarification and paragraph (4) of the NPRM has been incorporated into paragraph (3) of the final rule. The Department believes that the inclusion of all children in foster care in the reporting system is responsive to the legislative intent. Children who enter foster care prior to October 1, 1995 and children who are in care less than 30 days will require only a limited core set of data elements to be transmitted. For children who enter foster care prior to October 1, 1995, States will be required to report on the most recent case plan goal affecting those children. For children adopted prior to the implementation date of October 1, 1994, who are continuing to receive Federal title IV-E subsidies, only aggregate data will be required, broken out by the age of the child. The adoption provisions are as inclusive as possible under current law. There is no authority which supports the collection of information on children placed for adoption through private facilities.

Although there is no requirement in this final rule for States to include private adoptions in their AFCARS data transmissions, States are encouraged to report such data on an optional and voluntary basis. Such voluntary reports of private adoptions will use appendix B. Appendix B includes the data element set for all adoptions, not just those with which the title IV-B/IV-E agency is associated. We strongly encourage States that have the authority to collect data from courts, bureaus of vital statistics and other agencies that maintain records of adoptions to use appendix B and take advantage of the opportunity the Department is offering to process and analyze these data in the context of data for all adoptions.

We are aware of the interest of the States in maximizing the coordination of the Adoption and Foster Care Data Collection System (AFCARS) with the voluntary National Child Abuse and Neglect Data System (NCANDS). We are making every effort to insure that the data elements are consistent across AFCARS and NCANDS, although the two systems serve different purposes. Guidance will be provided to assist the States in their reporting efforts. The NCANDS is designed primarily to respond to a legislative requirement in the Child Abuse Prevention, Adoption and Family Services Act of 1988 (Pub. L. 100-294) that the Secretary establish a national data collection program

which coordinates State child abuse and neglect data and includes standardized data on false, unfounded, or unsubstantiated reports, as well as information on the number of deaths due to child abuse and neglect.

Paragraph (b)(i). Semi-annual submittals within 45 days.

Comment: There were 40 comments received, including comments from 27 State agencies and seven national organizations, concerning the appropriate reporting period. There was a wide range of disagreement. Nine State agencies recommended extending the transmission time to 60 or 90 days beyond the end of the quarter. Those agencies cited insufficient time to gather, verify and submit the data as their primary reasons for disagreement. Nine agencies disagreed entirely with quarterly reporting, and recommended semi-annual or annual reporting instead. Reasons given were the scale of the proposed data reporting system, possible fiscal penalties, and the fact that more effort would be devoted to reporting data than providing services. Those in agreement with the requirements as specified in the NPRM said that quarterly reporting makes it easier to analyze trends over time, makes the data available in a more timely fashion, and permits accounting for clients, without system modifications, for children who enter and exit the system in the same reporting period. A significant number of commenters expressed concern as to how confidentiality of the data will be maintained by the Department. A few States advocated a sampling of cases.

Response: This paragraph has been changed in accordance with comments received. The Department has carefully weighed the tradeoffs in quarterly versus semi-annual reporting (annual reporting would not be consistent with the goals set forth in the Act). On balance, the extra administrative burden on the States that would be involved in quarterly reporting outweighs the potential benefits. We believe that obtaining the data twice a year will be sufficiently timely and is more likely to optimize the goals of insuring that the data are reliable and consistent over time while avoiding the unnecessary diversion of resources for agencies responsible for adoption and foster care. The semi-annual reporting periods will close as of the end of March and September for each year. The States will be required to submit reports within 45 days after the end of each semi-annual period. The data transmitted by the State must be extracted from the State information system as of the last day of each reporting period. The first

transmission will be due by May 15, 1995 and the second by November 14, 1995.

Appendices C and D in the NPRM, "Adoption Data Elements Subsidy Cessation" and "Adoption Data Elements General Adoption," have been dropped from this final rule. "Subsidy Cessation" was dropped because it added only one additional piece of information to what we would already have, and the additional information could not justify the added effort involved in maintaining, transmitting and processing an additional report. "General Adoption" was dropped because it was decided that the same form (appendix B, section I) could be used for both the mandatory and the voluntary reporting.

The Department has decided to pursue the collection of data on all children in foster care as it is more economical for reporting and processing than reporting data on a sample of cases. The national foster care and adoption data set will accordingly be composed of data extracted from the State systems and represents a subset of data maintained in the State's data system. In reporting data and in the development of public use data files, the Department will follow the policies and procedures, relating to these activities, of the National Center for Health Statistics of the Public Health Service. In addition, in public use data files, counties or equivalent jurisdictions with small populations will be combined into one coding category.

Additional safeguards regarding confidentiality have been introduced in the final rule. The reporting number that would follow the child through every report has been dropped. Instead there will be a sequential number for each record in the transmission. The day of birth and the local agency have been deleted from the adoption data. All of these procedures will insure confidentiality in any data released for research or analysis.

Paragraphs (b)(2)-(3). Timeliness of data entry and reporting.

Comment: Forty-two comments were received, including 30 from State agencies and seven from national organizations. The majority of those disagreeing with the requirement were State agencies concerned that having to take a "snap shot" of data during a specific five day period would not permit enough time to update the data to reflect the status of the children in foster care on the day the data were extracted.

Response: This provision resulted in confusion and misunderstanding among the States. Many erroneously believed

that the intent of AFCARS was to reflect the status of the children in foster care rather than the information on the children contained in the State data system on the day the data are extracted. The requirement is to obtain a profile from the State data system. The timeliness and missing data standards reflect the Department's acknowledgment that some information on some children may not be known or current in the State's information system on the date of extraction.

As proposed in the NPRM, compliance in AFCARS will be based on timeliness of submission, consistency of information and timeliness of data entry. The Department is requiring in paragraphs (b)(2) and (d)(1) of this section, therefore, that data on removals and discharges be entered into the State's data system within 60 days of any removal or discharge event affecting a child subject to the AFCARS reporting. The Department has decided to drop the requirement pertaining to the "first five calendar days" after the end of the reporting period (which will now be semi-annual rather than quarterly). However, the requirement that the data submitted must be extracted from the State system as of the last day of each reporting period is now in paragraph (b)(1).

Paragraph (b)(4) of this final rule was a part of (b)(2) in the NPRM. It has been edited and made a separate subparagraph for clarity and greater visibility.

Paragraph (b)(5). Checks used to judge data consistency.

Comment: Four comments were received, three from State agencies. One commenter proposed that if a State transmitting the data cannot get access to the edit checks by which the data will be evaluated, that State should not be penalized for errors or missing data. Another recommended that the Department review the data and report any inconsistencies back to the State within 60 days following the end of the quarter. One commenter questioned how the accuracy of the system will be tested, as opposed to consistency. Another suggested that States run their own consistency checks prior to transmission of the data.

Response: With the exception of technical edits and renumbering as paragraph (b)(5), there is no change in the provision as set forth in paragraph (b)(3) of the NPRM. The internal data verification checks are specified in appendix E of this final rule. The computer program rules for consistency checks will be shared with the States. There are no current proposals for

accuracy checks other than those currently available to the Department through the section 427 and title IV-E reviews or Office of Inspector General audits. However, for children in care more than seven months, the entry of the date of the child's most recent administrative or court review constitutes the State's certification that the information on that child is current as of that date. We would not, however, rule out establishing further accuracy checks in the future.

Paragraph (c). Missing data standards.

Comment: Several comments were received on this provision, all from States. One commenter argued that missing data are valid entries, particularly in the case of abandoned children, and that these entries should not count against the proposed 95 percent accuracy rate. A suggestion was made that the Department allow a "grandfather" period on selected data elements for current cases, rather than require States retrospectively to complete data that may not have been part of automated or manual data systems, such as some of the data required for adoption cases. Some States suggested that the acceptable error rate for missing data be changed from five percent to 10 percent.

Response: The Department concurs with the need to address the missing data issue in a different manner. In appendices A and B, we have changed some of the data element options to "cannot be determined" or "not yet determined." "Grandfathering" of adoption and foster care data is being allowed as summarized above in the Department's response to § 1355.40(a)(2)-(4). As suggested by the States, a new subparagraph (2) has been added to clarify that a penalty will be invoked when the missing data exceed 10 percent for any one element. Subparagraph (2) of the NPRM is now designated subparagraph (3).

Paragraph (d) (1) and (2). Timeliness of foster care data reports.

Comment: Eleven comments were received, eight from State agencies. Four of the disagreeing State agencies recommended that the timeliness standard be lowered to 40 or 50 percent. Others suggested that the rate be raised to reflect a more realistic status of foster care children in each reporting period.

Response: In response to the concerns over the timeliness issue, the Department in subparagraph (d)(1) has revised its approach. For each child, we will require that a computer generated transaction date accompany the date of the latest removal from the home and the date of discharge from foster care. Ninety percent of the subject

transactions must have been entered into the system within 60 days of the actual event, i.e., removal from home or discharge from foster care.

Paragraphs (e) (1) through (7). Penalties.

This section specifies that failure by a State to meet the AFCARS requirements is considered a substantial failure to meet the requirements of the title IV-E State plan; and spells out penalties for substantial noncompliance, how penalties will be assessed and the circumstances that will lead to specified penalties.

Comment: Many comments were received on the specific provisions of § 1355.40(e) pertaining to penalties. The largest number of comments focused on the details of the penalty provision in § 1355.40(e)(1). Forty-five comments were received on that provision, including 40 from State agencies and three from national organizations.

One national organization agreed that a penalty system holds States accountable and would thus correct and prevent deficiencies. The majority of commenters disagreed. Their disagreement was based on the rationale that the rules would penalize an area where funds are most needed and that sanctions are the least effective form of shaping behavior. Many commenters noted that the rules fail to offer incentives despite the Advisory Committee's recommendation for incentives.

A variety of other objections concerned costs, fairness, accuracy rate, and practical concerns such as whether States would comply unless the size of the penalty exceeded the costs of capturing the data at the local level. Commenters expressed disagreement on the timeframe for State implementation given the delay in promulgating standards for the system.

Many of the commenters made suggestions, such as that the Department reward "good faith efforts," with graduated penalties to reflect compliance efforts; establish strict guidelines regarding the application and degree of penalties; and outline steps to "satisfy the Secretary."

Some States sought assurances that substantial non-compliance would not jeopardize the entire IV-B/IV-E State plan for compliance. Some commenters disagreed with the interpretation that non-compliance with the proposed rules would constitute non-compliance with the IV-E and IV-B plans, including all IV-E and IV-B dollars. Moreover, it was felt that tying the penalties to the State plan may in the future jeopardize funding for major programs such as AFDC. The commenters suggested that

the requirements should clearly explain the financial upper limits of the penalty.

Questions raised included the following: When missing data are provided, will the penalty/sanction be reversed? How will the State handle the penalty if it is linked to a specific county? Will the penalty be applied against the administrative costs claimed by the State or the amount of FFP returned?

Smaller numbers of comments were received on the other provisions related to penalties. Comments on § 1355.40(e)(2) to (7) ranged from a high of 34 comments on the provision dealing with the "satisfaction of the Secretary" to none on subparagraph (e)(5) and three on subparagraph (e)(6); most comments were from State agencies.

The overwhelming majority of the objections were related to the two following issues: The imposition of penalties in subsequent quarters following non-compliance and the lack of quantitative standards necessary to satisfy the Secretary. Suggestions made included: (1) Providing more time for States to implement the system prior to imposing sanctions; (2) recommending that the State's submission of a satisfactory report be considered as "evidence that non-compliance will not recur"; (3) assessing penalties in the quarter after the quarter in which non-compliance occurred to prevent the retroactive recovery of funds; (4) developing specific standards against which to assess penalties if subsequent quarters will be affected; (5) pro-rating penalties to a percentage of missing data; and (6) establishing empirical criteria which would be used to satisfy the Secretary and against which to measure compliance. Several States proposed that all costs associated with the system be allowable administrative costs of IV-E.

Several comments were made on the provisions affecting penalties in Years 3 and 4. While some noted that the proposed penalty would be too low to be effective, others favored reducing the maximum penalty.

One commenter expressed agreement with the proposed rule in support of penalties and sanctions and recommended that a corrective action procedure be implemented. Objections were raised against penalties imposed for missing data and technical errors. The argument was made that the accuracy standard was unrealistic. The lack of an appeals process was criticized. In general there were objections to the criteria for imposing the maximum penalty on a State, and suggestions were made for softening the penalty provisions.

Several of the commenters disagreed with a penalty being imposed in Year 3 as they felt that time was needed to implement and test a new system. Another objection was to the fixed penalties in Years 3 and 4 which fail to differentiate between States according to the accuracy rate of the data.

Four States commented on the penalty provisions for the failure to submit adoption data. The majority of commenters expressed concern regarding the collection of historical data on children receiving subsidies.

Response: The basic concepts in the penalty section will remain the same. However, technical changes including renumbering were made in this paragraph. The Department shares the position of the Advisory Committee that an ultimate resort to penalties is necessary in order to achieve the goals Congress mandated for adoption and foster care data collection in the event of any State not responding in a timely manner. We believe that when States are faced with the possibility of a finding of substantial noncompliance with the title IV-E State plan, and the consequent imposition of penalties, they will be strongly motivated to insure that correct data are submitted within the specified timeframes.

However, the Department believes that most, if not all, of the States will strive to cooperate in implementing AFCARS and submitting the required reports. Consequently, a number of changes have been made which will moderate the impact of the imposition of penalties upon the States. The method of penalties proposed in the NPRM and being modified in this final rule is used because it is the only one allowable under current law. While the Department acknowledges that there is strong support for a system of incentives and that positive reinforcement can be more effective than a system of penalties, there is nothing in the Act which provides a basis for incentive funding.

With respect to § 1355.40(e), the reference date of July 30, 1993, has been added in order to clarify that State 427 incentive funds calculated as of that date shall form the basis for penalty calculations. Another clarification has been added to paragraph (e) in order to provide that the formula for calculation of penalties is not affected by any determinations of compliance with the requirements of section 427 or withdrawal of certifications with respect to section 427. Appendix F reflects the amount of incentive funds available for fiscal year 1993, for each State.

The following changes in the final rule will have the net effect of making

the reporting and penalties less burdensome:

(1) The first reporting period will begin October 1, 1994 and end March 31, 1995. The first transmission of data must be received in ACF no later than May 15, 1995. The six reporting periods beginning October 1, 1994 and ending September 30, 1997 will be penalty-free. The next year's reports will be subject to half penalty and, thereafter, beginning with the transmission filed for the period beginning October 1, 1998, the States will be subject to full penalty.

(2) The reporting period will be semi-annual rather than quarterly.

(3) The "satisfaction of the Secretary" requirement will be met by submission of one acceptable regularly scheduled semi-annual data transmission of the type which was the cause of the penalty.

(4) The maximum percentage of missing data for any data element before the imposition of penalties will be raised to ten percent instead of five percent as originally proposed.

(5) During the four reporting periods beginning October 1, 1994 and ending September 30, 1996, States will have the option to comply with the AFCARS regulations by selecting a sample of foster care cases that are under the jurisdiction of the State child welfare agency rather than reporting on the entire population of foster care cases that are under the jurisdiction of the State child welfare agency. (After this optional sampling period, States will be expected to address the entire population of foster care cases as required by this final rule.)

An acceptable formula for determining the sample size is as follows:

$$n = \frac{(N_1 + N_2) \times 1.96^2 \times .5 \times .5}{.03^2 \times (N_1 + N_2 - 1) + 1.96^2 \times .5 \times .5}$$

N_1 represents the total number of foster care cases that are under the jurisdiction of the State child welfare agency and are active on the last day of the reporting period.

N_2 represents the total number of foster care cases that are under the jurisdiction of the State child welfare agency and left care during the six-month reporting period.

The sample size n meets the criteria for a 95% confidence interval estimate for the population proportion of any attribute specified in AFCARS with a tolerable sampling error of 0.03 and an estimated proportion of 0.5 which maximizes the sample size, n . Thus, there is a 95% chance that the sample size, n , will yield an interval estimate for any attribute specified in AFCARS

that will be within three percentage points of the true population proportion. States may use other sample size formulas that meet the criteria specified above.

If States decide to utilize the sample size formula specified above then they need to determine the appropriate values for N_1 and N_2 and substitute them into the above equation to solve for the sample size, n . To assure a self-weighting sample the sample size, n , needs to be apportioned between N_1 and N_2 by multiplying n first by N_1 divided by N and then by N_2 divided by N (where $N=N_1+N_2$). The first calculation yields a sample size called n_1 ; the second yields a sample size called n_2 . States will select a simple random sample of size n_1 from the population of foster care cases that are under the jurisdiction of the State child welfare agency and are active on the last day of the reporting period and a sample of size n_2 from the population of foster care cases that are under the jurisdiction of the State child welfare agency and left care during the reporting period. States may use any recognized random number generators to select the two simple random samples.

States may also use systematic samples to satisfy the sampling option.

(6) Other changes made in the system that will moderate the impact of the penalties include: only a limited number of data elements will be required for foster children who enter care prior to October 1, 1995 and for children in care less than 30 days; for children adopted prior to October 1, 1994, who are continuing to receive Federal subsidies, only aggregate data will be required; and acceptable responses such as "not yet determined" and "cannot be determined" have been added.

Part 1356—Requirements Applicable To Title IV-E

Section 1356.20(b). State plan document and submission requirement

1356.60(c)(2) and (d)(1) through (d)(5); Fiscal requirements (title IV-E)

This section specifies allowable administrative costs necessary for the administration of the adoption and foster care data collection system and spells out procedures for allocation of administrative costs.

Comment: Over 40 comments were received on these provisions, mostly from State agencies and several national organizations. A majority of commenters said it was not equitable to require States to collect and maintain information on all children in foster care, but to reimburse them only on the

percentage of children eligible for IV-E funds. They believe that funding for AFCARS should be based on all children who are in placement with the State agency. Approximately half the commenters disagreed with tying the penalties and costs of data collection to IV-E funds. Some States suggested that there should be a dedicated funding pool specifically for data collection, stating that they should not have to allocate IV-E dollars to other programs. Two States suggested that the Department fund from 90 to 100 percent of the data reporting system.

Two States commented on the provision that the costs of data reporting for children not eligible for title IV-E foster care and adoption assistance payments must be borne by the State and may be paid from title IV-B or other funds. The reasons cited for disagreement were: (1) Demands for IV-B funds already exceed resources; and (2) the Department should utilize the existing authority to provide greater Federal reimbursement for implementation. The case was made that the Department should at least provide incentives for States participating in VCIS to modify their systems to comply with AFCARS.

One commenter suggested that, since the regulation would make adherence to the requirements of section 479 a State plan compliance issue under the title IV-E, it follows that all of the costs associated with implementing that section should be chargeable to title IV-E.

Response: The Department concurs with the interpretation that there is no need for allocating costs because of the State plan requirement. Because this final rule is making the requirement to implement AFCARS as a title IV-E State plan requirement, and because the costs for development and implementation of information systems is an allowable cost under title IV-E, the costs of AFCARS can be directly charged to title IV-E administrative costs at the 50 percent matching rate.

However, section 13713 of the Omnibus Budget Reconciliation Act of 1993 (OBRA '93), signed by the President on August 10, 1993, amends section 473(a)(3) of the Social Security Act to allow 75 percent match for the planning, design, development or installation of a Statewide mechanized data collection and information retrieval system (including 75 percent of the full amount of expenditures for hardware components for such systems) but only to the extent that such system meets certain requirements. The higher matching rate is available for three fiscal years, beginning with fiscal year 1994.

In addition, section 13713 of OBRA '93 adds a new paragraph (e) to section 474 of the Social Security Act. This new paragraph provides that the Secretary shall treat as necessary for the proper and efficient administration of the State plan, all automated data collection expenditures carried out in accordance with the requirements for the 75 percent match, without regard to whether the children in the mechanized data collection and information retrieval system are eligible for payment under title IV-E. The regulation implementing the legislation for enhanced match for automated data systems is published simultaneously elsewhere in this Federal Register issue.

If the system developed to meet the requirements of this regulation is also used to collect data for programs other than foster care and adoption (e.g., for food stamps, AFDC or Medicaid), then such costs must be fairly allocated to those other programs. To encourage States to develop a comprehensive automated system to improve service delivery, and in turn the quality and timeliness of the data requirements in this rule, technical assistance will be forthcoming. Because of these changes, paragraphs (d)(1) through (4) in the NPRM have been replaced by paragraph (d)(1) in the final rule. Paragraph (d)(5) of the NPRM has been edited and renumbered as (d)(2) in the final rule.

Part 1357—Requirements Applicable to Title IV-B

Section 1357.15(h). Child welfare services State plan requirements and submittal

This section requires each State to provide assurances that it will meet the requirements for data collection for foster care and adoption.

Comment: One comment was received from a State agency objecting to the lack of clarity regarding the potential impact on all IV-E and IV-B funds. In addition, it was suggested that the penalties be limited to the 20 percent maximum of IV-B incentive funds.

Response: The Department's intent in the NPRM was that penalties be limited to a 20 percent maximum of title IV-B incentive funds. This is more clearly stated in the final rule.

VIII. Penalties

In the development of the final rule, the Department carefully considered the best way to encourage the accurate and timely submittal of information. Inasmuch as there is no legal authority to provide financial incentives, the one alternative available is to impose financial assessments for failure to

comply with the State plan provision on data reporting. Once a State substantially fails to comply with the requirements for data reporting, the penalties imposed could affect a portion of title IV-E administrative expenditures. Once it is determined that a State is substantially failing to comply with the State title IV-E plan requirements, the funds at risk are those for the semi-annual period(s) for which the State substantially failed to comply.

The proposed penalties are fixed and are set at amounts we believe are large enough to encourage a State to provide the data fully and in a timely way in order to avoid a finding of substantial noncompliance and the ensuing penalties. It is not our intention to make the penalties so great as to significantly interfere with State efforts to provide services to families and children; however, we do want to encourage full reporting. The method for calculating the penalties is based on the standards for completeness and timeliness of a State's data reports.

In the matter of assessing penalties, we concluded that claims for title IV-E administrative expenditures would be the most appropriate focus for penalties. By amending § 1356.20, we propose to treat a failure by a State to comply with the requirements for the data system set forth in the proposed § 1355.40 as a substantial failure in complying with the title IV-E State plan.

We have determined in § 1355.40 that only a portion of a State's title IV-E administrative cost reimbursement will be in jeopardy. The penalties for noncompliance are fixed and are assessed against part of the State's title IV-E administrative cost reimbursement for the period(s) in which the defects occurred. The amount of the title IV-E administrative cost reimbursement against which the fixed penalties are assessed in any semi-annual period of the fiscal year is equal to no more than one-tenth (10 percent) of the amount of the title IV-B incentive funds (under section 427) available to the State for fiscal year 1993. The actual amount to be deducted as a penalty in any one year is cumulative up to a maximum of 10 percent in Year Four (at half penalty) and 20 percent in Year Five (at full penalty).

To calculate the amount of title IV-E administrative costs funds at risk, the following formulas will be used:

T=amount of penalty when a data transmission does not meet the established criteria.

G=State's allotment of section 427 incentive funds for the fiscal year 1993.

Federal Fiscal Year 1998:
 $T_1=(2.5 \times G)/100$ If either the foster care or adoption data transmission fails to meet the criteria.
 $T_2=2(2.5 \times G)/100$ If both the foster care and adoption data transmission fail to meet the criteria.
 Federal Fiscal Year 1999 and beyond:

$T_1=(5 \times G)/100$ If either the foster care or adoption data transmission fails to meet the criteria.
 $T_2=2(5 \times G)/100$ If both the foster care and adoption data transmission fail to meet the criteria.
 The incentive funds used in the calculations do not include reimbursement for voluntary placements to which a State may be entitled. The dollar amounts available

under the basic grant and the incentive funding beyond the basic grant are issued each year by the Commissioner, ACYF, in the table of allotments under title IV-B.
 The following chart provides a summary overview of the adoption and foster care analysis and reporting system's (AFCARS) reporting requirements and assessment of penalties.

SUMMARY OVERVIEW OF ADOPTION AND FOSTER CARE ANALYSIS AND REPORTING SYSTEM (AFCARS) REPORTING REQUIREMENTS AND ASSESSMENT OF PENALTIES

Reporting periods	Report due	Penalty
Year 1: October 1, 1994-March 31, 1995	May 15, 1995	No Penalty.
April 1, 1995-September 30, 1995	November 14, 1995	No Penalty.
Year 2: October 1, 1995-March 31, 1996	May 15, 1996	No Penalty.
April 1, 1996-September 30, 1996	November 14, 1996	No Penalty.
Year 3: October 1, 1996-March 31, 1997	May 15, 1997	No Penalty.
April 1, 1997-September 30, 1997	November 14, 1997	No Penalty.
Year 4: October 1, 1997-March 31, 1998	May 15, 1998	Half Penalty (2.5% foster care; 2.5% adoption assistance).
April 1, 1998-September 30, 1998	November 16, 1998	Half Penalty (2.5% foster care; 2.5% adoption assistance).
Year 5: October 1, 1998-March 31, 1999	May 17, 1999	Full Penalty (5% foster care; 5% adoption assistance).
April 1, 1999-September 30, 1999 and semi-annually thereafter.	November 15, 1999	Full Penalty (5% foster care; 5% adoption assistance).

Penalties will be assessed semi-annually against a State's title IV-E administrative cost reimbursement in an amount that is equal to no more than 10 percent of the State's annual share of title IV-B funds above the base appropriation of \$141 million for fiscal year 1993 (incentive funds available under section 427 of the Act). In the case of States ineligible to receive title IV-B incentive funds, the penalty shall be equal to no more than 10 percent of the amount of title IV-B incentive funds that a State had received or was eligible to receive.

- Half of the assessed penalty is applicable to foster care reporting and half to adoption reporting.
 - In order to comply with AFCARS requirements for foster care reporting and to avoid penalties:
 - States must submit foster care reports semi-annually within 45 days of the end of the reporting period.
 - Child-specific data must be entered into the information system within 60 days of any removal from the home or discharge from foster care. Ninety percent of such transactions must be entered in the information system within 60 days of the event.
 - For any child in care more than seven months, the State must certify that the periodic review requirements have been met in at least 90 percent of the records.
 - Data contained in Appendix A must be reported with no more than 10 percent missing data for any one data element.
 - For children in care less than 30 days and for children who entered prior to October 1, 1995, only a core set of information will be required as identified in Appendix A.
 - In order to comply with AFCARS requirements for adoption reporting and to avoid penalties:
 - States must submit adoption reports semi-annually within 45 days of the end of the reporting period.
 - Adoption data are to be reported during the reporting period in which the adoption is legalized (or, optionally, in the following reporting period if the adoption is legalized within the last 60 days of the reporting period).
 - Data contained in Appendix B must be reported with no more than 10 percent missing data for any one data element.
 - Full adoption data are required only for children adopted after the AFCARS implementation date of October 1, 1994. Aggregate data, by age of child, are to be reported for children adopted before that date with Federal subsidy.
- For both foster care and adoption reporting, States must comply with the procedures for record layout, data consistency checks and electronic data transmission protocols as specified in this final rule in Appendices C, D and E.

The following example is provided to help clarify the proposed penalties: State Q was eligible to receive title IV-B incentive funds (over its share of the base amount of \$141,000,000) in fiscal year 1993 of \$4,000,000. The potentially applicable penalty against the State's share for either semi-annual period in fiscal year 1998 is 5 percent \times \$4,000,000 or \$200,000. Therefore, the penalty that could be imposed in any reporting period on State Q in 1998 (Year Four) is \$200,000, which would be deducted from the FFP for its title

IV-E administrative cost reimbursement for that semi-annual period. If State Q were to be subject to the full penalty in both semi-annual reporting periods in Year Five, the total amount of the penalty would be 20 percent of the \$4,000,000 or \$800,000, which is the maximum amount the State could be penalized in any year.
 In reaching the decision to use the section 427 incentive funds available under title IV-B as the basis for calculating the amount of the penalty to be assessed against a State's

administrative cost reimbursement under title IV-E, consideration was given to several factors. We sought a method for calculating penalties that: (1) Permitted the dollar amount of the maximum penalty for substantial noncompliance to be known to the States prior to the time the data are submitted; (2) provided an upper limit on the amounts of money that could be in jeopardy; and (3) could be consistently applied to all States. We concluded that, by utilizing the amount of section 427 incentive funds available

to the State agency (which, by statute, must administer both title IV-B and title IV-E) as a basis, all three of our objectives were met. The title IV-B incentive funds represent a fixed number of dollars allocated to the States on a formula basis prior to each fiscal year. Because a State penalty will be calculated using 427 incentive funds, a State will know the maximum amount of dollars at risk.

In § 1355.40, we have provided that the penalties will be deducted semi-annually against a State's title IV-E administrative cost reimbursement for the period in which the noncompliance occurred. Following a final decision of noncompliance, funds will be recovered for all reporting periods until the State demonstrates, by submitting an acceptable report, that it will no longer fail to comply.

The reporting of complete and accurate data is the goal of the

information system for adoption and foster care. The level of missing, inconsistent and untimely data should not be so great as to raise concerns about the quality of the State's data submission. However, we recognize that there will be some errors in the data. As long as each element has no more than 10 percent missing data, including data initially missing and data converted to missing because they failed internal consistency tests, and the data report meets the standard for timeliness, no compliance action will be taken.

The final rule outlines the circumstances under which a State will incur the maximum penalty. We will apply the maximum penalty when a State fails to submit both the foster care part and the adoption part of the data report within 45 days; or submits each part within the timeframe, but in each part there is one or more element(s) which exceeds the level of tolerance for

missing data as described in appendix E (or, in the case of foster care, the 90 percent standard for timeliness is not met).

In § 1355.40, this rule refers to § 201.6(e) regarding the withholding of funds up to such time as the Secretary is satisfied that there will no longer be any failure to comply. We have identified the criteria for meeting the "satisfaction of the Secretary" requirement as submission of " * * * one acceptable regularly scheduled semi-annual data transmission of the type which was the cause of the penalty."

Each part of the completed report (i.e., the foster care and adoption parts) will be treated separately for purposes of applying the penalties.

The following chart illustrates how penalties are assessed in Years 4 and 5.

ASSESSMENT OF PENALTIES IN THE ADOPTION AND FOSTER CARE ANALYSIS AND REPORTING SYSTEM

[In Percentages of Incentive Amounts Available Under Section 427 of Title IV-B, Assessed Semi-Annually Against Title IV-E Administrative Cost Reimbursement]

	No submittal	Over 45 days	Missing data	90% standard*
Year 4 (10/1/97-9/30/98):				
Foster Care	5	5	5	5
Adoption	5	5	5	NA
Maximum Penalty = 10%				
Year 5 (10/1/98-9/30/99) and beyond:				
Foster Care	10	10	10	10
Adoption	10	10	10	NA
Maximum Penalty = 20%				

*Ninety percent of the transactions must be entered into the system within 60 days of the event.

As the above chart indicates, there are only two levels at which the penalty can be assessed: First, at the maximum because of deficiencies in both the adoption and foster care reports; or second, at half penalty because of one or more deficiencies in either the adoption or foster care report. The State will incur a penalty for the foster care report if any combination of the four conditions apply, namely: No submittal or Over 45 Days or Missing Data or 90 percent Timeliness Standard. Similarly, the State will incur a penalty for the adoption report if any combination of the three conditions apply, namely: No submittal or Over 45 Days or Missing Data. The penalties reflected in the above chart are maximum penalties for Years 4 and 5. For any given semi-annual reporting period, the penalty assessed would be half the percentages indicated.

IX. Impact Analysis

Executive Order 12606: The Family

Executive Order 12606 requires Federal agencies, in formulating and implementing policies and regulations, to assess the impact on family formation, maintenance and general well being. We believe these proposed regulations will serve to strengthen and preserve family life insofar as the demographic information provided on children in foster care will aid in permanency planning for these children and their families. And in the case of adoption, information on children will assist in the placement of children as well as aid in the development of policies and practices that will encourage and support families who care for children in foster care and those who adopt children.

Executive Order 12866

Executive Order 12866 requires that regulations be reviewed to ensure that

they are consistent with the priorities and principles set forth in the Executive Order. The Department has determined that this rule is consistent with these priorities and principles. An assessment of the costs and benefits of available regulatory alternatives (including not regulating) demonstrated that the approach taken in the regulation is the most cost-effective and least burdensome while still achieving the regulatory objectives.

This rule implements section 479 of the Social Security Act which requires the Secretary to promulgate regulations providing for the implementation of a data collection system relating to adoption and foster care in the United States. This rule sets forth the requirements for such a system. Specifically, the rule, among other things, requires States to submit semi-annually to the Department, in electronic form, certain foster care and adoption data. It allows for the submission of only a core set of data

elements for children in foster care less than 30 days and for children entering foster care prior to and within the year after the implementation date; and, it requires complete adoption data only for children adopted after the rule's implementation date. In addition, the rule provides for the phase-in of penalties, with the first two years penalty free.

Funding for systems design, development and implementation must comply with the requirements of 45 CFR part 95, subpart F. The costs of implementing this rule will vary among States, depending on the extent of a State's own data collection activities/ systems with regard to foster care and adoption. In this regard, the Department will offer technical assistance to any State for planning, developing and implementing the required data collection and transmission system. A State may directly charge the cost of the operation of the data collection system to title IV-E at the 50 percent matching rate. We estimate that the Federal costs associated with implementing and maintaining a data collection system will be \$9 million the first year, \$54 million the third year, \$38 million the fourth year and \$20 million the fifth year.

Regulatory Flexibility Act

Consistent with the Regulatory Flexibility Act of 1980 (5 U.S.C. ch 6), the Department tries to anticipate and reduce the impact of rules and paperwork requirements on small businesses. For each rule, with a "significant economic impact on a substantial number of small entities" an analysis is prepared describing the rule's impact on small entities. Small entities are defined in the Regulatory Flexibility Act to include small businesses, small non-profit organizations, and small governmental entities.

The primary impact of this rule is on the States which are not "small entities" within the meaning of the Act. For this reason, the Secretary certifies that this rule will not have a significant impact on a substantial number of small entities.

Paperwork Reduction Act

Under section 3504(h) of the Paperwork Reduction Act of 1980, Pub. L. 96-511, all Departments are required to submit to the Office of Management and Budget (OMB) for review and approval any reporting or recordkeeping requirements in a proposed or final rule. This final rule contains information collection requirements in § 1355.40, paragraphs (a) and (b), foster care and

adoption data collection, which will be submitted to OMB and will not become effective until they are approved. A notice will be published in the *Federal Register* when OMB approves these information collection requirements.

In the NPRM, a chart was provided showing the estimated annual burden hours to the States. The public was asked to comment on the estimated hours as well as any other aspect of the information collection, including suggestions for reducing this burden. In response to comments received, the reporting burden for the collection of information requirements in this final regulation has been reduced to approximately one-half of the initial estimated hours in the NPRM, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and submitting the data in the required format. The final rule now requires submittal of information semi-annually rather than quarterly and reduces the overall number of items to be reported. The revised total annual burden is 413,942 hours.

List of Subjects

45 CFR Part 1355

Adoption and foster care, Child welfare, Data collection, Definitions, Grant programs—social programs.

45 CFR Part 1356

Adoption and foster care, Administrative costs, Child welfare, Fiscal requirements (title IV-E), Grant programs—social programs, Statewide information system.

45 CFR Part 1357

Adoption and foster care, Child welfare, Child welfare services state plan, Indians, Reporting and recordkeeping requirements.

(Catalog of Federal Domestic Assistance Program Nos. 93.658, Foster Care Maintenance, 93.659, Adoption Assistance and 93.645, Child Welfare Services—State Grants)

Dated: October 13, 1993.

Mary Jo Bane,

Assistant Secretary for Children and Families.

Approved: November 19, 1993.

Doana E. Shalala,
Secretary.

For the reasons set forth in the preamble, 45 CFR parts 1355, 1356 and 1357 are amended as follows:

PART 1355—GENERAL

1. The authority citation for part 1355 is revised to read as follows:

Authority: 42 U.S.C. 620 et seq., 42 U.S.C. 670 et seq.; 42 U.S.C. 1302.

2. Section 1355.20 is amended by adding definitions for the terms "adoption" and "foster care" as follows:

§ 1355.20 Definitions.

* * * * *

Adoption means the method provided by State law which establishes the legal relationship of parent and child between persons who are not so related by birth, with the same mutual rights and obligations that exist between children and their birth parents. This relationship can only be termed "adoption" after the legal process is complete.

* * * * *

Foster care means 24 hour substitute care for all children placed away from their parents or guardians and for whom the State agency has placement and care responsibility. This includes, but is not limited to, family foster homes, foster homes of relatives, group homes, emergency shelters, residential facilities, child care institutions, and pre-adoptive homes regardless of whether the foster care facility is licensed and whether payments are made by the State or local agency for the care of the child or whether there is Federal matching of any payments that are made.

* * * * *

3. Section 1355.30 is amended by revising paragraph (e) as follows:

§ 1355.30 Other applicable regulations.

* * * * *

(e) Section 201.6, Withholding/Reduction of FFP. Pursuant to the requirements under § 1355.40 of this part for data collection, the only evidence relevant at hearings under § 201.6 are those matters related to the standards set forth in § 1355.40 and whether there were circumstances beyond the control of the State or its political subdivisions that should be considered by the Secretary.

* * * * *

4. A new § 1355.40 is added to read as follows:

§ 1355.40 Foster care and adoption data collection.

(a) *Scope of the data collection system.* (1) Each State which administers or supervises the administration of titles IV-B and IV-E must implement a system that begins to collect data on October 1, 1994. The first transmission must be received in ACF no later than May 15, 1995. The data reporting system must meet the requirements of § 1355.40(b) and electronically report certain data

regarding children in foster care and adoption. The foster care data elements are listed and defined in Appendix A to this part and the adoption data elements are listed and defined in Appendix B to this part.

(2) For the purposes of foster care reporting, each State's data transmission must include all children in foster care for whom the State title IV-B/IV-E agency has responsibility for placement, care, or supervision. This includes Native American children covered under section 427 protection on the same basis as any other children. For children in care less than 30 days, only a core set of information will be required, as noted in appendix A to this part. For children who enter foster care prior to October 1, 1995 and who are still in the system, core data elements will be required; in addition, States will also be required to report on the most recent case plan goal affecting those children. For children in out-of-State placement, the State placing the child and making the foster care payment submits and continually updates the data.

(3) For the purposes of adoption reporting, data are required to be transmitted by the State on all adopted children who were placed by the State title IV-B/IV-E agency, and on all adopted children for whom the State agency is providing adoption assistance (either ongoing or for nonrecurring expenses), care or services directly or by contract or agreement with other private or public agencies. Full adoption data as specified in appendix B to this part are required only for children adopted after the implementation date of October 1, 1994. For children adopted prior to October 1, 1994, who are continuing to receive title IV-E subsidies, aggregate data are to be reported. For a child adopted out-of-State, the State which placed the child submits the data.

(b) *Foster care and adoption reporting requirements.* (1) The State agency shall transmit semi-annually, within 45 days of the end of the reporting period (i.e., by May 15 and November 14), information on each child in foster care and each child adopted during the reporting period. The information to be reported consists of the data elements found in appendices A and B to this part. The data must be extracted from the data system as of the last day of the reporting period and must be submitted in electronic form as described in appendix C to this part and in record layouts as delineated in appendix D to this part.

(2) For foster care information, the child-specific data to be transmitted must reflect the data in the information

system when the data are extracted. Dates of removal from the home and discharge from foster care must be entered in accordance with paragraph (d)(1) of this section. The date of the most recent periodic review (either administrative or court) must be entered for children who have been in foster care for more than nine months. Entry of this date constitutes State certification that the data on the child have been reviewed and are current.

(3) Adoption data are to be reported during the reporting period in which the adoption is legalized or, at the State's option, in the following reporting period if the adoption is legalized within the last 60 days of the reporting period. For a semi-annual period in which no adoptions have been legalized, States must report such an occurrence.

(4) A summary file of the semi-annual data transmission must be submitted and will be used to verify the completeness of the State's detailed submission for the reporting period.

(5) A variety of internal data consistency checks will be used to judge the internal consistency of the semi-annual detailed data submission. These are specified in Appendix E to this part.

(c) *Missing data standards.* (1) The term "missing data" refers to instances where no data have been entered, if applicable, for a particular data element. In addition, all data elements which fail a consistency check for a particular case will be converted to missing data. All data which are "out of range" (i.e., the response is beyond the parameters allowed for that particular data element) will also be converted to missing data. Details of the circumstances under which data will be converted to missing data are specified in appendix E to this part. Data elements with responses of "cannot be determined" or "not yet determined" are not considered as having missing data.

(2) For missing data in excess of 10 percent for any one data element, the penalty will be applied.

(3) The penalties for missing data are specified in paragraph (e) of this section.

(d) *Timeliness of foster care data reports.* (1) For each child, a computer generated transaction date must reflect the actual date of data entry and must accompany the date of latest removal from the home and the date of exit from foster care. Ninety percent of the subject transactions must have been entered into the system within 60 days of the event (removal from home or discharge from foster care).

(2) Penalties shall be invoked as provided in paragraph (e) of this section.

(e) *Penalties.* (1) Failure by a State to meet any of the standards described in paragraphs (a) through (d) of this section is considered a substantial failure to meet the requirements of the title IV-E State plan. Penalties for substantial noncompliance will be assessed semi-annually against a State's title IV-E administrative cost reimbursement in an amount that is equal to no more than 10 percent of the State's annual share of title IV-B funds above the base appropriation of \$141 million. The amount of incentive funds, section 427 of the Act, against which a penalty can be assessed will remain the same as the amount promulgated as being available to the States as of June 30, 1993, the date of issuance of the amount of section 427 funds for fiscal year 1993 (see Appendix F to this part). The penalties will be calculated and applied regardless of any determination of compliance with the requirements of section 427, and regardless of whether any State has withdrawn its certification with respect to section 427. Years One through three (October 1, 1994 through September 30, 1997) will be three penalty-free years of operation. Year Four (October 1, 1997 through September 30, 1998) will be at half penalty and Year Five (October 1, 1998 through September 30, 1999) and thereafter will be at full penalty. The maximum annual penalty is 20 percent.

(2) Penalties will be assessed semi-annually against a State's title IV-E administrative cost reimbursement for the period in which the noncompliance occurred and any subsequent period of noncompliance. Following a decision sustaining ACYF's proposed action, funds will be recovered until the State demonstrates, by submitting an acceptable report, that it will no longer fail to comply.

(3) Half of the maximum allowable assessed penalty for a given reporting period is applicable to foster care reporting and half to adoption reporting.

(4) The penalty for foster care reporting will be applied for any semi-annual period when a State fails to meet one or more of the following criteria:

(i) Fails to submit the report within 45 days of the end of the reporting period as specified in paragraphs (b)(1) and (b)(2) of this section; or

(ii) There is one or more element which exceeds the level of tolerance for missing data as specified in paragraphs (c)(1) and (c)(2) of this section; or

(iii) Fails to meet the timeliness standards as specified in paragraph (d)(1) of this section.

(5) The penalty for adoption reporting will be applied for any semi-annual

period when a State fails to meet one or more of the following criteria:

(i) Fails to submit the report within 45 days of the end of the reporting period as specified in paragraphs (b)(1) and (b)(3) of this section; or

(ii) There is one or more element which exceeds the level of tolerance for missing data as specified in paragraphs (c)(1) and (c)(2) of this section.

5. Appendices A through F are added to part 1355 as follows:

Appendix A to Part 1355—Foster Care Data Elements

Section I—Foster Care Data Elements

Data elements preceded by "*" are the only data elements required for children who have been in care less than 30 days. For children who entered care prior to October 1, 1995, data elements preceded by either "*" and "*" are the only data elements required. This means that, for these two categories of children, these are the only data elements to which the missing data standard will be applied.

I. General Information

- **A. State _____
- **B. Report date (mo.) (yr.) _____
- **C. Local Agency (County or Equivalent Jurisdiction) _____
- **D. Record Number _____
- E. Date of Most Recent Periodic Review (if Applicable) (mo.) (day) (yr.) _____

II. Child's Demographic Information

- **A. Date of Birth (mo.) (day) (yr.) _____
- **B. Sex _____
Male: 1
Female: 2
- **C. Race/Origin _____
1. Race _____
White: 1
Black: 2
American Indian/Alaskan Native: 3
Asian/Pacific Islander: 4
Unable to Determine: 5
2. Hispanic Origin _____
Yes: 1
No: 2
Unable to Determine: 3
- D. Has this child been clinically diagnosed as having a disability(ies)? _____
Yes: 1
No: 2
Not Yet Determined: 3
- 1. If yes, indicate each type of disability found with a "1"
Mental Retardation _____
Visually or Hearing Impaired _____
Physically Disturbed (DSM III) _____
Other Medically Diagnosed Condition Requiring Special Care _____
- E. 1. Has this child ever been adopted? _____
Yes: 1
No: 2
Unable to Determine: 3
- 2. If yes, how old was the child when the adoption was legalized? _____
Less than 2 years old: 1
2 to 5 years old: 2
6 to 12 years old: 3
13 years old or older: 4

- Unable to Determine: 5
- III. Removal/Placement Setting Indicators
- A. Removal Episodes
- Date of First Removal From Home (mo.) (day) (yr.) _____
- Total Number of Removals From Home to Date _____
- Date Child was Discharged From Last Foster Care Episode (if Applicable) (mo.) (day) (yr.) _____
- **Date of Latest Removal From Home (mo.) (day) (yr.) _____
- ** Transaction Date (mo.) (day) (yr.) _____

- B. Placement Settings
- Date of Placement in Current Foster Care Setting (mo.) (day) (yr.) _____
- Number of Previous Placement Settings During This Removal Episode _____

- IV. Circumstances of Removal
- A. Manner of Removal From Home for Current Placement Episode _____
Voluntary: 1
Court Ordered: 2
Not Yet Determined: 3

- B. Actions or Conditions Associated With Child's Removal: (Indicate all that apply with a "1")
- Physical Abuse (Alleged/Reported) _____
- Sexual Abuse (Alleged/Reported) _____
- Neglect (Alleged/Reported) _____
- Alcohol Abuse (Parent) _____
- Drug Abuse (Parent) _____
- Alcohol Abuse (Child) _____
- Child's Disability _____
- Child's Behavior Problem _____
- Death of Parent(s) _____
- Incarceration of Parent(s) _____
- Caretaker's Inability to Cope Due to Illness _____
- or Other Reasons _____
Abandonment _____
Relinquishment _____
Inadequate Housing _____

- **V. Current Placement Setting _____
- **A. Pre-Adoptive Home: 1
Foster Family Home (Relative): 2
Foster Family Home (Non-Relative): 3
Group Home: 4
Institution: 5
Supervised Independent Living: 6
Runaway: 7
Trial Home Visit: 8
- **B. Is Current Placement Out-of-State? _____
Yes (Out-of-State Placement): 1
No (In State Placement): 2

- **VI. Most Recent Case Plan Goal _____
- Reunify With Parent(s) or Principal Caretaker(s): 1
Live With Other Relative(s): 2
Adoption: 3
Long Term Foster Care: 4
Emancipation: 5
Guardianship: 6
Case Plan Goal Not Yet Established: 7

- VII. Principal Caretaker(s) Information
- A. Caretaker Family Structure _____
Married Couple: 1
Unmarried Couple: 2
Single Female: 3
Single Male: 4
Unable to Determine: 5
- B. Year of Birth _____
1st Principal Caretaker _____
2nd Principal Caretaker (if Applicable) _____

- VIII. Parental Rights Termination (if Applicable)
- A. Mother (mo.) (day) (yr.) _____

- B. Legal or Putative Father (mo.) (day) (yr.) _____

IX. Foster Family Home—Parent(s) Data (To be answered only if Section V., Part A. CURRENT PLACEMENT SETTING is 1, 2 or 3)

- A. Foster Family Structure _____
Married Couple: 1
Unmarried Couple: 2
Single Female: 3
Single Male: 4
- B. Year of Birth _____
1st Foster Caretaker _____
2nd Foster Caretaker (if Applicable) _____
- C. Race/Origin _____
1. Race of 1st Foster Caretaker _____
White: 1
Black: 2
American Indian/Alaskan Native: 3
Asian/Pacific Islander: 4
Unable to Determine: 5
2. Hispanic Origin of 1st Foster Caretaker _____
Yes: 1
No: 2
Unable to Determine: 3
- 3. Race of 2nd Foster Caretaker (if Applicable) _____
White: 1
Black: 2
American Indian/Alaskan Native: 3
Asian/Pacific Islander: 4
Unable to Determine: 5
4. Hispanic Origin of 2nd Foster Caretaker (if applicable) _____
Yes: 1
No: 2
Unable to Determine: 3

- X. Outcome Information
- **A. Date of Discharge From Foster Care (mo.) (day) (yr.) _____
- **Transaction Date (mo.) (day) (yr.) _____
- **B. Reason for Discharge _____
Reunification With Parents or Primary Caretakers: 1
Living With Other Relative(s): 2
Adoption: 3
Emancipation: 4
Guardianship: 5
Transfer to Another Agency: 6
Runaway: 7
Death of Child: 8

XI. Source(s) of Federal Financial Support/ Assistance for Child (Indicate all that apply with a "1")

- Title IV—E (Foster Care) _____
- Title IV—E (Adoption Assistance) _____
- Title IV—A (Aid to Families with Dependent Children) _____
- Title IV—D (Child Support) _____
- Title XIX (Medicaid) _____
- SSI or Other Social Security Act Benefits _____
- None of the Above _____

Section II—Definitions of and Instructions for Foster Care Data Elements

Reporting population. The population to be included in this reporting system includes all children in foster care under the responsibility of the State agency administering or supervising the administration of the title IV—B child welfare services State plan and the title IV—E State plan; that is, all children who are required to be provided the protections of section 427 of the Social Security Act (SSA).

This population includes all children supervised by or under the responsibility of

another public agency with which the title IV-B/IV-E State agency has an agreement under title IV-E and on whose behalf the State makes title IV-E foster care maintenance payments.

Foster care is defined as 24 hour substitute care for children outside their own homes. The reporting system includes all children who have or had been in foster care at least 24 hours. The foster care settings include, but are not limited to:

- Family foster homes
- Relative foster homes (whether payments are being made or not)
- Group homes
- Emergency shelters
- Residential facilities
- Child care institutions
- Pre-adoptive homes

Foster care does not include children who are in their own homes under the responsibility of the State agency. However, children who are at home on a trial basis may be included even though they are not considered to be in foster care. If they are included, element number V. CURRENT PLACEMENT SETTING must be given the value of "6".

I. General Information

A. State**—U.S. Postal Service two letter abbreviation for the State submitting the report.

B. Report Date**—The last month and the year for the reporting period.

C. Local Agency**—Identity of the county or equivalent unit which has responsibility for the case. The 5 digit Federal Information Processing Standard (FIPS) must be used.

D. Record Number**—The sequential number which the State uses to transmit data to the Department of Health and Human Services (DHHS). The record number cannot be linked to the child's case I.D. number except at the State or local level.

E. Date of Most Recent Periodic Review (if applicable)—For children who have been in care seven months or longer, enter the month, day and year of the most recent administrative or court review, including dispositional hearing. For children who have been in care less than seven months, leave the field blank. An entry in this field certifies that the child's computer record is current up to this date.

II. Child's Demographic Information

A. Date of Birth**—Month, day and year of the child's birth. If the child is abandoned or the date of birth is otherwise unknown, enter an approximate date of birth. Use the 15th as the day of birth.

B. Sex**—Indicate as appropriate.

C. Race/Origin**

1. Race—In general, a person's race is determined by how others define them or by how they define themselves. In the case of young children, parents determine the race of the child.

White—A person of European, North African, or Middle Eastern origin.

Black—A person whose ancestry is any of the black racial groups of Africa.

American Indian/Alaskan Native—A person whose ancestry is North American, and who maintains tribal affiliation or is so recognized in the community.

Asian/Pacific Islander—A person whose origin is the Far East, Southeast Asia, the Indian sub-continent, or the Pacific Islands. This includes, for example, China, India, Japan, Korea, the Philippine Islands, Samoa and Vietnam.

Unable to Determine—The specific race category is "unable to determine" because the child is very young or is severely disabled and no person is available to identify the child's race.

2. Hispanic Origin—Answer "yes" if the child is a Mexican, Puerto Rican, Cuban, Central or South American person, or person of other Spanish cultural origin regardless of race. Whether or not a person is Hispanic is determined by how others define them or by how they define themselves. In the case of young children, parents determine the race of the child. "Unable to Determine" is used because the child is very young or is severely disabled and no person is available to determine whether or not the child is Hispanic. "No" is used when it is clear that the child is not Hispanic.

D. Has the child been clinically diagnosed as having a disability(ies)? "Yes" indicates that a qualified professional has clinically diagnosed the child as having at least one of the disabilities listed below. "No" indicates that a qualified professional has conducted a clinical assessment of the child and has determined that the child has no disabilities. "Not Yet Determined" indicates that a clinical assessment of the child by a qualified professional has not been conducted.

1. Indicate Each Type of Disability With a "1"

Mental Retardation—Significantly subaverage general cognitive and motor functioning existing concurrently with deficits in adaptive behavior manifested during the developmental period that adversely affect a child's/youth's socialization and learning.

Visually or Hearing Impaired—Having a visual impairment that may significantly affect educational performance or development; or a hearing impairment, whether permanent or fluctuating, that adversely affects educational performance.

Physically Disabled—A physical condition that adversely affects the child's day-to-day motor functioning, such as cerebral palsy, spina bifida, multiple sclerosis, orthopedic impairments, and other physical disabilities.

Emotionally Disturbed (DSM III)—A condition exhibiting one or more of the following characteristics over a long period of time and to a marked degree: An inability to build or maintain satisfactory interpersonal relationships; inappropriate types of behavior or feelings under normal circumstances; a general pervasive mood of unhappiness or depression; or a tendency to develop physical symptoms or fears associated with personal problems. The term includes persons who are schizophrenic or autistic. The term does not include persons who are socially maladjusted, unless it is determined that they are also seriously emotionally disturbed. The diagnosis is based on the Diagnostic and Statistical Manual of Mental Disorders (Third Edition) (DSM III) or the most recent edition.

Other Medically Diagnosed Conditions Requiring Special Care—Conditions other

than those noted above which require special medical care such as chronic illnesses. Included are children diagnosed as HIV positive or with AIDS.

E. 1. Has this child ever been adopted? If this child has ever been legally adopted, enter "yes." If the child has never been legally adopted, enter "no". Enter "Unable to Determine" if the child has been abandoned or the child's parent(s) are otherwise not available to provide the information.

2. If yes, how old was the child when the adoption was legalized? Enter the number which represents the appropriate age range. If uncertain, use an estimate. If no one is available to provide the information, enter "Unable to Determine."

III. Removal/Placement Setting Indicators

A. Removal Episodes—The removal of the child from his/her normal place of residence resulting in his/her placement in a foster care setting.

Date of First Removal From Home—Month, day and year the child was removed from home for the first time for purpose of placement in a foster care setting. If the current removal is the first removal, enter the date of the current removal.

Total Number of Removals from Home to Date—The number of times the child was removed from home, including the current removal.

Date Child was Discharged From Last Foster Care Episode (if Applicable)—For children with prior removals, enter the month, day and year they were discharged from care for the episode immediately prior to the current episode. For children with no prior removals, leave blank.

Date of Latest Removal From Home**—Month, day and year the child was last removed from his/her home for the purpose of being placed in foster care. This would be the date for the current episode or, if the child has exited foster care, the date of removal for the most recent removal.

Transaction Date**—A computer generated date which accurately indicates the month, day and year the response to "Date of Latest Removal From Home" was entered into the information system.

B. Placement Settings

Date of Placement in Current Foster Care Setting—Month, day and year the child moved into the current foster home, facility, residence, shelter, institution, etc. for purposes of continued foster care.

Number of Previous Placement Settings During This Removal Episode—Enter the number of places the child has lived, including the current setting, during the current removal episode. Do not include trial home visits as a placement setting.

IV. Circumstances of Removal

A. Manner of Removal From Home for Current Placement Episode.

Voluntary Placement Agreement—An official voluntary placement agreement has been executed between the caretaker and the agency. The placement remains voluntary even if a subsequent court order is issued to continue the child in foster care.

* For children who have exited foster care. "current" refers to the most recent removal episode and the most recent placement setting.

Court Ordered—The court has issued an order which is the basis of the child's removal.

Not Yet Determined—A voluntary placement agreement has not been signed or a court order has not been issued. This will mostly occur in very short-term cases. When either a voluntary placement agreement is signed or a court order issued, the record should be updated to reflect the manner of removal at that time.

B. Actions or Conditions Associated With Child's Removal (Indicate all that apply with a "1".)

Physical Abuse—Alleged or substantiated physical abuse, injury or maltreatment of the child by a person responsible for the child's welfare.

Sexual Abuse—Alleged or substantiated sexual abuse or exploitation of a child by a person who is responsible for the child's welfare.

Neglect—Alleged or substantiated negligent treatment or maltreatment, including failure to provide adequate food, clothing, shelter or care.

Alcohol Abuse (Parent)—Principal caretaker's compulsive use of alcohol that is not of a temporary nature.

Drug Abuse (Parent)—Principal caretaker's compulsive use of drugs that is not of a temporary nature.

Alcohol Abuse (Child)—Child's compulsive use of or need for alcohol. This element should include infants addicted at birth.

Drug Abuse (Child)—Child's compulsive use of or need for narcotics. This element should include infants addicted at birth.

Child's Disability—Clinical diagnosis by a qualified professional of one or more of the following: Mental retardation; emotional disturbance; specific learning disability; hearing, speech or sight impairment; physical disability; or other clinically diagnosed handicap. Include only if the disability(ies) was at least one of the factors which led to the child's removal.

Child's Behavior Problem—Behavior in the school and/or community that adversely affects socialization, learning, growth, and moral development. These may include adjudicated or nonadjudicated child behavior problems. This would include the child's running away from home or other placement.

Death of Parent(s)—Family stress or inability to care for child due to death of a parent or caretaker.

Incarceration of Parent(s)—Temporary or permanent placement of a parent or caretaker in jail that adversely affects care for the child.

Caretaker's Inability to Cope Due to Illness or Other Reasons—Physical or emotional illness or disabling condition adversely affecting the caretaker's ability to care for the child.

Abandonment—Child left alone or with others; caretaker did not return or make whereabouts known.

Relinquishment—Parent(s), in writing, assigned the physical and legal custody of the child to the agency for the purpose of having the child adopted.

Inadequate Housing—Housing facilities were substandard, overcrowded, unsafe or otherwise inadequate resulting in their not

being appropriate for the parents and child to reside together. Also includes homelessness.

V. Current Placement Setting**

A. Identify the type of setting in which the child currently lives.

Pre-Adoptive Home—A home in which the family intends to adopt the child. The family may or may not be receiving a foster care payment or an adoption subsidy on behalf of the child.

Foster Family Home (Relative)—A licensed or unlicensed home of the child's relatives regarded by the State as a foster care living arrangement for the child.

Foster Family Home (Non-Relative)—A licensed foster family home regarded by the State as a foster care living arrangement.

Group Home—A licensed or approved home providing 24-hour care for children in a small group setting that generally has from seven to twelve children.

Institution—A child care facility operated by a public or private agency and providing 24-hour care and/or treatment for children who require separation from their own homes and group living experience. These facilities may include: Child care institutions; residential treatment facilities; maternity homes; etc.

Supervised Independent Living—An alternative transitional living arrangement where the child is under the supervision of the agency but without 24 hour adult supervision, is receiving financial support from the child welfare agency, and is in a setting which provides the opportunity for increased responsibility for self care.

Runaway—The child has run away from the foster care setting.

Trial Home Visit—The child has been in a foster care placement, but, under State agency supervision, has been returned to the principal caretaker for a limited and specified period of time.

B. Is current placement setting out of State?
"Yes" indicates that the current placement setting is located outside of the state making the report.

"No" indicates that the child continues to reside within the state making the report.

Note: Only the state with placement and care responsibility for the child should include the child in this reporting system.

VI. Most Recent Case Plan Goal**

Indicate the most recent case plan goal for the child based on the latest review of the child's case plan—whether a court review or an administrative review. If the child has been in care less than six months, enter the goal in the case record as determined by the caseworker.

Reunify With Parents or Principal Caretaker(s)—The goal is to keep the child in foster care for a limited time to enable the agency to work with the family with whom the child had been living prior to entering foster care in order to reestablish a stable family environment.

Live With Other Relatives—The goal is to have the child live permanently with a relative or relatives other than the ones from whom the child was removed. This could include guardianship by a relative(s).

Adoption—The goal is to facilitate the child's adoption by relatives, foster parents or other unrelated individuals.

Long Term Foster Care—Because of specific factors or conditions, it is not appropriate or possible to return the child home or place her or him for adoption, and the goal is to maintain the child in a long term foster care placement.

Emancipation—Because of specific factors or conditions, it is not appropriate or possible to return the child home, have a child live permanently with a relative or have the child be adopted; therefore, the goal is to maintain the child in a foster care setting until the child reaches the age of majority.

Guardianship—The goal is to facilitate the child's placement with an agency or unrelated caretaker, with whom he or she was not living prior to entering foster care, and whom a court of competent jurisdiction has designated as legal guardian.

Case Plan Goal Not Yet Established—No case plan goal has yet been established other than the care and protection of the child.

VII. Principal Caretaker(s) Information

A. Caretaker Family Structure—Select from the four alternatives—married couple, unmarried couple, single female, single male—the category which best describes the type of adult caretaker(s) from whom the child was removed for the current foster care episode. Enter "Unable to Determine" if the child has been abandoned or the child's caretakers are otherwise unknown.

B. Year of Birth—Enter the year of birth for up to two caretakers. If the response to data element VII. A.—Caretaker Family Structure, was 1 or 2, enter data for two caretakers. If the response was 3 or 4, enter data only for the first caretaker. If the exact year of birth is unknown, enter an estimated year of birth.

VIII. Parental Rights Termination

Enter the month, day and year that the court terminated the parental rights. If the parents are known to be deceased, enter the date of death.

IX. Family Foster Home—Parent(s) Data

Provide information only if data element in Section V., Part A. CURRENT PLACEMENT SETTING is 1, 2, or 3.

A. Foster Family Structure—Select from the four alternatives—married couple, unmarried couple, single female, single male—the category which best describes the nature of the foster parents with whom the child is living in the current foster care episode.

B. Year of Birth—Enter the year of birth for up to two foster parents. If the response to data element IX. A.—Foster Family Structure, was 1 or 2, enter data for two caretakers. If the response was 3 or 4, enter data only for the first caretaker. If the exact year of birth is unknown, enter an estimated year of birth.

C. Race—See instructions and definitions under data element II.C. Indicate the race/origin for each of the foster parent(s).

D. Hispanic Origin—See instructions and definitions under data element II.D. Indicate the race/origin for each of the foster parent(s).

X. Outcome Information

Enter data only for children who have exited foster care during the reporting period.

A. Date of Discharge From Foster Care**—Enter the month, day and year the child was discharged from foster care. If the child has not been discharged from care, leave blank.

Transaction Date**—A computer generated date which accurately indicates the month, day and year the response to "Date of Discharge from Foster Care" was entered into the information system.

B. Reason for Discharge**
Reunification With Parents or Primary Caretakers—The child was returned to his or her principal caretaker(s)' home.

Living With Other Relatives—The child went to live with a relative other than the one from whose home he or she was removed.

Adoption—The child was legally adopted.

Emancipation—The child reached majority according to State law by virtue of age, marriage, etc.

Guardianship—Permanent custody of the child was awarded to an individual.

Transfer to Another Agency—Responsibility for the care of the child was awarded to another agency—either in or outside of the State.

Runaway—The child ran away from the foster care placement.

Death of Child—The child died while in foster care.

XI. Source(s) of Federal Support/Assistance for Child (Indicate all That Apply With a "1".)

Title IV-E (Foster Care)—Title IV-E foster care maintenance payments are being paid on behalf of the child.

Title IV-E (Adoption Subsidy)—Title IV-E adoption subsidy is being paid on behalf of the child who is in an adoptive home, but the adoption has not been legalized.

Title IV-A (Aid to Families With Dependent Children)—Child is living with relative(s) whose source of support is an AFDC payment for the child.

Title IV-D (Child Support)—Child support funds are being paid to the State agency on behalf of the child by assignment from the receiving parent.

Title XIX (Medicaid)—Child is eligible for and may be receiving assistance under title XIX.

SSI or Other Social Security Act Benefits—Child is receiving support under title XVI or other Social Security Act titles not included in this section.

None of the Above—Child is receiving support only from the State or from some other source (Federal or non-Federal) which is not indicated above.

Appendix B to Part 1355—Adoption Data Elements

Section I—Adoption Data Elements

I. General Information

A. State _____

B. Report Date (mo.) (day) (yr.) _____

C. Record Number _____

D. Did the State Agency Have any Involvement in This Adoption? _____

Yes: 1

No: 2

II. Child's Demographic Information

A. Date of Birth (mo) (day) (yr.) _____

B. Sex _____

Male: 1

Female: 2

C. Race/Origin

1. Race _____

White: 1

Black: 2

American Indian/Alaskan Native: 3

Asian/Pacific Islander: 4

Unable to Determine: 5

2. Hispanic Origin _____

Yes: 1

No: 2

Unable to determine: 3

III. Special Needs Status

A. Has the State child welfare agency determined that this child has special needs? _____

Yes: 1

No: 2

B. If yes, indicate the primary basis for determining that this child has special needs _____

Racial/Original Background: 1

Age: 2

Membership in a Sibling Group to be Placed for Adoption Together: 3

Medical Conditions or Mental, Physical or Emotional Disabilities: 4

Other: 5

1. If III. B was "4," indicate with a "1" the type(s) of disability(ies)
 Mental Retardation _____
 Visually or Hearing Impaired _____
 Physically Disabled _____
 Emotionally Disturbed (DSM III) _____
 Other Medically Diagnosed Condition Requiring Special Care _____

IV. Birth Parents

A. Year of Birth _____

Mother, if known _____

Father (Putative or Legal), if known _____

B. Was the mother married at the time of the child's birth? _____

Yes: 1

No: 2

Unable to Determine: 3

V. Court Actions

A. Dates of Termination of Parental Rights

Mother (mo.) (day) (yr.) _____

Father (mo.) (day) (yr.) _____

B. Date Adoption Legalized (mo.) (day) (yr.) _____

VI. Adoptive Parents

A. Family Structure _____

Married Couple: 1

Unmarried Couple: 2

Single Female: 3

Single Male: 4

B. Year of Birth

Mother (if Applicable) _____

Father (if Applicable) _____

C. Race/Origin

1. Adoptive Mother's Race (If Applicable)

White: 1

Black: 2

American Indian/Alaskan Native: 3

Asian/Pacific Islander: 4

Unable to Determine: 5

2. Hispanic Origin of Mother (If Applicable) _____

Yes: 1

No: 2

Unable to Determine: 3

3. Adoptive Father's Race (If Applicable)

White: 1

Black: 2

American Indian/Alaskan Native: 3

Asian/Pacific Islander: 4

Unable to Determine: 5

4. Hispanic Origin of Father (If Applicable)

Yes: 1

No: 2

Unable to Determine: 3

D. Relationship of Adoptive Parent(s) to the Child (Indicate with a "1" all that apply)

Stepparent _____

Other Relative of Child by Birth or Marriage _____

Foster Parent of Child _____

Non-Relative _____

VII. Placement Information

A. Child Was Placed From _____

Within State: 1

Another State: 2

Another Country: 3

B. Child Was Placed by _____

Public Agency: 1

Private Agency: 2

Tribal Agency: 3

Independent Person: 4

Birth Parent: 5

VIII. Federal/State Financial Adoption Support

A. Is a monthly financial subsidy being paid for this child? _____

Yes: 1

No: 2

B. If yes, the monthly amount _____

C. If VIII. A is yes, is the subsidy paid under Title IV-E adoption assistance? _____

Yes: 1

No: 2

Section II—Definitions of Instructions for Adoption Data Elements

Reporting population

The State must report on all children who are adopted in the State during the reporting period and in whose adoption the State title IV-B/IV-E agency has had any involvement. All adoptions which occurred on or after October 1, 1994 and which meet the criteria set forth in this regulation must be reported. Failure to report on these adoptions will result in penalties being assessed. Reports on all other adoptions are encouraged but are voluntary. Therefore, reports on the following are mandated:

(a) All children adopted who had been in foster care under the responsibility and care of the State child welfare agency and who were subsequently adopted whether special needs or not and whether subsidies are provided or not;

(b) All special needs children who were adopted in the State, whether or not they were in the public foster care system prior to their adoption and for whom non-recurring expenses were reimbursed; and

(c) All children adopted for whom an adoption assistance payment or service is being provided based on arrangements made by or through the State agency.

These children must be identified by answering "yes" to data element I.D.

Children who are reported by the State, but for whom there has not been any State involvement, and whose reporting, therefore, has not been mandated, are identified by answering "no" to element I.D.

I. General Information

A. State—U.S. Postal Service two letter abbreviation for the State submitting the report.

B. Report Date—The last month and the year for the reporting period.

C. Record Number—The sequential number which the State uses to transmit data to the Department of Health and Human Services (DHHS). The record number cannot be linked to the child except at the State or local level.

D. Did the State Agency Have Any Involvement in This Adoption?

Indicate whether the State Title IV-B/IV-E agency had any involvement in this adoption, that is, whether the adopted child belongs to one of the following categories:

- A child who had been in foster care under the responsibility and care of the State child welfare agency and who was subsequently adopted whether special needs or not and whether a subsidy was provided or not;
- A special needs child who was adopted in the State, whether or not he/she was in the public foster care system prior to his/her adoption and for whom non-recurring expenses were reimbursed; or
- A child for whom an adoption assistance payment or service is being provided based on arrangements made by or through the State agency.

II. Child's Demographic Information

A. Date of Birth—Month and year of the child's birth. If the child was abandoned or the date of birth is otherwise unknown, enter an approximate date of birth.

B. Sex—Indicate as appropriate.

C. Race/Origin.

1. Race—In general, a person's race is determined by how others define them or by how they define themselves. In the case of young children, parents determine the race of the child.

White—A person of European, North African, or Middle Eastern origin.

Black—A person whose ancestry is any of the black racial groups of Africa.

American Indian/Alaskan Native—A person whose ancestry is North American, and who maintains tribal affiliation or is so recognized in the community.

Asian/Pacific Islander—A person whose origin is the Far East, Southeast Asia, the Indian sub-continent, or the Pacific Islands. This includes for example, China, India, Japan, Korea, the Philippine Islands, Samoa and Vietnam.

Unable to Determine—The specific race category is "Unable to Determine" because the child is very young or is severely disabled and no other person is available to identify the child's race.

2. Hispanic Origin—Answer "yes" if the child is a Mexican, Puerto Rican, Cuban, Central or South American person, or person of other Spanish cultural origin regardless of race. Whether or not a person is Hispanic is determined by how others define them or by

how they define themselves. In the case of young children, parents determine the race of the child. "Unable to Determine" is used because the child is very young or is severely disabled and no other person is available to determine whether or not the child is Hispanic.

III. Special Needs Status

A. Has the State Agency Determined That the Child has Special Needs?

Use the State definition of special needs as it pertains to a child eligible for an adoption subsidy under title IV-E.

B. Primary Factor or Condition for Special Needs—Indicate only the primary factor or condition for categorization as special needs and only as it is defined by the State.

Racial/Original Background—Primary condition or factor for special needs is racial/original background as defined by the State.

Age—Primary factor or condition for special needs is age of the child as defined by the State.

Membership in a Sibling Group to be Placed for Adoption Together—Primary factor or condition for special needs is membership in a sibling group as defined by the State.

Medical Conditions of Mental, Physical, or Emotional Disabilities—Primary factor or condition for special needs is the child's medical condition as defined by the State, but clinically diagnosed by a qualified professional.

When this is the response to question B, then item 1 below must be answered.

1. Types of Disabilities—Data are only to be entered if response to III.B was "4." Indicate with a "1" the types of disabilities.

Mental Retardation—Significantly subaverage general cognitive and motor functioning existing concurrently with deficits in adaptive behavior manifested during the developmental period that adversely affect a child's/youth's socialization and learning.

Visually or Hearing Impaired—Having a visual impairment that may significantly affect educational performance or development; or a hearing impairment, whether permanent or fluctuating, that adversely affects educational performance.

Physically Disabled—A physical condition that adversely affects the child's day-to-day motor functioning, such as cerebral palsy, spina bifida, multiple sclerosis, orthopedic impairments, and other physical disabilities.

Emotionally Disturbed (DSM III)—A condition exhibiting one or more of the following characteristics over a long period of time and to a marked degree: An inability to build or maintain satisfactory interpersonal relationships; inappropriate types of behavior or feelings under normal circumstances; a general pervasive mood of unhappiness or depression; or a tendency to develop physical symptoms or fears associated with personal problems. The term includes persons who are schizophrenic or autistic. The term does not include persons who are socially maladjusted, unless it is determined that they are also seriously emotionally disturbed. Diagnosis is based on the *Diagnostic and Statistical Manual of Mental Disorders (Third Edition)* (DSM III) or the most recent edition.

Other Medically Diagnosed Conditions Requiring Special Care—Conditions other than those noted above which require special medical care such as chronic illnesses. Included are children diagnosed as HIV positive or with AIDS.

IV. Birth Parents

A. Year of Birth—Enter the year of birth for both parents, if known. If the child was abandoned and no information was available on either one or both parents, leave blank for the parent(s) for which no information was available.

B. Was the Mother Married at the Time of the Child's Birth?

Indicate whether the mother was married at time of the child's birth; include common law marriage if legal in the State. If the child was abandoned and no information was available on the mother, enter "Unable to Determine."

V. Court Actions

A. Dates of Termination of Parental Rights—Enter the month, day and year that the court terminated parental rights. If the parents are known to be deceased, enter the date of death.

B. Date Adoption Legalized—Enter the date the court issued the final adoption decree.

VI. Adoptive Parents

A. Family Structure—Select from the four alternatives—married couple, unmarried couple, single female, single male—the category which best describes the nature of the adoptive parent(s) family structure.

B. Year of Birth—Enter the year of birth for up to two adoptive parents. If the response to data element IV.A—Family Structure, was 1 or 2, enter data for two parents. If the response was 3 or 4, enter data only for the appropriate parent. If the exact year of birth is unknown, enter an estimated year of birth.

C. Race/Origin—See instructions and definitions under data element II.C. Indicate the race/origin for each of the adoptive parent(s).

D. Relationship to Adoptive Parent(s)—Indicate the prior relationship(s) the child had with the adoptive parent(s).

Stepparent—Spouse of the child's birth mother or birth father.

Other Relative of Child by Birth or Marriage—A relative through the birth parents by blood or marriage.

Foster Parent of Child—Child was placed in a non-relative foster family home with a family which later adopted him or her. The initial placement could have been for the purpose of adoption or for the purpose of foster care.

Non-Relative—Adoptive parent fits into none of the categories above.

VII. Placement Information

A. Child Was Placed From: Indicate the location of the individual or agency that had custody or responsibility for the child at the time of initiation of adoption proceedings.

Within State—Responsibility for the child resided with an individual or agency within the State filing the report.

Another State—Responsibility for the child resided with an individual or agency in another State or territory of the United States.

Another Country—Immediately prior to the adoptive placement, the child was residing in another country and was not a citizen of the United States.

B. Child Was Placed By: Indicate the individual or agency which placed the child for adoption.

Public Agency—A unit of State or local government.

Private Agency—A for-profit or non-profit agency or institution.

Tribal Agency—A unit within one of the Federally recognized Indian Tribes or Indian Tribal Organizations.

Independent Person—A doctor, a lawyer or some other individual.

Birth Parent—The parent(s) placed the child directly with the Adoptive parent(s).

VIII. State/Federal Adoption Support

A. Is The Child Receiving a Monthly Subsidy?

Enter "yes" if this child was adopted with an adoption assistance agreement under which: (1) regular subsidies (Federal or State) are paid; (2) the child is eligible for services under titles XIX or XX; or (3) Federal or State funds are made available for other types of assistance or services (including the non-recurring costs of adoption).

B. Monthly Amount—Indicate the monthly amount of the subsidy. The amount of the subsidy should be rounded to the nearest dollar. Indicate "0" if the subsidy includes only benefits under titles XIX or XX of the Social Security Act.

C. If VIII.A is "Yes," is Child Receiving Title IV-E Adoption Subsidy?

If VIII.A is "yes," indicate whether the subsidy is claimed by the State for reimbursement under title IV-E. Do not include title IV-E non-recurring costs in this item.

Appendix C to Part 1355—Electronic Data Transmission Format

All AFCARS data to be sent from State agencies/Indian Tribes to the Department are to be in electronic form. In order to meet this general specification, the Department will offer as much flexibility as possible. Technical assistance will be provided to negotiate a method of transmission best suited to the States' environment.

There will be four semi-annual electronic data transmissions from the States to the Administration for Children and Families (ACF). The Summary Submission File, one each for Foster Care and Adoption, and the Detail Submission File, one each for Foster Care and Adoption. The Summary File must be transmitted first, followed immediately by the Detail File. See appendix D for Foster Care and Adoption Detail and Summary record layout formats.

There are four methods for electronic data exchange currently operating for other Departmental programs of a similar nature. These methods are: (1) MITRON tape-to-tape

transfer, (2) mainframe-to-mainframe data transfer, (3) personal computer (PC) to mainframe data transmission using a data transfer protocol, and (4) a personal computer to personal computer protocol. A general description of these methods is provided below:

1. MITRON, Tape-to-Tape Data Transmission

In order to use the MITRON system, both the sender and receiver must have MITRON equipment (tape drive and main unit) and software. The MITRON system is capable of handling a large volume of data but is limited to one reel of tape per transmission session. (If the data quantity exceeds one tape, a header/trailer record must be placed on each physical tape reel.) These are standard 2400 foot tapes, using standard labels. The tape density is limited to the 1600 bits per inch (bpi) specification.

2. Mainframe-to-Mainframe

The ACF has installed a mainframe-to-mainframe data exchange system using the Sterling Software data transfer package called "SUPERTRACS." This package will allow data exchange between most computer platforms (both main and mainframe) and the Department's mainframe in a dial-up mode. No additional software is needed by the remote computer site beyond what the Department will supply. This method has proven effective for small to moderate amounts (100 to 5,000 records) of data.

3. Electronic File Transfer Between PC and Mainframe

This method uses the SIMPC software package on the personal computer and the host mainframe. The software will be provided by the Department. This method is best suited for small to moderate (100 to 5,000) records transmissions. The advantages of Electronic File Transfer are the elimination of tapes and associated problems and the advantage of automatic record checking during the transmission session. If a State is currently maintaining the AFCARS data on a personal computer and is unable to download and upload to its mainframe, Electronic File Transfer is an appropriate transmission mechanism.

4. Personal Computer to Personal Computer

This method uses the SIMPC software package on the sending personal computer and the receiving personal computer. The software will be provided by the Department. This method is best suited for small to moderate (100 to 5,000) records transmissions. The advantages of Electronic File Transfer are the elimination of tapes and associated problems and the advantage of automatic record checking during the transmission session. If a State is currently maintaining the AFCARS data on a personal computer, the personal computer to personal computer transfer is an appropriate transmission mechanism.

In conjunction with Departmental staff, State agencies and Indian Tribes should review their resources and select the system that will best suit their data transmission needs. Over time, State agencies and Indian Tribes can change their transmission methods, provided that proper notification is provided.

Regardless of the electronic data transmission methodology selected, certain criteria must be met by the State agencies and Indian Tribes:

(1) Records must be written using ASCII standard character format.

(2) All elements must be comprised of integer (numeric) value(s). Element character length specifications refer to the maximum number of numeric values permitted for that element. See appendix D.

(3) All records must be a fixed length. The Foster Care Detailed Data Elements Record is 139 characters long and the Adoption Detailed Data Elements Record is 71 characters long. The Foster Care Summary Data Elements Record and the Adoption Summary Data Elements Record are each 172 characters long.

(4) All States and Indian Tribes must inform the Department, in writing, of the method of transfer they intend to use.

Appendix D to Part 1355—Foster Care and Adoption Record Layouts

A. Foster Care

1. Foster Care Semi-Annual Detailed Data Elements Record

a. The record will consist of 65 data elements.

b. Data must be supplied for each of the elements in accordance with these instructions:

(1) All data must be numeric. Enter the appropriate value for each element.

(2) Enter date values in year, month and day order (YYMMDD), e.g., 890122 for January 22, 1989 or year and month (YYMM) order, e.g., 8901 for January 1989. If dates are not applicable, leave the element value blank.

(3) For elements 11-15, 26-40, and 59-65, which are "select all that apply" elements, enter a "1" for each element that applies, enter a zero for non-applicable elements.

(4) Transaction Date—is a computer generated date indicating when the datum (Elements 21 or 55) is entered into the State's automated information system.

(5) Report the status of all children in foster care as of the last day of the reporting period. Also, provide data for all children who were discharged from foster care at any time during the reporting period, or in the previous reporting period, if not previously reported.

c. Foster Care Semi-Annual Detailed Data Elements Record Layout follows:

Element No.	Appendix A data element	Data element description	No. of numeric characters
01	I.A.	State	2
02	I.B.	Report period ending date	4

Element No.	Appendix A data element	Data element description	No. of numeric characters
03	I.C.	Local Agency FIPS code (county or equivalent jurisdiction)	5
04	I.D.	Record number	6
05	I.E.	Date of most recent periodic review (if applicable)	6
06	II.A.	Date of birth	6
07	II.B.	Sex	1
08	II.C.1.	Race	1
09	II.C.2.	Hispanic origin	1
10	II.D.	Has this child been clinically diagnosed as having a disability(ies) Indicate each type of disability of the child with a "1" for elements 11-15 and a zero for disabilities that do not apply.	1
11	II.D.1.a.	Mental retardation	1
12	II.D.1.b.	Visually or hearing impaired	1
13	II.D.1.c.	Physically disabled	1
14	II.D.1.d.	Emotionally disturbed (DSM III)	1
15	II.D.1.e.	Other medically diagnosed condition requiring special care	1
16	III.E.1.	Has this child ever been adopted	1
17	III.E.2.	If yes, how old was the child when the adoption was legalized?	1
18	III.A.1.	Date of first removal from home	6
19	III.A.2.	Total number of removals from home to date	2
20	III.A.3.	Date child was discharged from last foster care episode (if applicable)	6
21	III.A.4.	Date of latest removal from home	6
22	III.A.5.	Removal transaction date	6
23	III.B.1.	Date of placement in current foster care setting	6
24	III.B.2.	Number of previous placement settings during this removal episode	2
25	IV.A.	Manner of removal from home for current placement episode Actions or conditions associated with child's removal: Indicate with a "1" for elements 26-40 and a zero for conditions that do not apply.	1
26	IV.B.1.	Physical abuse (alleged/reported)	1
27	IV.B.2.	Sexual abuse (alleged/reported)	1
28	IV.B.3.	Neglect (alleged/reported)	1
29	IV.B.4.	Alcohol abuse (parent)	1
30	IV.B.5.	Drug abuse (parent)	1
31	IV.B.6.	Alcohol abuse (child)	1
32	IV.B.7.	Drug abuse (child)	1
33	IV.B.8.	Child's disability	1
34	IV.B.9.	Child's behavior problem	1
35	IV.B.10.	Death of parent(s)	1
36	IV.B.11.	Incarceration of parent(s)	1
37	IV.B.12.	Caretaker's inability to cope due to illness or other reasons	1
38	IV.B.13.	Abandonment	1
39	IV.B.14.	Relinquishment	1
40	IV.B.15.	Inadequate housing	1
41	V.A.	Current placement setting	1
42	V.B.	Out of State placement	1
43	VI.	Most recent case plan goal	1
44	VII.A.	Caretaker family structure	1
45	VII.B.1.	Year of birth (1st principal caretaker)	2
46	VII.B.2.	Year of birth (2nd principal caretaker—if applicable)	2
47	VIII.A.	Date of mother's parental rights termination (if applicable)	6
48	VIII.B.	Date of legal or putative father's parental rights termination (if applicable)	6
49	IX.A.	Foster family structure	1
50	IX.B.1.	Year of birth (1st foster caretaker)	2
51	IX.B.2.	Year of birth (2nd foster caretaker—if applicable)	2
52	IX.C.1.	Race of 1st foster caretaker	1
53	IX.C.2.	Hispanic origin of 1st foster caretaker	1
54	IX.C.3.	Race of 2nd foster caretaker (if applicable)	1
55	IX.C.4.	Hispanic origin of 2nd foster caretaker (if applicable)	1
56	X.A.1.	Date of discharge from foster care	6
57	X.A.2.	Foster care discharge transaction date	6
58	X.B.	Reason for discharge Sources of Federal support/assistance for child; Indicate with a "1" for elements 58-64 and a zero for sources that do not apply.	1
59	XI.A.	Title IV-N (Foster Care)	1
60	XI.B.	Title IV-E (Adoption Assistance)	1
61	XI.C.	Title IV-A (Aid to Families With Dependent Children)	1
62	XI.D.	Title IV-D (Child Support)	1
63	XI.E.	Title XIX (Medicaid)	1
64	XI.F.	SSI or other Social Security Act benefits	1
65	XI.G.	None of the above	1
		Total characters	139

2. Foster Care Semi-Annual Summary Data Elements Record

a. The record will consist of 22 data elements.

The values for these data elements are generated by processing all records in the semi-annual detailed data transmission and

computing the summary values for Elements 1 and 3-22. Element 2 is the semi-annual report period ending date. In calculating the age range for the child, the last day of the reporting period is to be used.

b. Data must be supplied for each of the elements in accordance with these instructions:

(1) Enter the appropriate value for each element.

(2) For all elements where the total is zero, enter a numeric zero.

(3) Enter date values in year, month order (YYMM), e.g., 9112 for December 1991.

c. Foster Care Semi-Annual Summary Data Elements Record Layout follows:

Element No.	Summary data file	No. of characters
01	Number of records	8
02	Report period ending date (YYMM)	4
03	Children in care under 1 year	8
04	Children in care 1 year old	8
05	Children in care 2 years old	8
06	Children in care 3 years old	8
07	Children in care 4 years old	8
08	Children in care 5 years old	8
09	Children in care 6 years old	8
10	Children in care 7 years old	8
11	Children in care 8 years old	8
12	Children in care 9 years old	8
13	Children in care 10 years old	8
14	Children in care 11 years old	8
15	Children in care 12 years old	8
16	Children in care 13 years old	8
17	Children in care 14 years old	8
18	Children in care 15 years old	8
19	Children in care 16 years old	8
20	Children in care 17 years old	8
21	Children in care 18 years old	8
22	Children in care over 18 years old	8
Record Length		172

B. Adoption

1. Adoption Semi-Annual Detailed Data Elements Record

a. The record will consist of 37 data elements.

b. Data must be supplied for each of the elements in accordance with these instructions:

(1) Enter the appropriate value for each element.

(2) Enter date values in year, month and day order (YYMMDD), e.g., 890122 for January 22, 1989 or year and month (YYMM) order, e.g., 8901 for January 1989. If dates are not applicable, leave the element value blank.

(3) For elements 11-15 and 29-32 which are "select all that apply" elements, enter a "1" for each element that applies; enter a zero for non-applicable elements.

c. Adoption Semi-Annual Detailed Data Elements Record Layout follows:

Element No.	Appendix B data element	Data element description	No. of numeric characters
01	I.A.	State	2
02	I.B.	Report period ending date	4
03	I.C.	Record number	6
04	I.D.	State Agency involvement	1
05	II.A.	Date of birth	4
06	II.B.	Sex	1
07	II.C.1.	Race	1
08	II.C.2.	Hispanic origin	1
09	III.A.	Has the State Agency determined that this child has special needs	1
10	III.B.	Primary basis for special needs Indicate a primary basis of special needs with a "1" for elements 11-15. Enter a zero for special needs that do not apply.	1
11	III.B.1.a.	Mental retardation	1
12	III.B.1.b.	Visually or hearing impaired	1
13	III.B.1.c.	Physically disabled	1
14	III.B.1.d.	Emotionally disturbed (DSM III)	1
15	III.B.1.e.	Other medically diagnosed condition requiring special care	1
16	IV.A.1.	Mother's year of birth	2
17	IV.A.2.	Father's (Putative or legal) year of birth	2
18	IV.B.	Was the mother married at time of child's birth	1
19	V.A.1.	Date of mother's termination of parental rights	6
20	V.A.2.	Date of father's termination of parental rights	6
21	V.B.	Date adoption legalized	6
22	VI.A.	Adoptive parents family structure	1

Element No.	Appendix B data element	Data element description	No. of numeric characters
23	VI.B.1	Mother's year of birth (if applicable)	2
24	VI.B.2	Father's year of birth (if applicable)	2
25	VI.C.1	Adoptive mother's race (if applicable)	1
26	VI.C.2	Hispanic origin mother (if applicable)	1
27	VI.C.3	Adoptive father's race (if applicable)	1
28	VI.C.4	Hispanic origin father (if applicable)	1
Indicate each type of relationship of adoptive parent(s) to the child with a "1" for elements 29-32. Enter a zero for relationships that do not apply below.			
29	VI.D.1	Stepparent	1
30	VI.D.2	Other relative of child by birth or marriage	1
31	VI.D.3	Foster parent of child	1
32	VI.D.4	Other non-relative	1
33	VII.A.	Child was placed from	1
34	VII.B.	Child was placed by	1
35	VIII.A.	Is this child receiving a monthly subsidy	1
36	VIII.B.	If VIII.B is "yes." What is the monthly amount	5
37	VIII.C.	If VII.B is "yes." Is the child receiving title IV-E adoption assistance?	1
Total Characters			72

2. Adoption Semi-Annual Summary Data Elements Record

- a. The record will consist of 22 data elements.
 The values for these data elements are generated by processing all records in the semi-annual detailed data transmission and computing the summary values for Elements 1 and 3-22. Element 2 is the semi-annual report period ending date. In calculating the age range for the child, the last day of the reporting period is to be used.
- b. Data must be supplied for each of the elements in accordance with these instructions:
- (1) Enter the appropriate value for each element.
 - (2) For all elements where the total is zero, enter a numeric zero.
 - (3) Enter data values in year, month order (YYMM), e.g., 9112 for December 1991.

c. Adoption Semi-Annual Summary Data Elements Record Layout follows:

Element No.	Summary data file	No. of characters
01	Number of records	8
02	Report period ending date (YYMM)	4
03	Children adopted Under 1 year old	8
04	Children adopted 1 year old	8
05	Children adopted 2 years old	8
06	Children adopted 3 years old	8
07	Children adopted 4 years old	8
08	Children adopted 5 years old	8
09	Children adopted 6 years old	8
10	Children adopted 7 years old	8
11	Children adopted 8 years old	8
12	Children adopted 9 years old	8
13	Children adopted 10 years old	8
14	Children adopted 11 years old	8
15	Children adopted 12 years old	8
16	Children adopted 13 years old	8
17	Children adopted 14 years old	8
18	Children adopted 15 years old	8
19	Children adopted 16 years old	8
20	Children adopted 17 years old	8
21	Children adopted 18 years old	8
22	Children adopted over 18 years old	8
Record Length		172

Appendix E to Part 1355—Data Standards

All data submissions will be evaluated to determine the completeness and internal consistency of the data. Four types of assessments will be conducted on both the foster care and adoption data submissions. The results of these assessments will determine the applicability of the penalty provisions. (See § 1355.40(e) for penalty

provision description.) The four types of assessments are:

- Comparisons of the detailed data to summary data;
- Internal consistency checks of the detailed data;
- An assessment of the status of missing data; and
- Timeliness, an assessment of how current the submitted data are.

A. Foster Care

1. Summary Data Elements Submission Standards

A summary file must accompany the Detailed Data Elements submission. Both transmissions must be sent through electronic means (see appendix C for details). This summary will be used to verify basic

counts of records on the detailed data received.

a. The summary file must be a discrete file separate from the semi-annual reporting period detailed data file. The record layout for the summary file is included in appendix D, section A.2.c. All data must be included. If the value for a numeric field is zero, zero must be entered.

b. The Department will develop a second summary file by computing the values from the detailed data file received from the State. The two summary files (the one submitted by the State and the one created during Federal processing) will be compared, field by field. If the two files match, further validation of the detailed data elements will commence. (See Section A.2 below.) If the two summary files do not match, we will assume that there has been an error in transmission and will request a retransmission from the State within 24 hours of the time the State has been notified. In addition, a log of these occurrences will be kept as a means of cataloging problems and offering suggestions on improved procedures.

2. Detailed Data File Submission Standards

a. Internal Consistency Validations.

Internal consistency validations involve evaluating the logical relationships between data elements in a detailed record. For example, a child cannot be discharged from foster care before he or she has been removed from his or her home. Thus, the Date of Latest Removal From Home data element must be a date prior to the Date of Discharge. If this is not case, an internal inconsistency will be detected and an "error" indicated in the detailed data file.

A number of data elements have "if applicable" contingency relationships with other data elements in the detailed record. For example, if the Foster Family Structure has only a single parent, then the appropriate sex of the Single Female/Male element in the "Year of Birth" and "Race/Origin" elements must be completed and the "non-applicable" fields for these elements are to be filled with zero's or, for dates, left blank.

The internal consistency validations that will be performed on the foster care detailed data are as follows:

(1) The Local Agency must be the county or a county equivalent unit which has responsibility for the case. The 5 digit Federal Information Processing Standard (FIPS) code must be used.

(2) If Date of Latest Removal From Home (Element 21) is less than nine months prior to the Report Period Ending Date (Element 2) then the Date of Most Recent Periodic Review (Element 5) may be left blank.

(3) If Date of Latest Removal From Home (Element 21) is greater than nine months from Report Date (Element 2) then the Date of Most Recent Periodic Review (Element 5) must not be more than nine months prior to the Report Date (Element 2).

(4) If a child is identified as having a disability(ies) (Element 10), at least one Type of Disability Condition (Elements 11-15) must be indicated. Enter a zero (0) for disabilities that do not apply.

(5) If the Total Number of Removals From Home to Date (Element 19) is one (1), the

Date Child was Discharged From Last Foster Care Episode (Element 20) must be blank.

(6) If the Total Number of Removals From Home to Date (Element 19) is two or more, then the Date Child was Discharged From Last Foster Care Episode (Element 20) must not be blank.

(7) If Data Child was Discharged From Last Foster Care Episode (Element 20) exists, then this date must be a date prior to the Date of Latest Removal From Home (Element 21).

(8) The Date of Latest Removal From Home (Element 21) must be prior to the Date of Placement in Current Foster Care Setting (Element 23).

(9) At least one element between elements 26 and 40 must be answered by selecting a "1". Enter a zero (0) for conditions that do not apply.

(10) If Current Placement Setting (Element 41) is a value that indicates that the child is not in a foster family or a pre-adoptive home, then elements 49-55 must be zero (0).

(11) At least one element between elements 59 and 65 must be answered by selecting a "1". Enter a zero for sources that do not apply.

(12) If the answer to the question, "Has this child ever been adopted?" (Element 16) is "1" (Yes), then the question, "How old was the child when the adoption was legalized?" (Element 17) must have an answer from "1" to "5."

(13) If the Date of Most Recent Periodic Review (Element 5) is not blank, then Manner of Removal From Home for Current Placement Episode (Element 25) cannot be option 3, "Not Yet Determined."

(14) If Reason for Discharge (Element 58) is option 3, "Adoption," then Parental Rights Termination dates (Elements 46 and 47) must not be blank.

(15) If the Date of Latest Removal From Home (Element 21) is present, the Date of Latest Removal From Home Transaction Date (Element 22) must be present and must be later than or equal to the Date of Latest Removal From Home (Element 21).

(16) If the Date of Discharge From Foster Care (Element 56) is present, the Date of Discharge From Foster Care Transaction Date (Element 57) must be present and must be later than or equal to the Date of Discharge From Foster Care (Element 56).

(17) If the Date of Discharge From Foster Care (Element 56) is present, it must be after the Date of Latest Removal From Home (Element 21).

b. Out-of-Range Standards.

Out-of-range standards relate to the occurrence of values in response to data elements that exceed, either positively or negatively, the acceptable range of responses to the question. For example, if the acceptable responses to the element, Sex of the Adoptive Child, is "1" for a male and "2" for a female, but the datum provided in the element is "3," this represents an out-of-range response situation.

Out-of-range comparisons will be made for all elements. The acceptable values are described in Appendix A, Section I.

3. Missing Data Standards

The term "missing data" refers to instances where data for an element are required but are not present in the submission. Data

elements with values of "Unable to Determine," "Not Yet Determined" or which are not applicable, are not considered missing.

a. In addition, the following situations will result in converting data values to a missing data status:

(1) Data elements whose values fail internal consistency validations as outlined in A.2.a.(1)-(17) above, and

(2) Data elements whose values are out-of-range.

b. The maximum amount of allowable missing data is dependent on the data elements as described below:

(1) No Missing Data.

The data for the elements listed below must be present in all records in the submission. If any record contains missing data for any of these elements, the entire submission will be considered missing and processing will not proceed.

Element No.	Element name
01	State.
02	Report date.
03	Local agency FIPS code.
04	Record number.

(2) Less Than Ten Percent Missing Data.

The data for the elements listed below cannot have ten percent or more missing data without incurring a penalty.

Element No.	Element description
05	Date of most recent periodic review.
06	Child's date of birth.
07	Child's sex.
08	Child's race.
09	Hispanic origin.
10	Does child have a disability(ies)?
11-15 ..	Type of disability (at least one must be selected).
16	Has child been adopted?
17	How old was child when adoption was legalized?
18	Date of first removal from home.
19	Total number of removals from home to date.
20	Date child was discharged from last foster care.
21	Date of latest removal from home.
22	Removal transaction date.
23	Date of placement in current foster care setting.
24	Number of previous placement settings during this removal episode.
25	Manner of removal from home for current placement episode.
26-40 ..	Actions or conditions associated with child's removal (at least one must be selected).
41	Current placement setting.
42	Out of State placement.
43	Most recent case plan goal.
44	Caretaker family structure.
45	Year of birth of 1st principal caretaker.
46	Year of birth of 2nd principal caretaker.

Element No.	Element description
47	Date of mother's parental rights termination.
48	Legal of putative father parental rights termination date.
49	Foster family structure.
50	Year of birth of 1st foster caretaker.
51	Year of birth of 2nd foster caretaker.
52	Race of 1st foster caretaker.
53	Hispanic 1st foster caretaker.
54	Race of 2nd foster caretaker.
55	Hispanic 2nd foster caretaker.
56	Date of discharge from foster care.
57	Foster care discharge transaction date.
58	Reason for discharge.
59-65	Sources of Federal support/assistance for child (at least one must be selected).

c. Penalty Processing.

Missing data are a major factor in determining the application of the penalty provisions of this regulation.

(1) Selection Rules.

All data elements will be used in calculating the missing data provision of the penalty unless one of the following limiting rules applies to the detailed case record.

(a) If Date of Latest Removal From Home (Element 21) and the Date of Discharge From Foster Care (Element 56) is less than 30 days, then the following data elements are the only ones to be used in evaluating the missing data provisions for purposes of penalty calculation:

- Elements
 1 to 4
 6 to 9
 21 and 22
 41 and 42
 56 to 58

(b) If Date of Latest Removal From Home (Element 18) is prior to October 1, 1993, then the following data elements are the only ones to be used in evaluating the missing data provisions for purposes of penalty calculation:

- Elements
 1 to 4
 6 to 9
 21 and 22
 41 and 43
 56 to 58

(2) Penalty Calculations.

The percentage calculation will be performed for each data element. The total number of detailed records that are included by the selection rules in 3.c.(1), will serve as the denominator. The number of missing data occurrences for each element will serve as the numerator. The result will be multiplied by one hundred. The penalty is invoked when any one element's missing data percentage is ten percent or greater.

4. Timeliness of Foster Care Data Reports

The semi-annual reporting periods will be as of the end of March and September for each year. The States are required to submit reports within 45 calendar days after the end of the semi-annual reporting period.

Computer generated transaction dates indicate the date when key foster care events are entered into the State's computer system. The intent of these transaction dates is to ensure that information about the status of children in foster care is recorded and, thus, reported in a timely manner.

a. Date of Latest Removal From Home
 The Date of Latest Removal From Home Transaction Date (Element 22) must not be more than 60 days after the Date of Latest Removal From Home (Element 21) event.

b. Date of Discharge From Foster Care
 The Date of Discharge From Foster Care Transaction Date (Element 57) must not be more than 60 days after the Date of Discharge From Foster Care (Element 56) event.

For purposes of penalty processing, ninety percent of the records in a detailed data submission, must indicate that:

(1) The difference between the Date of Latest Removal From Home Transaction Date (Element 22) and the Date of Latest Removal From Home (Element 21) event is 60 days or less;

and, where applicable,

(2) The difference between the Date of Discharge From Foster Care Transaction Date (Element 57), and the Date of Discharge From Foster Care (Element 56) event is 60 days or less.

B. Adoption

1. Summary Data Elements File Submission Standards

A summary file must accompany the detailed Data Elements File submission. Both files must be sent through electronic means (see appendix C for details). This summary will be used to verify the completeness of the Detailed Data File submission received.

a. The summary file should be a discrete file separate from the semi-annual reporting period detailed data file. The record layout for the summary file is included in appendix D, section B.2.c. All data must be included. If the value for a numeric field is zero, zero must be entered.

b. The Department will develop a second summary file by computing the values from the detailed data file received from the State. The two summary files (the one submitted by the State and the one created during Federal processing) will be compared, field by field. If the two files match, further validation of the detailed data elements will commence. (See section B.2 below.) If the two summary files do not match, we will assume that there has been an error in transmission and will request a retransmission from the State within 24 hours of the time the State has been notified. In addition, a log of these occurrences will be kept as a means of cataloging problems and offering suggestions on improved procedures.

2. Detailed Data Elements File Submission Standards

a. Internal Consistency Validations

Internal consistency validations involve evaluating the logical relationships between data elements in a detailed record. For example, an adoption cannot be finalized until parental rights have been terminated. Thus, the dates of Mother/Father Termination of Parental Rights, elements

must be present and the dates must be prior to the "Date Adoption Legalized." If this is not the case, an internal inconsistency will be detected and an "error" indicated in the detailed data file.

A number of data elements have "if applicable" contingency relationships with other data elements in the detailed record. For example, if the Adoptive Parent is single, then the appropriate sex of the single female/male element in the "Family Structure," "Year of Birth" and "Race/Origin" elements must be completed and the "non-applicable" fields for these elements are to be filled with zeros or left blank.

The internal consistency validations that will be performed on the adoption detailed data are as follows:

(1) The Child's Date of Birth (Element 5) must be later than both the Mother's and Father's Year of Birth (Elements 16 and 17) unless either of these is unknown.

(2) If the State child welfare agency has determined that the child is a special needs child (Element 9), then "the primary basis for determining that this child has special needs" (Element 10) must be completed. If "The primary basis for determining that this child has special needs" (Element 10) is answered by option "4," then at least one element between Elements 11-15, "Type of Disability," must be selected. Enter a zero (0) for disabilities that do not apply.

(3) Dates of Parental Rights Termination (Elements 19 and 20) must be completed and must be prior to the Date Adoption Legalized (Element 21).

(4) If "Is a monthly financial subsidy being paid for this child?" (Element 35) is answered negatively, "2", then Element 36 must be zero (0) and "Is the subsidy paid under Title IV-E adoption assistance" (Element 37) must be a "2".

(5) If the "Child Was Placed By" (Element 34) is answered with option 1, "Public Agency," then the question, "Did the State Agency Have any involvement in This Adoption" (Element 4) must be "1".

(6) If the "Relationship of Adoptive Parent(s) to the Child," "Foster Parent of Child" (Element 31) is selected, then the question, "Did the State Agency Have any involvement in This Adoption" (Element 4) must be "1".

(7) If "Is a monthly financial subsidy being paid for this child?" (Element 35) answered "1," then the question, "Did the State Agency Have any involvement in This Adoption" (Element 4) must be "1."

(8) If the "Family Structure" (Element 22) is option 3, Single Female, then the Mother's Year of Birth (Element 23), the "Adoptive Mothers's Race" (Element 25) and "Hispanic Origin" (Element 26) must be completed. Similarly, if the "Family Structure" (Element 22) is option 4, Single Male, then the Father's Year of Birth (Element 24), the "Adoptive Fathers's Race" (Element 27) and "Hispanic Origin" (Element 28) must be completed. If the "Family Structure" (Element 22) is option 1 or 2, then both Mother's and Father's "Year of Birth," "Race" and "Hispanic Origin" must be completed.

b. Out-of-Range Standards.
 Out-of-range standards relate to the occurrence of values in response to data

elements that exceed, either positively or negatively, the acceptable range of responses to the question. For example, if the acceptable response to the element, Sex of the Adoptive Child, is "1" for a male and "2" for a female, but the datum provided in the element is "3," this represents an out-of-range response situation.

Out-of-range comparisons will be made for all elements. The acceptable values are described in appendix B, section 1.

3. Missing Data Standards

The term "missing data" refers to instances where data for an element are required but are not present in the submission. Data elements with values of "Unable to Determine," "Other" or which are not applicable, are not considered missing.

a. In addition, the following situations will result in converting data values to a missing data status:

(1) Data elements whose values fail internal consistency validations as outlined in 2.a.(1)-(8) above, and

(2) Data elements whose values are out-of-range.

b. The maximum amount of allowable missing data is dependent on the data elements as described below.

(1) No Missing Data.

The data for the elements listed below must be present in all records in the submission. If any record contains missing data for any of these elements, the entire submission will be considered missing and processing will not proceed.

Element No.	Element name
01	State.
02	Report date.
03	Record number.
04	Did the State agency have any involvement in this adoption?

(2) Less Than Ten Percent Missing Data

The data for the elements listed below cannot have ten percent or more missing data without incurring a penalty.

Element No.	Element name
05	Child's date of birth.
06	Child's sex.
07	Child's race.
08	Is child hispanic?
09	Does child have special needs?
10	Indicate the primary basis for determining that the child has special needs. (# Element 09 is yes, you must answer this question.)
11-15	Type of special need (at least one must be selected.)
16	Mother's year of birth.
17	Father's year of birth.
18	Was mother married at time of child's birth?
19	Date of mother's termination of parental rights.
20	Date of father's termination of parental rights.
21	Date adoption legalized.
22	Adoptive parent(s)' family structure.
23	Mother's year of birth.
24	Father's year of birth.
25	Adoptive mother's race.
26	Hispanic mother.
27	Adoptive father's race.
28	Hispanic father.
29-32	Relationship of adoptive parent(s) to child (at least one must be selected.)
33	Child placed from.
34	Child placed by.
35	Is a monthly financial subsidy paid for this child?
36	If yes, the monthly amount is?
37	Is the child receiving Title IV-E adoption assistance? (If Element 35 is a "1" (Yes) an answer to this question is required.)

c. Penalty Processing.

Missing data are a major factor in determining the application of the penalty provisions of this regulation.

(1) Selection Rules.

Only the adoption records with a "1" (Yes) answer in Element 4, "Did the State Agency have any involvement in this adoption?" will be subject to the penalty assessment process.

(2) Penalty Calculations.

The percentage calculation will be performed for each data element. The total number of detailed records will serve as the denominator and the number of missing data occurrences for each element will serve as the numerator. The result will be multiplied by one hundred. The penalty is invoked when any one element's missing data percentage is ten percent or greater.

4. Timeliness of Adoption Data Reports

The semi-annual reporting periods will be as of the end of March and September for each year. The States are required to submit reports within 45 calendar days after the end of the semi-annual reporting period.

For penalty assessment purposes, however, no specific timeliness of data standards apply. Data on adoptions should be submitted as promptly after finalization as possible.

The desired approach to reporting adoption data is that adoptions should be reported during the reporting period in which the adoption is legalized. Or, at the State's option, they can be reported in the following reporting period if the adoption is legalized within the last 60 days of the reporting period.

Negative reports must be submitted for any semi-annual period in which no adoptions have been legalized.

Appendix F to Part 1355

ALLOTMENT OF FUNDS WITH 427 INCENTIVE FUNDS TITLE IV-B CHILD WELFARE SERVICES FISCAL YEAR 1993

Name of State	Allotment at \$294,624,000 ¹	Allotment at \$141,000,000 ¹	427 incentive funds
Alabama	5,798,251	2,771,128	3,027,123
Alaska	674,777	355,179	319,598
Arizona	4,781,390	2,291,632	2,489,758
Arkansas	3,495,975	1,685,501	1,810,474
California	30,048,818	14,206,363	15,842,455
Colorado	3,844,876	1,850,024	1,994,652
Connecticut	2,065,826	1,011,122	1,054,704
Delaware	763,822	397,168	366,654
Dist of Col	448,212	248,344	199,868
Florida	12,946,006	6,141,615	6,804,391
Georgia	8,386,050	3,991,391	4,394,659
Hawaii	1,281,048	641,063	639,985
Idaho	1,734,494	854,884	879,610
Illinois	12,157,021	5,769,574	6,387,447
Indiana	7,115,189	3,392,123	3,723,066
Iowa	3,565,712	1,718,385	1,847,327
Kansas	3,083,341	1,490,926	1,592,415
Kentucky	5,192,133	2,485,316	2,706,817
Louisiana	6,750,330	3,220,076	3,530,254
Maine	1,533,067	759,902	773,165
Maryland	4,256,288	2,044,023	2,212,265
Massachusetts	4,566,755	2,190,422	2,376,333
Michigan	10,660,253	5,158,089	5,702,164

ALLOTMENT OF FUNDS WITH 427 INCENTIVE FUNDS TITLE IV-B CHILD WELFARE SERVICES FISCAL YEAR 1993—
Continued

Name of State	Allotment at \$294,624,000 ¹	Allotment at \$141,000,000 ¹	427 incentive funds
Minnesota	5,092,532	2,438,349	2,654,183
Mississippi	4,437,556	2,129,499	2,308,057
Missouri	6,217,709	2,968,921	3,248,788
Montana	1,211,809	608,414	603,395
Nebraska	2,136,670	1,044,528	1,092,142
Nevada	1,326,362	662,431	663,931
New Hampshire	1,078,123	545,375	532,748
New Jersey	5,307,662	2,539,793	2,767,869
New Mexico	2,493,475	1,212,778	1,280,697
New York	15,530,358	7,360,253	8,170,105
North Carolina	8,326,069	3,963,107	4,362,962
North Dakota	962,956	500,499	482,456
Ohio	13,052,582	6,191,871	6,860,711
Oklahoma	4,428,365	2,125,165	2,303,200
Oregon	3,576,418	1,723,434	1,852,984
Pennsylvania	12,649,990	6,002,017	6,847,943
Rhode Island	1,070,439	541,752	528,687
South Carolina	5,101,221	2,442,447	2,658,774
South Dakota	1,107,009	558,996	548,013
Tennessee	6,328,617	3,021,219	3,307,398
Texas	23,687,998	11,206,947	12,481,051
Utah	3,478,384	1,667,206	1,801,178
Vermont	749,584	390,454	359,130
Virginia	6,321,841	3,016,024	3,303,817
Washington	5,667,518	2,709,481	2,958,037
West Virginia	2,564,554	1,245,294	1,318,260
Wisconsin	6,033,052	2,881,847	3,151,205
Wyoming	751,264	391,247	360,017

¹ These totals include allotments to the United States Territories. Therefore, the summation of the States' allotments will not be equivalent.

PART 1356—REQUIREMENTS APPLICABLE TO TITLE IV-E

6. The authority citation for part 1356 is revised to read as follows:

Authority: 42 U.S.C. 620 et seq., 42 U.S.C. 670 et seq.; 42 U.S.C. 1302.

7. Section 1356.20 is amended by redesignating existing paragraphs (b) through (d) as (d) through (f) and adding new paragraphs (b) and (c) as follows:

§ 1356.20 State plan document and submission requirements.

(b) Failure by a State to comply with the requirements and standards for the data reporting system for foster care and adoption (§ 1355.40 of this chapter) shall be considered a substantial failure by the State in complying with the State plan for title IV-E. Penalties as described in § 1355.40(e) of this chapter shall apply.

(c) For purposes of the application of penalties described in § 1355.40 of this chapter, the requirement at § 201.6(e) regarding the withholding of funds until the Secretary " * * " is satisfied that there will no longer be any such failure to comply " * * " will be met by submission of one acceptable regularly scheduled semi-annual data

transmission of the type which was the cause of the penalty.

8. Section 1356.60 is amended by adding a new paragraph (c) (2)(x), and new paragraph (d), and republishing the introductory text in paragraph (c)(2) to read as follows:

§ 1356.60 Fiscal requirements (title IV-E).

(2) The following are examples of allowable administrative costs necessary for the administration of the foster care program:

(x) Costs related to data collection and reporting.

(d) *Cost of the data collection system.*
(1) Costs related to data collection system initiation, implementation and operation may be charged as an administrative cost of title IV-E at the 50 percent matching rate subject to the restrictions in paragraph (d) (2) of this section

(2) For information systems used for purposes other than those specified by section 479 of the Act, costs must be allocated and must bear the same ratio as the foster care and adoption population bears to the total population

contained in the information system as verified by reports from all other programs included in the system.

PART 1357—REQUIREMENTS APPLICABLE TO TITLE IV-B

9. The authority citation for part 1357 is revised to read as follows:

Authority: 42 U.S.C. 620 et seq., 42 U.S.C. 670 et seq.; 42 U.S.C. 1302.

10. Section 1357.15 is amended by adding a new paragraph (h) as follows:

§ 1357.15 Child welfare services State plan requirements and submittal.

(h) In meeting the requirements of section 442(b)(8), each State must provide assurances that it will meet the requirements for data reporting for foster care and adoption as described in 45 CFR 1355.40 and transmit the required data in the form and manner prescribed by that section.