

TITLE 89: SOCIAL SERVICES
CHAPTER III: DEPARTMENT OF CHILDREN AND FAMILY SERVICES
SUBCHAPTER b: PROGRAM AND TECHNICAL SUPPORT

PART 326
PLANNING FOR STATEWIDE RESOURCE ALLOCATION

Section

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AUTHORITY: Implementing and authorized by Sections 5, 17a-5 and 17a-9 of "AN ACT creating the Department of Children and Family Services, codifying its powers and duties, and repealing certain Acts and Sections herein named" (Ill. Rev. Stat. 1983, ch. 23, pars. 5005, 5017a-5 and 5017a-9) and Section 7.1 of the Abused and Neglected Child Reporting Act (Ill. Rev. Stat. 1983, ch. 23, par. 2057.1).

SOURCE: Adopted and codified at 5 Ill. Reg. 6766, effective June 26, 1981; amended at 8 Ill. Reg. 5640, effective April 30, 1984; amended at 21 Ill. Reg. 15491, effective December 1, 1997.

Section 326.1 Purpose

- a) The purpose of these rules is to describe the Department's statewide planning responsibilities. To fulfill its mandate to children and families as efficiently and effectively as possible, the Department shall perform planning activities to identify service needs; project future demand for services; determine Department priorities; allocate resources according to needs, demands and priorities; develop policies and programs to make wise use of allocated resources; and monitor and evaluate the effectiveness of those programs.
- b) Planning responsibilities affect the overall number of children and families served, the kinds and units of service provided, the development of new initiatives and corrective action plans, the allocation of resources, and the use of staff time in delivering services.

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Section 326.2 Definitions

"Resources" means all funds, staff time, services and child welfare facilities which the Department uses to serve children and families. These resources include both those which may be provided directly to Department clients and those which may be purchased for Department clients.

"Service priority" means the order in which services are to be funded and provided when decisions affecting resource allocations must be made.

"Targeted statewide populations" means those categories of children and their families which, taken as a whole, both cut across and encompass all mandated populations the Department serves.

Section 326.3 Targeted Statewide Client Populations

- a) The Department shall define its statewide targeted client populations in order to:
 - 1) make the best use of available resources;
 - 2) develop plans and budgets that reflect the Department's priorities and goals within the broad scope of its mandated responsibilities; and
 - 3) inform the general public, Department clients, Department staff, and social service providers of the service priorities which will guide resource allocation.
- b) Refer to Part 305, Client Service Planning, which describes mandated client populations, populations the Department may serve, and targeted statewide client populations which the Department has defined in order to allocate resources.

Section 326.4 Department Planning Responsibilities

The Department shall integrate its planning, budgeting and evaluation responsibilities to ensure consistency among service needs, Department policy, Department goals and priorities, and the allocation of resources. The Department's general planning responsibilities shall include the following:

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- a) to implement a Planning, Budgeting and Evaluation (PBE) system that integrates planning, budget development, resource allocation and program evaluation at the state and regional levels;
- b) to develop and submit the Department's budget requests to the Bureau of the Budget and to prepare Department fiscal analyses as appropriate;
- c) to conduct an annual evaluation of the Department's performance and to monitor performance on a regular, periodic basis;
- d) to conduct at least annually a statewide assessment of service needs and service delivery problems leading to issue identification, resource development, and other administrative action;
- e) to project, in light of legislative mandates, executive direction, public interest, availability of funding, and the annual evaluation and assessment -- the Department's priorities and goals for at least two years into the future;
- f) to prepare a means of planning the work required to achieve the goals and priorities over the next two - to three-year period and to monitor progress toward achieving them;
- g) to prepare the planning documents specified in [Section 326.5](#) in accordance with Federal, State and Department requirements; and
- h) to report annually on how the Department uses its resources and what resources are needed.

Section 326.5 Department Planning Documents

- a) The Department shall prepare planning documents required by State and Federal laws and regulations and shall assist, when so required, in the preparation of other such planning documents. In addition to required plans, the Department shall prepare other planning documents to facilitate effective management and judicious allocation of Department resources.
- b) Planning Documents Required by the Federal Government Planning documents the Department is required by the federal government to prepare or assist in preparing include the following federal requirements of the Social Security Act, as amended:

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- 1) The Title IV-B Child Welfare Services Plan (42 U.S.C. 620 et seq.) is prepared annually by the Department as the designated single state agency for IV-B administration. Under Title IV-B, formula grants are allocated to the states for providing and improving child welfare services to children and families in need of services. The Title IV-B plan is required by federal regulations, 45 CFR 1355, 45 CFR 1357, and 45 CFR 1932, issued by the Department of Health and Human Services. It contains a description of all child welfare services to be provided, the geographic areas in which they are available and what is being done to expand, improve and strengthen those services or provide new ones.
- 2) The Title IV-E Foster Care and Adoption Assistance Program Plan (42 U.S.C. 670 et seq.) prepared by the Department as the designated single state agency for IV-E administration. Once the original plan has been submitted and approved by the federal government, the Department need only submit amendments to the plan whenever they are required by the federal government in accordance with 45 CFR 1356.20d, as a result of significant changes in the information or assurances in the plan, or the organization, policies or operations described in the plan.

c) Planning Documents Required by the State

The Illinois Human Services Plan (Phase I and Phase II) is a planning document required by the State. The Human Services Plan is developed in accordance with guidelines issued by the Illinois Bureau of the Budget.

- 1) The Department shall coordinate and integrate Phase I and II of its Human Services Plans with the Department's assessment of client needs and the budget development process.
- 2) In Phase I, Human Services Data Report, the Department will show the relationship of resource allocation to Department programs and statewide targeted client populations for three fiscal years: the past fiscal year, the current fiscal year, and the next fiscal year. In addition, the Department shall analyze and compare the actual expenditures for the past fiscal year to the planned expenditures, report on expenditures and fiscal projections for the current and prospective fiscal years, and generally describe long-range goals and emerging issues.

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- 3) In Phase II of the Human Services Plan, the Department shall analyze a specific program or a series of emerging issues in order to specify service planning initiatives and long-range program goals. In addition, the Department shall include a family impact statement indicating how its actions have strengthened and promoted stability within Illinois families.
- 4) The Department will solicit public comment on both phases of its Human Services Plan in accordance with instructions provided by the Illinois Bureau of the Budget.
- d) The Department will make the final Federal and State planning documents identified in subsections (b) and (c) of this Section available to the public for their review and inspection.
- e) In addition to required plans, the Department will prepare other planning documents to facilitate effective management of the Department and judicious allocation of resources.

(Source: Amended at 21 Ill. Reg. 15491, effective December 1, 1997)

Section 326.6 Department Budgeting Responsibilities

The Department shall prepare and submit to the Illinois General Assembly an annual budget which relates requested resources to client service needs.

Section 326.7 Department Evaluation Responsibilities

- a) The Department will establish and conduct a program to evaluate the efficiency and effectiveness of its services. Program Evaluation activities will include:
 - 1) periodic and systematic evaluation of direct and purchase of services programs to assess results and outcomes and to recommend plans of corrective action for service improvement;
 - 2) annual review of service programs to identify exceptional program deficiencies and outstanding achievements which require in-depth evaluation and analysis;
 - 3) monitoring to identify emerging service program deficiencies and problems in order to develop the basis for immediate and long-range plans of corrective action;
 - 4) development of program standards and performance indicators to evaluate the quality of programs, including service delivery. Program standards and performance indicators will be applied both to services which are provided directly by the Department and which are purchased

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from other providers in order to evaluate their effectiveness and efficiency in achieving planned results;

- 5) analyses of the projected benefits, problems, opportunities, and the efficiency and effectiveness of planned program initiatives in order to assist management in making decisions on resource allocation and service administration.
- b) The Department's evaluation program, program performance indicators, program standards, and major programmatic achievements will be discussed annually in the Human Services Plan.

Section 326.8 Planning and Evaluation of Purchased Services

The Department shall endeavor to use purchase of service resources to the fullest extent, consistent with Department priorities and client needs. The Department shall also take measurement of purchased care performance as data are available and appropriate. Such measurements are for the purpose of achieving Department priorities, evaluating service delivery, planning resource allocation, and developing contractual program plans that will meet client needs. The Department will monitor and evaluate purchased services to determine the numbers of clients served, the units of service provided, the quality of services, the appropriateness of clients served, the effectiveness and efficiency of services and the overall extent to which contractual conditions were met.

Section 326.9 Department Coordination of Services with Other Agencies and Illinois Courts

The Department will report to the Governor at least annually on the extent to which its services have been coordinated with other State agencies. These agencies shall include the Department of Human Services, the Department of Corrections, the Department of Public Aid, the Department of Public Health, the Illinois State Board of Education, the Division of Specialized Care for Children, and any other State agencies with whom the Department should coordinate services. The Department shall assess the impact upon its services caused by referrals from other State agencies, Illinois courts, interstate agreements, and any other sources which necessitate a further need for planning and resource development. Significant issues and planning obstacles shall be identified and remedies proposed as appropriate.

(Source: Amended at 21 Ill. Reg. 15491, effective December 1, 1997)

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Section 326.10 Community Relations

The Department shall endeavor to support community efforts to prevent the abuse, neglect, or exploitation of children and to enhance education for parenting. Information shall be available from the Department to inform communities, providers, media representatives, and the general public about the Department's mandate and mission.

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DEPARTMENT OF CHILDREN AND FAMILY SERVICES

Distribution: X and Z

Policy Guide 2007.16

Department Compliance with Federal Regulations

DATE: December 12, 2007
TO: Rules and Procedures Bookholders
FROM: Erwin McEwen 
EFFECTIVE: Immediately

I. PURPOSE

The purpose of this Policy Guide is to articulate the Department's responsibility to comply with all of the requirements of applicable regulations of the U.S. Department of Health and Human Services.

II. PRIMARY USERS

The primary users of this policy guide are all DCFS and POS staff responsible for compliance with Title IV-E requirements.

III. COMPLIANCE WITH FEDERAL REGULATIONS

The Department shall comply with all of the requirements of the following regulations as required by the Administration for Children and Families, U.S. Department of Health and Human Services:

- a. Department Grants Appeal Process (45 CFR Part 16): This regulation describes the process for appeals from final written decisions of the Department of Health and Human Services regarding grant awards.
- b. Federal Claims Collection (45 CFR Part 30): This Part describes the standards and procedures for the Department of Health and Human Services' use in the administrative collection, offset, compromise, and suspension or termination of collection activity for claims for funds or property.



- c. Hearings Under Part 80 (45 CFR Part 81): This Part supplements Sections 80.9 and 80.10 of Part 80 and governs the practice for hearings, decisions, and administrative review conducted by the Department of Health and Human Services, pursuant to Title VI of the Civil Rights Act of 1964 and Part 80.
- d. Consolidation of grants to the insular areas (45 CFR Part 97): These regulations apply to the consolidation of grants under the programs listed in Sections 97.12 and additional programs as determined by the Secretary, and describe the jurisdictions that may apply for a consolidated grant.
- e. Judicial Review (45 CFR Part 201.7): This Part describes the process for seeking Judicial Review of a final determination of the Secretary with regard to approval of State Plans and Certification of Grants when a State is dissatisfied with that determination.
- f. Deferral of Claims (45 CFR Part 201.15): This Section describes the process of suspending payment with respect to a claim pending the receipt and analysis of further information relating to the allowability of the claim. This Section applies to all claims for Federal financial participation submitted by States pursuant to Titles I, IV, X, XIV, XVI (AABD) of the Social Security Act.
- g. Repayment of Federal Funds by Installments (45 CFR Part 201.66): This Section describes the process for a State's repayment of Federal funds when the State has been reimbursed Federal funds for expenditures claimed under Titles I, IV, X, XIV, XVI (AABD) which are later determined to be unallowable for Federal financial participation.

IV. QUESTIONS

Questions regarding this Policy Guide may be directed to the Office of Child and Family Policy at 217-524-1983, by e-mail to OCFP – Mailbox or by fax to 217-557-0692. Persons or agencies not on Outlook can e-mail questions to cfpolicy@idcfs.state.il.us.

V. FILING INSTRUCTIONS

File this Policy Guide immediately following Rules 326 in the Rules and Procedures manual.