Course Title:

**PPS Children and Family Services Review (CFSR) Fundamentals Round 3**

Description:

This course provides a fundamental overview of the Child and Family Service Review (CFSR). The Child and Family Service Reviews are a federal-state collaborative effort designed to help ensure quality services are provided to children and families through state child welfare systems.

Competencies:

- Know the Importance of the Children and Family Service Review
- Understand the Nature and Scope of the measured outcomes of the Children and Family Service Review

Objectives

Upon completion of this course participants will:

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<th>1.0</th>
<th>Identify the Goal of the CFSR</th>
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<td>1.1</td>
<td>Explain the Purpose of the CFSR</td>
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<td>1.2</td>
<td>Discuss Principles of the Reviews</td>
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<td>Examine the Collaborative Process</td>
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<th>2.0</th>
<th>Discuss the Structure of the CFSR</th>
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<td>Describe the Two-Phase Process of the CFSR</td>
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COMPETENCIES

- Knows the importance of the Children and Family Service Review
- Understands the nature and scope of the measured outcomes of the Children and Family Service Review

OBJECTIVES

Upon completion of this course, participants will:
- Summarize the goal of the CFSR
- Discuss the structure of the CFSR
- Recognize the outcomes and systemic factors
- Examine their role with the CFSR
GOAL OF THE CFSR

Ensuring quality services

PURPOSE OF THE CFSR

Safety

Well-Being

Permanency

PRINCIPLES OF THE REVIEWS

• Federal-State collaborative effort
• Two perspectives
• Variety of sources
• Practice principles
• Program improvement plans
• Continuous quality improvement
• Accountability
COLLABORATIVE PROCESS

Strong Families Make a Strong Kansas

Promoting improved outcomes for children and families

STRUCTURE OF THE CFSR

The sources of information (above) is used during the CFSR to inform the Children’s Bureau’s determination.

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PPS CFSR Fundamentals Round
STATEWIDE ASSESSMENT

1st phase
Statewide Assessment
- Child and Family Services Plan
- Annual Progress and Services Reports
- National Child Abuse/Neglect Data System (NCANDS)
- Adoption and Foster Care Analysis Reporting System (AFCARS)

Statewide Data Indicators
- Quantitative and Qualitative data
- Data beginning in SFY 2010
- Updated and submitted prior to the onsite review (April 2015)

ONSITE REVIEW

2nd phase
Statewide Data Indicators
- National Child Abuse/Neglect Data System (NCANDS)
- Adoption and Foster Care Analysis Reporting System (AFCARS)
- Department for Children and Families (DCF)
- Child Welfare Case Management Provider (CWCMIP)

Case Record Reviews
- Children
- Parents
- Foster Parents
- Other Professionals

Case Related Interviews
- Tribes
- Community partners
- Other stakeholders

Stakeholder Interviews

DETERMINATION OF SUBSTANTIAL CONFORMITY

The Children’s Bureau makes a determination regarding substantial conformity for each of the:
- Seven outcomes
- Seven systemic factors

CB determines “substantial conformity”
**OUTCOMES AND SYSTEMIC FACTORS**

**7 Outcomes:**
- Safety Outcome 1
- Safety Outcome 2
- Permanency Outcome 1
- Permanency Outcome 2
- Child and Family Well-Being Outcome 1
- Child and Family Well-Being Outcome 2
- Child and Family Well-Being Outcome 3

**7 Systemic Factors:**
- Statewide Information System
- Case Review System
- Quality Assurance System
- Staff and Provider Training
- Service Array and Resource Development
- Agency Responsiveness to the Community
- Foster and Adoptive Parent Licensing, Recruitment and Retention

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**DETERMINING SUBSTANTIAL CONFORMITY WITH THE OUTCOMES**

**CASE REVIEWS**

Step 1: Reviewers determine whether the outcomes are substantially achieved in the individual cases they review.

- **18 Individual items**
  - Rated as a
    - "strength"
    - "area needing improvement"
    - "not applicable"

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**DETERMINING SUBSTANTIAL CONFORMITY WITH THE OUTCOMES**

**CASE REVIEWS**

Step 2: The Children’s Bureau determines the percentage of cases in which each outcome is substantially achieved.

Step 3: The Children’s Bureau compares the State’s performance on the statewide data indicators, where applicable, with the national standard for applicable statewide data indicators.

Step 4: The Children’s Bureau determines if the State meets all of the applicable national standards (if any) AND has 95% of cases rated as substantially achieved for each outcome.
SAFETY OUTCOME 1

Children are first and foremost, protected from abuse and neglect.

Item 1
- Timeliness of Initiating Investigations or Reports of Child Maltreatment

SAFETY OUTCOME 2

Children are safely maintained in their homes whenever possible and appropriate.

Item 2
- Services to the Family to Protect Children in the Home and Prevent Removal or Re-Entry Into Foster Care

Item 3
- Risk Assessment and Safety Management

PERMANENCY OUTCOME 1

Children have permanency and stability in their living situations.

Item 4
- Stability of Foster Care Placements

Item 5
- Permanency Goals for Children

Item 6
- Achieving Reunification, Guardianship, Adoption, or Other Planned Permanent Living Arrangement
PERMANENCY OUTCOME 2

The continuity of family relationships and connections is preserved for children.

Items 7 through 11
- Placement with Siblings
- Visiting With Parents and Siblings in Foster Care
- Preserving Connections
- Relative Placement
- Relationship of Child in Care With Parents

CHILD AND FAMILY WELL-BEING OUTCOME 1

Families have enhanced capacity to provide for their children’s needs.

Items 12-15
- Needs and Services of Child, Parents and Foster Parents
- Child and Family Involvement in Case Planning
- Caseworker Visits With Child
- Caseworker Visits With Parents

CHILD AND FAMILY WELL-BEING OUTCOME 2 AND 3

Children receive appropriate services to meet their educational needs.
Item 16
- Educational Needs of the Child

Children receive adequate services to meet their physical and mental health needs.
Items 17 and 18
- Physical Health of the Child
- Mental/Behavioral Health of the Child
DETERMINING SUBSTANTIAL CONFORMITY FOR SYSTEMIC FACTORS

Factors considered by the Children's Bureau at the time of the Statewide Assessment:

- Has the state provided data relevant to the totality of the item?
- Does the data indicate the systemic factor is routinely functioning as required statewide?
- Are there no significant issues with the data the state provided so the CB may rely on the data?
- Does the state assert that the data represents their statewide performance on the systemic factor item?

STATEWIDE FACTOR 1

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Statewide Information System

Item 19

- How readily can the state identify the status, demographic characteristics, location and goals for the placement of every child who is (or within the immediate preceding 12 months has been) in foster care.
SYSTEMIC FACTOR 2

Case Review System

Items 20-24
• Written Case Plan
• Periodic Reviews
• Permanency Hearings
• Termination of Parental Rights
• Notice Of Hearings and Reviews to Caregivers

SYSTEMIC FACTOR 3

Quality Assurance System

Item 25
• Operating in the jurisdictions where the service included in the CFSP are provided
• Has standards to evaluate the quality of services (including standards to ensure that children in foster care are provided quality services that protect their health and safety)
• Identifies strengths and needs of service delivery system
• Provides relevant reports
• Evaluates implemented Performance Improvement (PI) measures

SYSTEMIC FACTOR 4

Staff and Provider Training

Item 26-28
• Initial Staff Training
• Ongoing Staff Training
• Foster and Adoptive Parent Training
SYSTEMIC FACTOR 5
Service Array and Resource Development

Items 29-30
- How accessible is the array of services
- Ensuring the services can be individualized to meet the unique needs of the children and families served.

SYSTEMIC FACTOR 6
Agency Responsiveness to the Community

Items 31-32
- State engagement and consultation with stakeholders pursuant to the Child and Family Services Plan (CFSP) and Annual Progress and Services Report (APSR)
- Coordination of the CFSP Services with other federal programs

SYSTEMIC FACTOR 7
Foster and Adoptive Parent Licensing, Recruitment and Retention

Items 33-36
- Standards applied
- Requirements for Criminal Background Checks
- Diligent Recruitment of Foster and Adoptive Homes
- State Use of Cross-Jurisdictional Resources for Placement
**KANSAS HISTORY OF THE CFSR**

- 2003: Kansas was the first state in Region VII to complete CFSR for Round 1
- 2004: Kansas completed the Program Improvement Plan (PIP) for Round 1
- 2007: CFSR Round 2
- 2010: Round 2 PIP was completed
- 2015: CFSR Round 3

**TIMELINE OF CFSR ACTIVITIES**

- June 2014 through September 2015
CASE REVIEW OF 65 CASES

Strong Families Make a Strong Kansas

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<td>East Region</td>
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<td>Wichita</td>
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<td>KC Region</td>
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<td>KC Region</td>
<td>9</td>
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YOUR ROLE WITH CFSR?

- Complete training for all aspects of the CFSR Review
- Prepare and review cases using the On-Site Review Instrument (OSRI)
- Schedule and conduct case-specific interviews
- Participate in case-specific stakeholder interviews on selected cases
- Participate in Systemic Factor Stakeholder interviews

CFSR SUMMARY

- Kansas has been approved to use the State’s own case review process.
- Case Reviewers training
- Statewide Assessment
- The 7 Outcomes and 7 Systemic Factors
- Collaboration
- The CFSR is not over after the case review. There will be a Performance Improvement Plan that will include continued collaboration.
CFSR REFERENCES


Children and Family Services Reviews: On-Site Review Instrument and Instructions July 2014

Overall Framework for the Child and Family Services Reviews

The Child and Family Services Reviews are a federal-state collaborative effort designed to help ensure that quality services are provided to children and families through state child welfare systems. The Children’s Bureau, Administration for Children and Families, U.S. Department of Health and Human Services, has administered the reviews since 2000. They are reviews of state child welfare programs and practice that identify strengths and challenges in state programs and systems, focusing on outcomes for children and families in the areas of safety, permanency, and well-being. The reviews work in tandem with other state and federal frameworks for system planning, reform, and effective implementation, such as the Child and Family Services Plan and a well-functioning continuous quality improvement system.1


Purpose of the Reviews

Section 1123A of the Social Security Act (the Act) requires the Department of Health and Human Services to review state child and family services programs to ensure substantial conformity with the state plan requirements in titles IV-B and IV-E of the Act. Through the reviews, the Children’s Bureau also assesses state programs implemented under titles IV-B and IV-E related to child protection, foster care, adoption, family preservation and family support, and independent living services.

In addition to reviewing for states’ substantial conformity with applicable state plan requirements, the reviews are designed to help states improve child welfare services and the outcomes for children and families who receive services. Based on the strengths and areas needing improvement within state programs identified by the reviews, states develop Program Improvement Plans to address areas in which they were found not to be in conformity with any of the seven outcomes or seven systemic factors under review. Implementing Program Improvement Plan strategies helps states create lasting and statewide systemic change while also addressing the immediate needs of children and families.
Principles of the Reviews

The Child and Family Services Reviews are based on the following central principles and concepts:

- The reviews are a collaborative effort between the federal and state governments. Joint planning between state and federal staff occurs at multiple junctures throughout the process and may include preparing statewide assessment information, planning and involvement in the case review process, identifying issues and measurements for inclusion in Program Improvement Plans, monitoring progress on related activities, and determination of achievement of established goals.

- The reviews examine state programs from two perspectives. First, they assess the outcomes of children and families served by the state’s child welfare agencies. Second, they examine identified systemic factors that affect the ability of state agencies to help children and families achieve positive outcomes.

- The review process collects information from a variety of sources so the Children’s Bureau can make determinations about a state’s performance. These sources include the statewide assessment (and by cross-reference, the state’s Child and Family Services Plan or Annual Progress and Services Reports); statewide data indicators; case records; case-related interviews with children, parents, foster parents, caseworkers, and other professionals; and interviews with Tribes, partners and stakeholders, as necessary.

- Through the reviews, the Children’s Bureau promotes states’ use of practice principles that support positive outcomes for children and families. These principles include family-centered practice, community-based services, individualizing services that address the unique needs of children and families, and strengthening parents’ capacity to protect and provide for their children.

- The reviews capture both state program strengths and areas needing improvement. They include a program improvement process that states use to make improvements, where needed, and build on an agency’s identified strengths. The reviews promote the development of Program Improvement Plans designed to strengthen states’ capacity to create positive outcomes for children and families. The reviews promote ongoing state self-evaluation of programs and outcomes.

- The reviews are best supported by a state maintaining and enhancing its quality assurance system through a continuous quality improvement approach so that ongoing measurement of service quality can promote continuous improvement in outcomes for the children and families served by the state.

- The reviews, and the results thereof, emphasize accountability. While the review process includes opportunities for states to make program improvements before having federal funds withheld for nonconformity, significant penalties are associated with the failure to make the identified improvements needed to improve outcomes.

Adapted From the Child and Family Services Reviews Procedures Manual
Collaborating During the Review

The Child and Family Services Reviews promote change through collaboration that begins between the federal and state governments as they assess the effectiveness of child welfare agencies in serving children and families, and continues between child welfare agency leaders and their internal and external partners. Federal and state staff partner throughout the Child and Family Services Reviews process, but final decisions are the responsibility of federal staff.

The Child and Family Services Reviews require collaboration that focuses on identifying shared goals and activities and establishing a plan for improving child welfare services. Most important, this collaborative process should result in changes that promote improved outcomes for children and families. The overarching principles guiding this collaborative process include:

- The safety, permanency, and well-being of children is a shared responsibility. Child welfare agencies must make every effort to reach out to Tribes and other partners in the state who can help to achieve positive results with respect to the outcomes and systemic factors that are subject to review.

- Child welfare agencies do not serve children and families in isolation. They should work in partnership with policymakers, community leaders, and other public and private agencies to improve outcomes for children and families in their states. This includes partnering with organizations that directly serve children, youth, and families, and those whose actions affect family and community life.

- Family-centered and community-based practices are integral to improving outcomes for children and families. As such, collaboration with families, including young people, is important in identifying and assessing strengths and barriers to improved outcomes for children, youth, and families.

- States are encouraged to use a variety of approaches to continue the collaboration and consultation with Tribes, partners and stakeholders that informed the Child and Family Services Plan throughout the review process. For example, the agency might gather information by holding focus groups, conducting surveys, holding joint planning forums, or developing other strategies for linking the review process with the ongoing consultation process used for title IV-B (Child and Family Services Plan) planning. The Children’s Bureau’s expectations related to the use of data and collaboration with Tribes, partners and stakeholders are consistent across all assessment and planning processes.

Real collaboration has a purpose and a goal. It takes planning, time, and a commitment to working together to create change. There are varying degrees of collaboration, each of which can serve the review process and, more importantly, children, youth, and families. See “A Guide for Implementing Improvement Through the Child and Family Services Plan and Child and Family Services Reviews,” Appendix A.  

Statewide Data Indicators
Statewide data indicators are aggregate measures calculated using information that states report to the Adoption and Foster Care Analysis and Reporting System and the National Child Abuse and Neglect Data System. National standards have been established for each statewide data indicator. By measuring state performance against national standards on statewide data indicators, the Children’s Bureau can assist states in continuously monitoring their performance on child outcomes and better understand the entirety of their child welfare systems. There are two statewide data indicators used to determine substantial conformity with safety and five related to permanency and placement stability.

Adapted from Child and Family Services Reviews Procedures Manual
The Child and Family Services Reviews are a partnership between federal and state staff and involve a two-phase process: (1) a statewide assessment, and (2) an onsite review as required by 45 CFR § 1355.33. If needed, a state will develop and implement a Program Improvement Plan to improve upon areas identified as not in substantial conformity.

- In the first phase, the staff of the state child welfare agency, representatives selected by the agency who were consulted in the development of the Child and Family Services Plan, and other individuals deemed appropriate and agreed upon by the state and the Children’s Bureau, complete a statewide assessment, using statewide data indicators to evaluate the programs under review and examine the outcomes and systemic factors subject to review.

- The second phase of the review process is an onsite review, which includes case reviews, case-related interviews for the purpose of determining outcome performance, and, as necessary, stakeholder interviews that further inform the assessment of systemic factors. There are two possible paths to the case reviews conducted during the onsite review: (1) the “Traditional Review,” a 1-week onsite review during which a federal and state team reviews a sample of cases at three sites and conducts case-related and stakeholder interviews; or (2) the “State Conducted Case Review,” when approved by the Children’s Bureau, which consists of case reviews within the context of the state’s ongoing case review process during a defined 6-month period.

- A state determined not to be in substantial conformity with one or more of the seven outcomes or seven systemic factors under review must develop a Program Improvement Plan jointly with the Children’s Bureau that addresses identified areas of nonconformity.

- The state then implements the approved Program Improvement Plan, seeking technical assistance as needed. The Children’s Bureau and the state monitor the plan’s implementation and the state’s progress toward plan-specified goals.

- If the state is unable to demonstrate the agreed-upon improvement, the Administration for Children and Families must take a financial penalty from a portion of the state’s title IV-B and IV-E federal child welfare funds.
Statewide Assessment

The statewide assessment, the first phase of the Child and Family Services Review, provides an opportunity for states to gather and analyze qualitative and quantitative data and information in order to evaluate their child welfare programs and practice, considering their programmatic goals and the desired outcomes for the children and families they serve. The statewide assessment:

- Helps the state and Children’s Bureau prepare for the onsite review by providing evaluative information regarding the state’s practice and performance;
- Provides information for making decisions regarding substantial conformity with the seven systemic factors, identifies areas needing additional examination through stakeholder interviews, and assists in preparing for and determining the content of those interviews;
- Identifies state practice or performance issues that require clarification before or during the onsite review period;
- Enables states and Tribes, partners and stakeholders to identify early in the review process the areas potentially needing improvement and to begin developing their program improvement approach; and
- Provides states with the opportunity to build/expand their capacity for continuous quality improvement.

The state uses the Statewide Assessment Instrument to document the most recent assessment information available before the state’s scheduled onsite review. Both quantitative and qualitative data should be included and used to assess the impact of state policies and practices on the children and families being served by the state child welfare agency, identify the state’s strengths and areas needing improvement, and identify areas that need further examination through the onsite review.

Overview

The statewide assessment, as is the case throughout the review process, is conducted by the state in collaboration with partners both internal and external to the child welfare agency. It should include Tribes, partners, and stakeholders who were consulted in the development of the Child and Family Services Plan and/or whose involvement the state deems necessary for ongoing assessment and strategic planning. States are encouraged to use a variety of approaches in collaborating and consulting with Tribes, partners, and stakeholders throughout the review process; states are encouraged to include families and youth being served by the agency in the stakeholder process. This alignment between the Child and Family Services Plan, ongoing planning, and the review is strengthened by the opportunity for states to refer to their Child and Family Services Plan/Annual Progress and Services Report, which must include an assessment of performance on the seven outcomes and seven systemic factors in the statewide assessment, updating information as needed (see Title IV-B Child and Family Service Plan (ACYF-CB-PI-14-03), Mar. 5, 2014, http://www.acf.hhs.gov/sites/default/files/cb/pi1403.pdf).

The Children’s Bureau transmits the Statewide Assessment Instrument, including the state’s data profile, to the state at least 6 months before the onsite review phase. The state submits the completed Statewide Assessment Instrument no later than 2 months before the start of the onsite review period. States are encouraged to submit to the Children’s Bureau drafts of the Statewide Assessment Instrument sections as they are developed so the Children’s Bureau can provide feedback to the state regarding content. This draft review process provides the state time to make revisions to the Statewide Assessment Instrument before the final version is due to the Children’s Bureau Regional Office.
Child and Family Services Review Fundamentals
Statewide Assessment Activity

Review the Statewide Assessment information in the handouts. Answer the following:

1. The statewide assessment occurs during what phase of the Child and Family Services Review?

2. Quantitative and qualitative data is included in the Statewide Assessment and is used to assess the impact of state policies and practices on the children and families being served by the state child welfare agency.

   True or False

3. Who does the state consult with in the development of the Child and Family Services Plan?

4. The statewide assessment helps the state and Children’s Bureau prepare for the __________________ by providing evaluative information regarding the state’s practice and performance;

   a) Child and Family Services Plan
   b) Substantial Conformity
   c) Onsite Review
   d) None of the above

5. The statewide assessment provides information for making decisions regarding substantial conformity with ______________________.

6. The statewide assessment identifies areas needing additional examination through the final report, and assists in preparing for and determining the content of those interviews;

   True or False

7. Enables states and Tribes, partners and stakeholders to identify early in the review process the areas potentially ______________________ and to begin developing their ________________________________.
The Onsite Review Process

Introduction

The onsite review is the second phase of the Child and Family Services Reviews. The purpose of the onsite review is to gather state performance information from the examination of a sample of cases for outcome achievement and to conduct interviews with Tribes, partners, and stakeholders to evaluate the systemic factors under review, as needed. States may engage in the onsite review in one of two ways: (1) by conducting their own case reviews, if approved by the Children’s Bureau (the “State Conducted Case Review” path), and submitting those data for the Children’s Bureau to use in substantial conformity determinations; or (2) by participating in a 1-week review of cases conducted by a team of federal and state reviewers (the “Traditional Review” path). Both paths require federal participation in any stakeholder interviews conducted to make final determinations of substantial conformity with the seven systemic factors.

Overview

During the onsite review, a team of reviewers examines case records and conducts case-related and stakeholder interviews to collect qualitative and quantitative information on outcomes and systemic factors to supplement the data/information reported through the statewide assessment.

The combination of this information is used to make determinations of whether a state is in substantial conformity with federal requirements regarding the seven child and family outcomes and seven systemic factors, and to inform the development of plans for improvement and additional technical assistance.
Initial Determination of Substantial Conformity

After the completion of the onsite review phase of the Child and Family Services Review, the Children’s Bureau makes a determination regarding substantial conformity for each of the seven outcomes and seven systemic factors under review based on the requirements set forth at 45 CFR § 1355.34. The Children’s Bureau submits these findings, along with information on the state child welfare agency’s strengths and areas needing improvement in serving children and families, to the state in a Final Report prepared by the Children’s Bureau after all data have been obtained.

A Program Improvement Plan is required only for outcomes or systemic factors determined not to be in substantial conformity.

The Children’s Bureau’s Preliminary Feedback and Findings

During the onsite review, the Children’s Bureau engages in discussions with the state to provide feedback and observations. The Children’s Bureau participation will generally lead to the Children’s Bureau sharing its observations about findings, trends, ratings, and quality assurance activities. Any information shared with the state before it receives the courtesy copy of the Children’s Bureau’s Final Report should be considered preliminary feedback and findings. The Final Report includes the Children’s Bureau’s official determinations of substantial conformity once all information has been reconciled.
OUTCOMES

Safety Outcome 1: Children are, first and foremost, protected from abuse and neglect.
Item 1: Were the agency’s responses to all accepted child maltreatment reports initiated, and face-to-face contact with the child(ren) made, within time frames established by agency policies or state statutes?

Safety Outcome 2: Children are safely maintained in their homes whenever possible and appropriate.
Item 2: Did the agency make concerted efforts to provide services to the family to prevent children’s entry into foster care or re-entry after reunification?
Item 3: Did the agency make concerted efforts to assess and address the risk and safety concerns relating to the child(ren) in their own homes or while in foster care?

Permanency Outcome 1: Children have permanency and stability in their living situations.
Item 4: Is the child in foster care in a stable placement and were any changes in the child’s placement in the best interests of the child and consistent with achieving the child’s permanency goal(s)?
Item 5: Did the agency establish appropriate permanency goals for the child in a timely manner?
Item 6: Did the agency make concerted efforts to achieve reunification, guardianship, adoption, or other planned permanent living arrangement for the child?

Permanency Outcome 2: The continuity of family relationships and connections is preserved for children.
Item 7: Did the agency make concerted efforts to ensure that siblings in foster care are placed together unless separation was necessary to meet the needs of one of the siblings?
Item 8: Did the agency make concerted efforts to ensure that visitation between a child in foster care and his or her mother, father, and siblings was of sufficient frequency and quality to promote continuity in the child’s relationships with these close family members?
Item 9: Did the agency make concerted efforts to preserve the child’s connections to his or her neighborhood, community, faith, extended family, Tribe, school, and friends?
Item 10: Did the agency make concerted efforts to place the child with relatives when appropriate?
Item 11: Did the agency make concerted efforts to promote, support, and/or maintain positive relationships between the child in foster care and his or her mother and father or other primary caregivers from whom the child had been removed through activities other than just arranging for visitation?

Well-Being Outcome 1: Families have enhanced capacity to provide for their children’s needs.
Item 12: Did the agency make concerted efforts to assess the needs of and provide services to children, parents, and foster parents to identify the services necessary to achieve case goals and adequately address the issues relevant to the agency’s involvement with the family?
Item 13: Did the agency make concerted efforts to involve the parents and children (if developmentally appropriate) in the case planning process on an ongoing basis?
Item 14: Were the frequency and quality of visits between caseworkers and child(ren) sufficient to ensure the safety, permanency, and well-being of the child(ren) and promote achievement of case goals?
Item 15: Were the frequency and quality of visits between caseworkers and the mothers and fathers of the child(ren) sufficient to ensure the safety, permanency, and well-being of the child(ren) and promote achievement of case goals?

Well-Being Outcome 2: Children receive appropriate services to meet their educational needs.
Item 16: Did the agency make concerted efforts to assess children's educational needs, and appropriately address identified needs in case planning and case management activities?

Well-Being Outcome 3: Children receive adequate services to meet their physical and mental health needs.
Item 17: Did the agency address the physical health needs of children, including dental health needs?
Item 18: Did the agency address the mental/behavioral health needs of children?

SYSTEMIC FACTORS

Statewide Information System
Item 19: How well is the statewide information system functioning statewide to ensure that, at a minimum, the state can readily identify the status, demographic characteristics, location, and goals for the placement of every child who is (or within the immediately preceding 12 months, has been) in foster care?

Case Review System
Item 20: How well is the case review system functioning statewide to ensure that each child has a written case plan that is developed jointly with the child’s parent(s) and includes the required provisions?
Item 21: How well is the case review system functioning statewide to ensure that a periodic review for each child occurs no less frequently than once every 6 months, either by a court or by administrative review?
Item 22: How well is the case review system functioning statewide to ensure that, for each child, a permanency hearing in a qualified court or administrative body occurs no later than 12 months from the date the child entered foster care and no less frequently than every 12 months thereafter?
Item 23: How well is the case review system functioning to ensure that the filing of termination of parental rights (TPR) proceedings occurs in accordance with required provisions?
Item 24: How well is the case review system functioning to ensure that foster parents, pre-adoptive parents, and relative caregivers of children in foster care are notified of, and have a right to be heard in, any review or hearing held with respect to the child?

Quality Assurance System
Item 25: How well is the quality assurance system functioning statewide to ensure that it is (1) operating in the jurisdictions where the services included in the Child and Family Services Plan (CFSP) are provided, (2) has standards to evaluate the quality of services (including standards to ensure that children in foster care are provided quality services that protect their health and safety), (3) identifies strengths and needs of the service delivery system, (4) provides relevant reports, and (5) evaluates implemented program improvement measures?

Staff and Provider Training
Item 26: How well is the staff and provider training system functioning statewide to ensure that initial training is provided to all staff who deliver services pursuant to the Child and Family Services Plan (CFSP) that includes the basic skills and knowledge required for their positions?
Item 27: How well is the staff and provider training system functioning statewide to ensure that ongoing training is provided for staff that addresses the skills and knowledge needed to carry out their duties with regard to the services included in the CFSP?

Item 28: How well is the staff and provider training system functioning to ensure that training is occurring statewide for current or prospective foster parents, adoptive parents, and staff of state licensed or approved facilities (that care for children receiving foster care or adoption assistance under title IV-E) that addresses the skills and knowledge needed to carry out their duties with regard to foster and adopted children?

Service Array and Resource Development

Item 29: How well is the service array and resource development system functioning to ensure that the following array of services is accessible in all political jurisdictions covered by the Child and Family Services Plan (CFSP)?

1. Services that assess the strengths and needs of children and families and determine other service needs;
2. Services that address the needs of families in addition to individual children in order to create a safe home environment;
3. Services that enable children to remain safely with their parents when reasonable; and
4. Services that help children in foster and adoptive placements achieve permanency.

Item 30: How well is the service array and resource development system functioning statewide to ensure that the services in item 29 can be individualized to meet the unique needs of children and families served by the agency?

Agency Responsiveness to the Community

Item 31: How well is the agency responsiveness to the community system functioning statewide to ensure that, in implementing the provisions of the Child and Family Services Plan (CFSP) and developing related Annual Progress and Services Reports (APSRs), the state engages in ongoing consultation with Tribal representatives, consumers, service providers, foster care providers, the juvenile court, and other public and private child- and family-serving agencies and includes the major concerns of these representatives in the goals, objectives, and annual updates of the CFSP?

Item 32: How well is the agency responsiveness to the community system functioning statewide to ensure that the state’s services under the Child and Family Services Plan (CFSP) are coordinated with services or benefits of other federal or federally assisted programs serving the same population?

Foster and Adoptive Parent Licensing, Recruitment, and Retention

Item 33: How well is the foster and adoptive parent licensing, recruitment, and retention system functioning statewide to ensure that state standards are applied to all licensed or approved foster family homes or child care institutions receiving title IV-B or IV-E funds?

Item 34: How well is the foster and adoptive parent licensing, recruitment, and retention system functioning statewide to ensure that the state complies with federal requirements for criminal background clearances as related to licensing or approving foster care and adoptive placements, and has in place a case planning process that includes provisions for addressing the safety of foster care and adoptive placements for children?

Item 35: How well is the foster and adoptive parent licensing, recruitment, and retention system functioning to ensure that the process for ensuring the diligent recruitment of potential foster and adoptive families who reflect the ethnic and racial diversity of children in the state for whom foster and adoptive homes are needed is occurring statewide?

Item 36: How well is the foster and adoptive parent licensing, recruitment, and retention system functioning to ensure that the process for ensuring the effective use of cross-jurisdictional resources to facilitate timely adoptive or permanent placements for waiting children is occurring statewide?
Determination of Substantial Conformity with the Outcomes

Using the statewide assessment and onsite case review data, the Children’s Bureau assesses seven outcomes under three domains (safety, permanency, and child and family well-being) by examining 18 items. (See “Quick Reference Items List” Handout 9 or on the web at http://www.acf.hhs.gov/sites/default/files/cb/cfsrquickreferencelist.pdf.)

The diagram below illustrates the process of determining substantial conformity with the outcomes.

**Step 1:** Reviewers determine whether the outcomes are substantially achieved in the individual cases they review.

**Step 2:** The Children’s Bureau determines the percentage of cases in which each outcome is substantially achieved.

**Step 3:** The Children’s Bureau compares the state’s performance on the statewide data indicators, where applicable, with the national standard for applicable statewide data indicators.

**Step 4:** The Children’s Bureau determines if the state meets all of the applicable national standards (if any) AND has 95% of cases rated as substantially achieved for each outcome.

**Case Reviews**

Reviewers conduct case reviews by reviewing the case record and conducting case-related interviews using the Onsite Review Instrument. The instrument lists the items that reviewers examine in assessing achievement of each outcome. For each case, once the reviewer(s) has examined the items and entered the relevant information, the instrument provides the logic for rating each item as a strength, an area needing improvement, or not applicable. The system then records whether, for each case, each of the seven outcomes was substantially achieved, partially achieved, not achieved, or not applicable.
Determination of Substantial Conformity with the Outcomes

In the Onsite Review Instrument, outcomes are rated for each case based on which items are identified as strengths or areas needing improvement.

To rate an outcome as substantially achieved for a case, the following criteria must be met:

- Safety Outcome 1, “Children are, first and foremost, protected from abuse and neglect”: Item 1 is rated as a strength.
- Safety Outcome 2, “Children are safely maintained in their homes whenever possible and appropriate”: All applicable items are rated as strengths.
- Permanency Outcome 1, “Children have permanency and stability in their living situations”: All applicable items are rated as strengths.
- Permanency Outcome 2, “The continuity of family relationships and connections is preserved for children”: No more than one of the applicable items for this outcome is rated as an area needing improvement and at least one item is rated as a strength.
- Child and Family Well-Being Outcome 1, “Families have enhanced capacity to provide for their children’s needs”: Item 12 must be rated as a strength, plus no more than one of the remaining applicable items may be rated as an area needing improvement.
- Child and Family Well-Being Outcome 2, “Children receive appropriate services to meet their educational needs”: Item 16 is rated as a strength.
- Child and Family Well-Being Outcome 3, “Children receive adequate services to meet their physical and mental health needs”: All applicable items are rated as strengths and at least one item is applicable.

Performance on Statewide Data Indicators as Compared to National Standards

The Children’s Bureau provides information on the state’s performance on the national standards at the time of the release of the initial data profile that accompanies the statewide assessment. The Children’s Bureau updates the state’s performance data as necessary (e.g., if the state has resubmitted more accurate data for the applicable period) before making a determination of substantial conformity. The Children’s Bureau determines if the state meets, exceeds, or falls below the national standard for each statewide data indicator associated with the outcome. The state must meet or exceed all applicable national standards associated with the outcome, and the state must meet the associated case review standards for the Children’s Bureau to consider the state in substantial conformity.
Determination of Substantial Conformity With the Systemic Factors

Through the statewide assessment, the state compiles and evaluates information about the systemic factors referencing the state’s Child and Family Services Plan or Annual Progress and Services Report for the most relevant and recent information if appropriate. The Children’s Bureau examines this information at the time of the submittal of the statewide assessment to determine whether any systemic factors can be deemed in substantial conformity at that time. When that determination is not possible, the Children’s Bureau determines the scope of stakeholder interviews needed during the onsite review and gathers the information necessary from the interviews to make final substantial conformity decisions.

Using the statewide assessment and information gathered from stakeholder interviews, the Children’s Bureau assigns a rating of “Strength” or “Area Needing Improvement” to each of the title IV-B/IV-E plan requirements (items) corresponding to the systemic factor based on how well the item-specific requirement is functioning as described in the applicable regulation or statute. By “functioning,” the Children’s Bureau means that the requirement is occurring or is being met consistently and on an ongoing basis across the state for all relevant populations. The Children’s Bureau considers the following factors in making determinations at the point of the statewide assessment:

- Has the state provided data/information that is relevant and on point with respect to the totality of the item?
- Does the data/information indicate that the systemic factor item is routinely functioning as required statewide?
- Are there no significant methodological, scope, quality, or time-frame issues with the data/information the state provided so that the Children’s Bureau may rely on the data/information?
- Does the state assert (or at least not contravene/contradict) that the data/information represents their statewide performance on the systemic factor item?

If the Children’s Bureau can respond “yes” to the information in the statewide assessment on the above factors, no further stakeholder interviews will be necessary except for the service array systemic factor.

Following the onsite review, the Children’s Bureau considers the additional information from the stakeholder interviews in concert with the statewide assessment data/information to determine whether a state is in substantial conformity.

Five of the seven systemic factors are rated on the basis of multiple items or plan requirements. Two systemic factors, “statewide information system” and “quality assurance system,” are rated on the basis of only one item. For a state to be found in substantial conformity with a systemic factor, the information obtained from the statewide assessment and/or stakeholder interviews, if necessary, must indicate that no more than one of the required number of items for that systemic factor fail to function as required. For the statewide information system and quality assurance system systemic factors, the single item for each must be functioning as required to be in substantial conformity.
Final Report

The Final Report is a compilation of information on the state agency’s strengths and areas needing improvement regarding each of the outcomes and systemic factors reviewed through the Child and Family Services Reviews.

Content of the Final Report

The Final Report documents the Children’s Bureau’s determination of substantial conformity or nonconformity in each area reviewed. The review findings, supported by information from the statewide assessment, Onsite Review Instruments, and Stakeholder Interview Guides, form the basis of the report. To protect the confidentiality of individual children, families, and representative stakeholders, the report does not identify interviewees or cases reviewed. Information about the state’s past performance in the Child and Family Services Reviews is also summarized in the report.

The report is accompanied by a cover letter that includes a statement about substantial conformity. If a state is not in substantial conformity, the letter also estimates the amount of any applicable penalty and the date by which the state must submit a Program Improvement Plan to the Children’s Bureau Regional Office.

The information the Children’s Bureau prepares provides the state with initial insight into which items may be contributing to the achievement or lack of achievement of the outcomes or systemic factors. States should consider the report as a foundation for conducting further analysis to inform their program improvement efforts. Further exploration of all strengths and challenges uncovered by the review should occur during Program Improvement Plan development discussions between the Children’s Bureau and the state.

Dissemination of the Final Report and Results Discussion

The Children’s Bureau aims to release the Final Report to the state within 30 days from the date that the Children’s Bureau has received all case review data. Concurrent with the issuance of the Final Report, the Children’s Bureau and the state schedule a formal discussion of the results. The Children’s Bureau encourages the state to invite to the discussion the entire review team; agency staff from the locations reviewed; key agency staff who will benefit from hearing the review findings, including staff who will have major responsibility for planning program improvements; and community partners including, but not limited to the Tribes, partners, and stakeholders in the Child and Family Services Plan collaboration process.
<table>
<thead>
<tr>
<th>Timeframe</th>
<th>CFSR Activity</th>
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<tbody>
<tr>
<td>June 2014</td>
<td>The 2015-2019 Children and Family Services Plan (CFSP), which included a Statewide Assessment and Plan for Improvement, was submitted to the Children’s Bureau.</td>
</tr>
<tr>
<td>November 2014</td>
<td>Kansas was approved to use our own case review process after meeting the criteria set forth by the Children’s Bureau.</td>
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| Jan. 2015- Feb. 2015 | • Training for Reviewers regarding the On-Site Review Instrument (ORSI), stakeholder interviews and Third Party Quality Assurance (QA) training   
                     • DCF and the Providers identify key participants in each case for stakeholder interviews 
                     • Updates Statewide Assessment is submitted to the Children’s Bureau 
                     • Key participants are contacted regarding their willingness to participate in the review 
                     • Systemic Factors requiring interviews are identified                                      |
| March 2015      | Stakeholder interviews are scheduled for the case specific and systemic factors                                                                 |
| April 2015      | • Cases are reviewed 
                     • Stakeholder interviews are complete on cases reviewed                                           |
| June 2015       | Stakeholder Interviews for the systemic factors are complete.                                                                                   |
| June 2015- Sept. 2015 | • Kansas and the Children’s Bureau are fine-tuning findings from the case reviews and stakeholder interviews.  
                         • The Children’s Bureau drafts the final report.                                                   |