

Handouts for the Webinar

Quality Case Reviews: Q & A with State and County Partners

April 30, 2014

Presenters

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UNC-Chapel Hill School of Social Work

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NC Division of Social Services

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North Carolina Department of Health and Human Services
Division of Social Services

Pat McCrory
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Wayne E. Black
Division Director

April 1, 2014

DEAR COUNTY DIRECTOR OF SOCIAL SERVICES

ATTENTION: DIRECTORS AND CHILD WELFARE PROGRAM ADMINISTRATORS

SUBJECT: CHILD AND FAMILY SERVICES REVIEW (CFSR), QUALITATIVE CASE REVIEWS AND CONTINUOUS QUALITY IMPROVEMENT (CQI) PRACTICES

The highly anticipated resumption of the Child and Family Services Reviews (CFSR) have recently been announced by the Administration for Children Youth and Families (ACYF) through a Child and Family Services Review Technical Bulletin #7

(<http://www.aphsa.org/content/dam/NAPCWA/PDF%20DOC/Home%20Page/CFSR%20Round%20III%20-%20TB%207.pdf>). This Technical Bulletin announces the next round of reviews and profiles changes to the review process. It is indicated at this time that North Carolina will once again be one of the first states to be reviewed under this new guidance which means that we can expect a review to occur in 2015. The Technical Bulletin identifies the period of time covered by the data profiles (or sampling period) will be April 1, 2014 to March 31, 2015.

Just as we seek to support the development of a county's capacity to evaluate its own Quality Case Record (QCR) Review and implement REAP as our Continuous Quality Improvement (CQI) system, ACYF will begin working with states around these same processes. ACYF points out that Qualitative Case Reviews are just *one* piece of evaluating the effectiveness of child welfare systems and services. The Division seeks to learn more from, and share with, county staff how to structure qualitative case reviews in a manner that leads to continuous service delivery improvement. ACF has defined CQI as "the complete process of identifying, describing, and analyzing strengths and problems and then testing, implementing, learning from and revising solutions...it is dependent upon the active inclusion and participation of staff at all levels of the agency, children, youth, families and stakeholders throughout the process." For additional information on CQI, ACYF previously released an Information Memorandum (IM) ACYF-CB-IM-12-07 (<http://www.acf.hhs.gov/sites/default/files/cb/im1207.pdf>) that provides guidance to states on establishing and maintaining Continuous Quality Improvement (CQI) systems.

The following counties have agreed to participate in a 3 month effort regarding the development of a more efficient and valid on-going QCR and one that seeks to build county capacity to conduct their own internal case review process as a part of their CQI system: Craven, Hoke, Mecklenburg, Pitt, Scotland.

The work with these 5 counties will involve for the first time a review of Foster Home Licensing records in addition to CPS records if relevant during the period under review (PUR). Attached to this letter is a case record organizational outline for Foster Home Licensing records. The process being piloted involves:

Child Welfare Services

www.ncdhhs.gov • www.ncdhhs.gov/dss

Tel 919-527-6335 • Fax 919-334-1018

Location: McBryde Bldg. • 820 S. Boylan Street • Raleigh, NC 27603

Mailing Address: 2401 Mail Service Center • Raleigh, NC 27699-2401

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- Training and technical assistance to county staff on the CFSR Instrument to build capacity in the county to conduct internal case record reviews
- State and county desk record review to include key informant interviews with fidelity to minimize inter-rated reliability
- Inclusion of Foster Home licensing record review
- Continue the inclusion of jurisdiction case reviews when applicable
 - For those counties who are not a REAP or QCR pilot county, you will be notified that your portion of the case record is needed.
- Individual county report of findings and a pilot final report of the outcomes of the pilot to be shared statewide and with ACYF
- Findings incorporated in county's REAP(CQI)Achievement Plan

The information learned from this effort will serve two purposes. It will provide the state with some valuable information into the form and structure of case reviews and will satisfy the ACYF requirement to report data. Although the face of the QCR's will look somewhat different it is important to note that that same tool, the DSS-5223 (<http://info.dhhs.state.nc.us/olm/forms/dss/dss-5223.pdf>) will still be used. To prepare for this some advance preparation will need to take place, we encourage every agency to initiate efforts to organize child welfare records as referenced in Section 1424 of the Family Services Manual (<http://info.dhhs.state.nc.us/olm/manuals/dss/csm-60/man/pdf%20docs/CS1424.pdf>) and a suggested format for foster care licensing records is attached.

We invite every agency to participate in an upcoming free webinar: "Quality Case Reviews: Q&A with State and County Partners". This webinar is open to all and will take place on **Wednesday, April 30th, 2014 from 10:30 a.m. to 12 p.m.** Please see the attached announcement for more information.

It is our hope that if you are not currently conducting quality case record reviews that you are assessing in some manner the many critical elements of a QCR system as a part of any CQI system. We would also like to recognize that there are more questions than there are answers. We will continue to work with our federal partners and share information as soon as available.

Sincerely,



Kevin Kelley, Section Chief
Child Welfare Services

Attachments (2):
QCR REAP Webinar Announcement
Foster Home Licensure File Organization

cc: Wayne Black
Jack Rogers
Child Welfare Services Team Leaders

CWS-10-2014

QCR TRAINING INFORMATION

Training Part 1

What: Approximately two-hour ConnectPro conference during which Division QCR staff will briefly discuss the QCR Instrument and answer questions.

Who: Attendance should consist of any staff that will be reviewing either internally during peer reviews, or during the state-led onsite review.

Training Part 2

What: Case Review

After the conclusion of Part 1, the Division QA lead for your county will talk to you about selecting three cases for review, preferably 1 foster care and 2 in home cases. The cases are strictly for the intention of training; no ratings or other information is collected by the Division on these cases.

- The In Home Cases should have been opened at least 60 days during the period under review and for the clarity of the training, not have been open for foster care at any point during the period under review;
- The foster care case(s) should have been opened for foster care at least 30 days during the period under review. For foster care cases, there is a “target child” who is the focus of several of the instrument’s items, and therefore the county needs to identify a target child in these cases.

The Division QA will assist the county in determining a 12 month *period under review*.

The county should plan to get copies of these cases to the Division QCR lead – either by mailing, scanning on a flash drive and delivering to a Division staff member, or planning some other transfer to the QCR lead.

Who: At least two Division QCR team members will review the cases and/or Children’s Program Representatives, using the QCR tool, maintaining the fidelity of the tool and its intent. At the same time, the county should be determining what county staff will review the cases using the QCR instrument and the county staff should begin reviewing the cases. It is very acceptable, and even desirable, for county staff to pair up to provide a better conversation about the instrument and the case ratings.

The Division QA and the county QA lead will set a one or two day meeting to hold a roundtable discussion attended by the Division and county reviewers. The purpose of this meeting is for discussion and transfer of learning only and NOT for a debriefing of the case by the Division staff.

The county should feel free to invite others of their choosing to be present for either training.



CASE NAME:
SAMPLE #:
COUNTY:
STATE REVIEWER:
COUNTY REVIEWER:
CASE DEBRIEFED:

North Carolina Child and Family Services Reviews

Onsite Review Instrument and Instructions

THIS 85-PAGE REVIEW TOOL (DSS-5223)

CAN BE DOWNLOADED FROM

<http://info.dhhs.state.nc.us/olm/forms/dss/dss-5223.pdf>



North Carolina Department of Health and Human Services
Division of Social Services
Child Welfare Services
Child and Family Services Reviews Effective 7-15-09

**Adoption Services
Case Review Tool**

Insert Date of Review: Reviewer Name: Period Under Review: Date Transferred From Foster Care:		Case Name: Social Worker Name: Unit: Date Closed or Adoption Finalized:	
Question #	Question	Response	Comments (Please write your comment on ALL "NO" and "N/A" responses)
ALL CASES		Y, N, NA	
1	There is contact information form with completed and accurate information in the record. <i>(Evidence: Contact Information Form)</i>		
2	There is evidence/documentation of supervisor's review in the past quarter (90 days), including his/her signature & date. <i>(Evidence: Documentation Tool and CFT Tools.)</i>		
During the period under review, did the file contain:			
3	a) an updated picture of child/(ren) in the case record <i>(Evidence: Photo of Child)</i>		
	b) birth certificate <i>(Evidence: Copy of Birth Certificate)</i>		
	c) immunizations record <i>(Evidence: Copy of Immunization record)</i>		
	d) medical records <i>(Evidence: Copy of Medical Record)</i>		
	e) mental health records <i>(Evidence: Mental Health Documents)</i>		
	f) dental records (over the age of 2 years old) <i>(Evidence: Copy of Dental Record)</i>		
	g) school records and/or daycare referral <i>(Evidence: Copy of School Records and/or Daycare Referral)</i>		
During the period under review, the file contains the program's CPSS Transfer Summary form which includes: and			
4	a) detailed information the file is being transferred to Adoption. <i>(Evidence: CPSS Transfer Summary)</i>		
	b) Supervisor's signature <i>(Evidence: CPSS Transfer Summary)</i>		
	c) and date <i>(Evidence: CPSS Transfer Summary)</i>		

5	During the period under review, did the social worker provide the prospective adoptive parents with information regarding services, their rights and responsibilities? <i>(Evidence: Dictation)</i>		
6	During the period under review, a Family Services Agreement Review was current within 6 months? <i>(Evidence: Family Services Agreement Review)</i>		
7	During the period under review, did the social worker ensure the child's permanency goal(s) specified in the case file? <i>(Evidence: Out of Home Service Agreement)</i>		
8	During the period under review, did the social worker ensure all permanency goals were effective and appropriate to the child's needs for permanency and to the circumstances of the case? <i>(Evidence: Out of Home Service Agreement)</i>		
9	During the period under review, did the social worker ensure that if the child is not in a living arrangement that can be considered permanent, were concerted/diligent efforts made to achieve a permanent living arrangement for the child? <i>(Evidence: Out of Home Service Agreement)</i>		
10	During the period under review, if child(ren) is not with a prospective adoptive parent, did the social worker submit a registration exemption form for the child to become legally free for adoption? <i>(Evidence: DSS-5303-Request For NC Kids Child Registration)</i>		
11	The file contains;		
	a) court reports <i>(Evidence: Court Reports)</i>		
	b) documents of guardianship or legal custody <i>(Evidence: Guardianship or legal custody document)</i>		
	c) copy of TPR <i>(Evidence: TPR Form or Court Document of a Motion to TPR)</i>		
	d) any legal directives related to the service being provided. <i>(Evidence:court documents related to services)</i>		
12	Dictation is specific, factual and pertinent to the client and his/her case. <i>(Evidence: Case Dictation)</i>		

13	Dictation is completed with social worker's signature and/or name initialed added to each page. <i>(Evidence: Signature and/or name initialed)</i>		
14	Dictation is clearly legible and are kept up-to-date, entered within 7 days of contact. <i>(Evidence: Case Dictation)</i>		
15	Dictation documents services and indicates client progress towards meeting goals/objectives listed in the service plan. <i>(Evidence: Case Dictation)</i>		
16	All records reflect original file entries (no use of correction fluid.) Errors are corrected by a single line strike through the incorrect text and initialed and dated by the worker. <i>(Evidence: Adoption Case Record)</i>		
17	There is evidence that clear and complete closing summary criteria have been established for the services provided. <i>(Evidence: Closing Summary Form)</i>		
18	A closing summary, including a recommendation section, has been entered into the case record within 2 weeks of termination. <i>(Evidence: Closing Summary and TPR Form)</i>		
19	The closing summary includes;		
	a) reason for termination <i>(Evidence: Closing Summary Form)</i>		
	b) recommendations and referrals for needed future services <i>(Evidence: Closing Summary Form)</i>		
	c) assignment of aftercare responsibilities, when indicated in the service plan <i>(Evidence: Closing Summary Form)</i>		
20	During the review process, was the record accessible on Laserfiche? <i>(Evidence: Laserfiche)</i>		
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	Total # of Yes Responses	0	
	Total # of No Responses	0	
	Total # of NA Responses	0	
	Overall Compliance Score	NA	

EVALUATION OF CASE DECISION - SERVICES PROVIDED / SERVICES RECOMMENDED

CASE NAME:

CASE NUMBER:

CHILDREN'S NAMES:

SW/ SWS:

REPORT DATE:

DATE ASSIGNED

INITIATION DATE:

DATE OF CASE DECISION

(FAMILY ASSESSMENT):

CASE DECISION: SERVICES RECOMMENDED

SERVICES PROVIDED

QA SW:

Date Reviewed: _____ Debriefing Date: _____

YES NO N/A	PERFORMANCE ISSUE	COMMENTS
	Primary reason: (Brief description of the nature of the referral)	
	(Initiation) F2F with ALL children Days from Receipt of Report to Initiation	
	Did the SW make contact with all the individuals identified in the referral?	
	Diligent efforts to identify and engage non-custodial parents.	
	Safety assessment: -completed at initiation or with any new information/changes	
	Strengths/Needs Assessment: -Are the needs identified on Case Decision taken directly from this assessment	
	Risk Assessment: -Risk rating -Supervisory override clearly documented	
	Is there a direct correlation between the tools ?	
	Needs Identified	Services Provided

YES NO N/A	PERFORMANCE ISSUE	COMMENTS
	<p>Dictation (5010)</p> <p>Does the service provided match the need?</p> <p>Does dictation clearly identify <u>who</u> received the services?</p>	
	<p>Are service providers clearly identified?</p> <p>List any community referral for 'Services Recommended' cases.</p> <p>List any QSAP (Substance Abuse Treatment) referral.</p>	
	<p>Was there clear documentation of the services recommended?</p>	
	<p>Was there follow-up with the service provider? (Primarily "Services Provided" cases).</p> <p>Was the follow-up before Case Decision?</p>	
	<p>Is justification of the case decision reflected in dictation?</p>	
	<p>Was the Case Decision appropriate for the level of safety concern and risk of the children?</p>	
	<p>Did the SW engage the family in services?</p>	
	<p>KEYING ERRORS/TYPOS (SIS/ Day Sheets/ MRS ...)</p>	
	<p>How many reports were received after this assessment that were NOT "screened-out"?</p> <p>Was the additional report(s) expressing the same issue(s)?</p>	
	<p>Were the letters sent out timely? Within 5 working days.</p>	
	<p>ADDITIONAL COMMENTS:</p>	

Qualitative Case Review (QCR): Q & A with State & County Staff

Welcome!

Please click on the colored link below to download the
handout for today:

[4-30-14 webinar handout](#)



NCDSS CHILD WELFARE SERVICES
STATEWIDE TRAINING
PARTNERSHIP



UNC
SCHOOL OF SOCIAL WORK

Goals of this Webinar



- Identify models of QCR in NC
- Understand benefits for staff development, supervision, and CQI efforts
- Identify common challenges and strategies to overcome them

Ultimate Goal

Implement QCR as a part of our efforts to effectively monitor practice and improve outcomes for families and children.

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Agenda




- Orientation
- Introductions
- Overview of QCR and Models Used in NC
 - NCDSS and Pitt County DSS
 - Cumberland County DSS
 - Durham County DSS
- Q & A on Logistics, Benefits and Challenges

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Panelists

- Cythia O'Briant, MSW
NCDSS
- Tamatha Braddy
Pitt Co. DSS
- Shontelle Smith
Durham Co. DSS
- Heike Hammer
Cumberland Co. DSS



Moderator

Mellicent Blythe

Tech Support

- Phillip Armfield
- John McMahon

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Polling Questions

Does your agency conduct internal Quality Case Reviews?

- Yes
- No
- I don't know

If yes: on a scale of 1-5, how helpful do you think your county's case review process is for developing staff and improving practice?

- 1 Not at all helpful
- 2
- 3
- 4
- 5 Very helpful

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Overview of QCR & Models Used in NC

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Background for Today


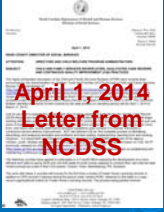
- **CFSR:** Child and Family Services Review
 - Federal government's periodic reviews of state child welfare systems
- **CQI:** Continuous Quality Improvement
 - A process of identifying, describing, and analyzing strengths and problems and then testing, implementing, learning from, and revising solutions (ACF)
- **REAP:** Reaching for Excellence and Accountability in Practice
 - The effort to bring CQI to child welfare in NC



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Qualitative Case Review (QCR)

- Used by many agencies in NC and beyond
- Useful component of CQI
- Will be part of next round of CFSRs
- Building statewide capacity for quality assurance on records AND mining that data for state-level review



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How QCRs Work

1. Select small sample of cases.
2. Interview everyone involved. May include:
 - Caseworker, child and family, foster parent, attorneys, and service providers
3. Structured protocol guides inquiry to help assess:
 - Status/outcome for the child
 - Quality of practice that led to that outcome

(Child Welfare Information Gateway, 2014)

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NCDSS Pilot




- Change in how Division trains for reviews with focus on QCR
- Invited REAP counties to participate: 5 agreed
- County selected 3 cases for review; reviewed by county team and NCDSS team using Onsite Review Instrument (DSS-5223)
- Part 1 of training: review of QCR Tool
- Part 2 of training: meet in person to compare results

Pilot counties preparing for actual case reviews with the Division; data collected to be used for state review

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Pitt Co. DSS




- Met as supervisor group to decide goals of QCR for supervisors and staff
- Made part of performance review; everyone participated
- Set up 3 teams with reps from all units; each team reviewed 1 record
- Those teams recruited staff for 2nd wave
- Remaining staff will be in 3rd wave

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Durham Co. DSS




2 different QCR processes:

1. **Peer review**
 - Conducted quarterly; teams paired with colleague from a different section
 - Use state review instrument
 - Bring in supervisor to discuss positive work on case and areas for improvement
 - Debrief with worker and supervisor

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Durham Co., cont.




2. Review by Quality Assurance Analyst

- Select random cases every month; less extensive review tool with additional issues identified by county
- Pulls from cases across all services
- Looks for trends and patterns
- Results go to Director, Program Manager, and Supervisor
- Supervisor meets with worker for learning

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Cumberland Co. DSS



Dedicated Program Evaluation Team

3 types of QCR:

1. Ongoing QCR
2. Annual mock QCR

- 6 teams, each review 2 cases
- Select cases using state review requirements and use state review tool
- Formal write up to management
- Entrance and exit conference with worker and supervisor

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Cumberland Co., cont.

3. Targeted cases reviews

- Scheduled reviews of different areas that need improvement or oversight based on observed trends. Examples:
 - Kinship placements
 - Monthly contacts
 - Completion of tools




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Benefits and Challenges

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Benefits



1. What benefits do you see from your agency's QCR process?
2. How has it influenced supervision and staff development efforts?
3. How do the QCR results help your CQI efforts?

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Common Challenge: Staff Concerns



1. How did your social work staff respond to the idea of QCR in the beginning?
2. What concerns did they express?
3. How did you address these?
4. What has been helpful for engaging staff in this process?

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Common Challenge: Time Management

1. What changes did you make to staff responsibilities, meetings, etc. to include QCR in your practice?
2. How have QCRs changed the way staff or supervisors prioritize or use their time?
3. How has your agency sustained your QCR process? What has helped your agency continue your QCR efforts?

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Plans for Improvement & Expansion

1. What would you like to see changed to strengthen your QCR process?
2. What advice would you have for agencies that are just starting a QCR process?



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Q & A



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Closing

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Transfer of Learning

➤ Use your chat pod:

What is one thing you plan to do to implement or improve Quality Case Reviews in your agency?

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Final Steps for DSS Staff

1. Please take a brief survey
 - We will provide link for those logged on
 - Can also access thru ncswlearn.org
2. To receive training credit, you must do "Complete Course" **WITHIN ONE WEEK**
 - ✓ Log in to www.ncswlearn.org
 - ✓ Select "PLP"
 - ✓ Select "Webinars"
 - ✓ Click "Enter"
 - ✓ Click "Complete Course" button

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