

*Handouts for the Webinar*

# North Carolina and Round 3 of the CFSR: What Agencies Need to Know

April 8, 2015

*Presenters*

**NC DIVISION OF SOCIAL SERVICES**

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*Chief of Child Welfare Services Section*

Terri Reichert  
*Child and Family Services Review Coordinator  
Child Welfare Services Section*

Rita Bland  
*REAP Coordinator/Interim Quality Assurance Team Leader  
Child Welfare Services Section*

*Produced by*

Family and Children's Resource Program, part of the  
Jordan Institute for Families  
UNC-Chapel Hill School of Social Work

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NC Division of Social Services

## Contents

Presenter bios .....	2
DCDL about CFSR, November 12, 2014 (CWS-26-2014).....	3
Appendix A from CFSR Procedures Manual .....	6
Child and Family Services Reviews Quick Reference Items List .....	10
ACF Approval Letter .....	13
NC's QCR Protocol .....	14
Webinar Slides.....	39

## Additional Learning Resources

- A. CFSR Portal  
<https://training.cfsrportal.org/resources/3105>
- B. North Carolina's Child and Family Services Plan  
[http://www.ncdhhs.gov/dss/stats/docs/child%20welfare%20docs/2015-2019%20CFSP/NC\\_CFSP\\_2015-19\\_CBdraft10072014.pdf](http://www.ncdhhs.gov/dss/stats/docs/child%20welfare%20docs/2015-2019%20CFSP/NC_CFSP_2015-19_CBdraft10072014.pdf)
- C. CFSR Round 3 Onsite Review Instrument and Instructions  
[http://www.acf.hhs.gov/sites/default/files/cb/cfsr\\_r3\\_osri.pdf](http://www.acf.hhs.gov/sites/default/files/cb/cfsr_r3_osri.pdf)

## PRESENTER BIOS



### **Kevin Kelley**

*Chief of Child Welfare Services Section*

Kevin has served as the Chief of the Child Welfare Section of the NC Division of Social Services since October 2011. Prior to that he served in the Child Welfare Section in numerous capacities over the past 15 years, including efforts to enhance the automation capacity of Child Welfare through what is now known as NC FAST. Kevin began his social work career in another state, but since 1995 North Carolina has been his home. He worked at a NC county DSS for three years before moving to the Division. Kevin and his wife Toni have two children, a daughter who is a recent NC State graduate and a son who is a current NC State student.



### **Terri Reichert**

*Child and Family Services Review Coordinator, Child Welfare Services Section*

Building upon her work in Harnett and Wake Counties, Terri has worked for the NC Division of Social Services since 2005 in several capacities. Beginning with the Policy Team as one of the consultants with responsibility for data, Terri has expanded her knowledge and interest to using data to make improvements. In addition to being North Carolina's CFSR Coordinator, Terri serves as the Community Child Protection Team (CCPT) State Coordinator and manages the Division's TA Gateway (<https://nccwta.org/>). Terri received her bachelor's degree from Kansas State University and her master's from NC State University.



### **Rita Bland**, *REAP Coordinator/Interim Leader of the Quality Assurance Team, Child Welfare Services Section*

Rita has been a part of the NC Division of Social Services Child Welfare Services Section since 2005. In the past ten years she has served the Division as a Child Fatality Reviewer; Interim Leader of the Child Welfare Policy Team; Program Manager and Interim Leader of the Regulatory and Licensing Services Team; Interim Leader of the Quality Assurance Team; and R.E.A.P. State Coordinator. Before coming to the Division Rita was with Wilson County Department of Social Services for 20 years (15 years in management), where she worked in Adult and Child Welfare Services. She earned her B.S.W. from East Carolina University.



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

Pat McCrory  
Governor

Aldona Z. Wos, M.D.  
Ambassador (Ret.)  
Secretary DHHS

Wayne E. Black  
Division Director

November 1, 2014

DEAR COUNTY DIRECTOR OF SOCIAL SERVICES

CHILD AND FAMILY SERVICES REVIEW (CFSR) - STATEWIDE DATA PERFORMANCE  
MEASUREMENTS

On April 23, 2014, the Administration of Children and Families (ACF) published a document in the Federal Register (79 FR 22604). The document provided the Children's Bureau's (CB) plan to replace the statewide data indicators used to determine a state's substantial conformity with titles IV-B and IV-E of the Social Security Act through the Child and Family Services Reviews (CFSRs). After consideration of the public comments and additional CB analysis, the CB is now publishing its final plan.

Two indicators have been changed in response to the public comments. The CB will measure the recurrence of maltreatment instead of repeat reports of maltreatment as was proposed in the April Federal Register document. Also added is a new indicator to measure permanency in 12 months for children in foster care for 12 months to 23 months. The final plan will be to use two statewide data indicators to measure maltreatment in foster care and recurrence of maltreatment in evaluating Safety Outcome 1: Children are, first and foremost, protected from abuse and neglect. Statewide data indicators will be used to measure achievement of permanency in 12 months for children entering foster care, permanency in 12 months for children in foster care for 12 months to 23 months, permanency in 12 months for children in foster care for 24 months or more, re-entry to foster care in 12 months, and placement stability. These five permanency indicators will be used in evaluating Permanency Outcome 1: Children have permanency and stability in their living situations.

The North Carolina performance for the seven outcome measurements are summarized below. North Carolina has met the national standard on one of the seven outcome measurements, namely recurrence of maltreatment. North Carolina did not meet the national standard on two items measured, both related to achieving permanency for children in care; 12-23 months, and greater than 24 months. On the four remaining outcome items, North Carolina's performance cannot be established due to data quality concerns. The primary limitation of the data for North Carolina relates to the assignment of a unique identifier in both NCANDS and AFCARS files for children served by any of the 100 counties. As we know, SIS numbers are the means by which children are identified in our data systems. Our electronic data systems are not currently supportive of the business processes necessary to ensure duplicate SIS numbers are not assigned to a single individual child / youth.

## North Carolina Statewide Data Indicators for CFSR Round 3

### 1. Safety Outcome 1: Children Are, First and Foremost, Protected From Abuse and Neglect

#### a. Safety Performance Area 1: Maltreatment in Foster Care

**Indicator Description:** Of all children in foster care during a 12-month period, what is the rate of victimization per day of foster care?

**Cohort:** Children in foster care during a 12-month period

**12-month period:** FFY 2013

**North Carolina Performance:** Excluded due to data quality

#### b. Safety Performance Area 2: Recurrence of Maltreatment

**Indicator Description:** Of all children who were victims of a substantiated or indicated report of maltreatment during a 12-month reporting period, what percent were victims of another substantiated or indicated maltreatment allegation within 12 months of their initial report?

**Cohort:** Victims of a substantiated or indicated maltreatment report in a 12-month period

**12-month period:** FFY 2012

**North Carolina Performance:** 4.8% | National Standard = 9% National standard met

### 2. Permanency Outcome 1: Children Have Permanency and Stability in Their Living Situations

#### a. Permanency Performance Area 1: Permanency in 12 Months for Children Entering Foster Care

**Indicator Description:** Of all children who enter foster care in a 12-month period, what percent discharged to permanency within 12 months of entering foster care?

**Indicator Description:** Of all children who enter foster care in a 12-month period, what percent discharged to permanency within 12 months of entering foster care?

**Cohort:** Children entering care in a 12-month period & exiting within 12 months

**12-month period:** April 1, 2011 through March 31, 2012

**North Carolina Performance:** Excluded due to data quality

#### b. Permanency Performance Area 2: Permanency in 12 Months for Children in Foster Care 12 to 23 Months

**Indicator Description:** Of all children in foster care on the first day of a 12-month period who had been in foster care (in that episode) between 12 and 23 months, what percent discharged from foster care to permanency within 12 months of the first day of the 12-month period?

**Cohort:** Children in care 12-23 months as of the 1st day of a 12-month period

**12-month period:** April 1, 2013 through March 31, 2014

**North Carolina Performance:** 41.9% | National Standard 43.7%, National Standard not met

#### c. Permanency Performance Area 3: Permanency in 12 Months for Children in Foster Care 24 Months or More

**Indicator Description:** Of all children in foster care on the first day of a 12-month period, who had been in foster care (in that episode) for 24 months or more, what percent discharged to permanency within 12 months of the first day of the 12-month period?

**Cohort:** Children in care 24 months or more as of the 1st day of a 12-month period

**12-month period:** April 1, 2013 through March 31, 2014

**North Carolina Performance:** 28.2% | National Standard 20.3%, National Standard not met

**d. Permanency Performance Area 4: Reentry to Foster Care in 12 Months**

**Indicator Description:** Of all children who enter foster care in a 12-month period who discharged within 12 months to reunification, living with a relative(s), or guardianship, what percent re-enter foster care within 12 months of their discharge?

**Cohort:** Children entering care in a 12-month period & exiting within 12 months

**12-month period:** April 1, 2011 through March 31, 2012

**North Carolina Performance:** Excluded due to data quality

**e. Permanency Performance Area 5: Placement Stability**

**Indicator Description:** Of all children who enter foster care in a 12-month period, what is the rate of placement moves per day of foster care?

**Cohort:** Children entering foster care in a 12-month period

**12-month period:** April 1, 2013 through March 31, 2014

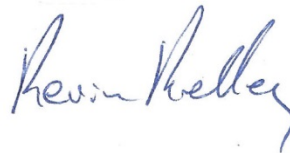
**North Carolina Performance:** Excluded due to data quality

Attached to this letter is a document developed by the Children's Bureau titled "Executive Summary CFSSR-National Standards and Data Indicators". This document provides additional details as to methodology used in the outcome items and the national standards for each items. For additional information related to the items, please see Technical Bulletin #8 at:

[http://kt.cfsrportal.org/action.php?kt\\_path\\_info=ktcore.actions.document.view&fDocumentId=73604](http://kt.cfsrportal.org/action.php?kt_path_info=ktcore.actions.document.view&fDocumentId=73604)

The Children's Bureau is maintaining a comprehensive resource library which is available to the public at: <https://training.cfsrportal.org/resources/3044>

Sincerely,



Kevin Kelley, Chief  
Child Welfare Services

Attachment (1)

CC: Wayne Black  
Hank Bowers  
Child Welfare Services Team Leaders

CWS-26-2014

## Appendix A

### Child and Family Services Reviews: Pathway to Substantial Conformity

The table below shows how the Children's Bureau determines whether a state is in substantial conformity with the Child and Family Services Reviews outcomes and systemic factors. Section 1 of the chart provides information on the outcomes (and the items and statewide data indicators within each), how we rate the items, how we determine substantial achievement for each case reviewed, how the data indicators are factored in, and substantial conformity with the outcomes is determined.

Section 2 provides information on the systemic factors (and the items within each), how the items are rated, and how substantial conformity with the systemic factors is determined.

#### Section 1: Outcomes

Outcome	Items & Ratings	Statewide Data Indicator
<p><b>Safety Outcome 1: Children are, first and foremost, protected from abuse and neglect</b></p>	<p>In 95% of the applicable cases... Item 1: Timeliness of Initiating Investigations of Reports of Child Maltreatment is rated as a strength</p>	<p>For maltreatment in foster care, the state is no different or below the national standard of 8.04 victimizations per 100,000 days in foster care <b>AND</b> For recurrence of maltreatment, the state is no different or below the national standard of 9.0%</p>
<p><b>Safety Outcome 2: Children are safely maintained in their homes whenever possible and appropriate</b></p>	<p>In 95% of the applicable cases... There are strength ratings for both Item 2: Services to Family to Protect Child(ren) in the Home and Prevent Removal or Re-entry Into Foster Care AND Item 3: Risk Assessment and Safety Management <b>OR</b> Item 2 is not applicable and Item 3 is rated as a strength</p>	<p>NA</p>

Appendix A: Child and Family Services Reviews: Pathway to Substantial Conformity

Outcome	Items & Ratings	Statewide Data Indicator
<p><b>Permanency Outcome 1: Children have permanency and stability in their living situations.</b></p>	<p>In 95% of the applicable cases... There are strength ratings for Item 4: Stability of Foster Care Placement, Item 5: Permanency Goal for Child, and item 6: Achieving Reunification, Guardianship, Adoption, or Another Permanent Planned Living Arrangement</p> <p><b>OR</b></p> <p>There are strength ratings for items 4 and 6 and item 5 is not applicable</p>	<p>For Permanency in 12 Months for Children Entering Foster Care, the state is no different or above the national standard of 40.4%</p> <p><b>AND</b></p> <p>For Permanency in 12 Months for Children in Foster Care 12 to 23 Months, the state is no different or above the national standard of 43.7%</p> <p><b>AND</b></p> <p>For Permanency in 12 Months for Children in Foster Care 24 Months or More, the state is no different or above the national standard of 30.3%</p> <p><b>AND</b></p> <p>For Re-Entry to Foster Care in 12 Months, the state is no different or below the national standard of 8.3%</p> <p><b>AND</b></p> <p>For Placement Stability, the state is no different or below the national standard of 4.12 moves per 1,000 days in foster care</p>
<p><b>Permanency Outcome 2: The continuity of family relationships and connections is preserved for children.</b></p>	<p>In 95% of the applicable cases... There is a strength rating for <i>at least one</i> of the following items</p> <p><b>AND</b></p> <p>There is an area needing improvement in <i>no more than one</i> of the following items:</p>	<p>NA</p>

Outcome	Items & Ratings	Statewide Data Indicator
<p><b>Child and Family Well-Being Outcome 1:</b> Families have enhanced capacity to provide for their children’s needs.</p>	<p>Item 7: Placement With Siblings Item 8: Visiting With Parents and Siblings in Foster Care Item 9: Preserving Connections Item 10: Relative Placement Item 11: Relationship of Child in Care With Parents</p>	<p>NA</p>
<p><b>Child and Family Well-Being Outcome 2:</b> Children receive appropriate services to meet their educational needs.</p>	<p>In 95% of the applicable cases... There is a strength rating for Item 12: Needs and Services of Child, Parents, and Foster Parents <b>AND</b> There is an area needing improvement in <i>no more than one</i> of the following items: Item 13: Child and Family Involvement in Case Planning Item 14: Caseworker Visits With Child Item 15: Caseworker Visits With Parent(s)</p>	<p>NA</p>
<p><b>Child and Family Well-Being Outcome 3:</b> Children receive adequate services to meet their physical and mental health needs.</p>	<p>In 95% of the applicable cases... Item 16: Educational Needs of the Child is rated a strength <b>AND</b> Both Item 17: Physical Health of the Child <b>AND</b> Item 18: Mental/Behavioral Health of the Child are rated a strength</p>	<p>NA</p>



**Section 2: Systemic Factors**

<b>Systemic Factor and Items</b>	<b>Substantial Conformity Determination</b>
<p><b>Systemic Factor 1: Statewide Information System</b> Item 19: Statewide Information System</p>	<p>The information obtained from the statewide assessment and/or stakeholder interviews, if necessary, must indicate that <i>the one required item</i> is functioning as required.</p>
<p><b>Systemic Factor 2: Case Review System</b> Item 20: Written Case Plan Item 21: Periodic Reviews Item 22: Permanency Hearings Item 23: Termination of Parental Rights Item 24: Notice of Hearings and Reviews to Caregivers</p>	<p>The information obtained from the statewide assessment and/or stakeholder interviews, if necessary, must indicate that <i>no more than one of five items</i> for this systemic factor fails to function as required.</p>
<p><b>Systemic Factor 3: Quality Assurance System</b> Item 25: Quality Assurance System</p>	<p>The information obtained from the statewide assessment and/or stakeholder interviews, if necessary, must indicate that <i>the one required item</i> is functioning as required.</p>
<p><b>Systemic Factor 4: Staff and Provider Training</b> Item 26: Initial Staff Training Item 27: Ongoing Staff Training Item 28: Foster and Adoptive Parent Training</p>	<p>For the systemic factor to be in substantial conformity, the information obtained from the statewide assessment and/or stakeholder interviews, if necessary, must indicate that <i>no more than one of the three items</i> for this systemic factor fails to function as required.</p>
<p><b>Systemic Factor 5: Service Array and Resource Development</b> Item 29: Array of Services Item 30: Individualizing Services</p>	<p>For the systemic factor to be in substantial conformity, the information obtained from the statewide assessment and/or stakeholder interviews must indicate that <i>no more than one of the two items</i> for this systemic factor fails to function as required.</p>
<p><b>Systemic Factor 6: Agency Responsiveness to the Community</b> Item 31: State Engagement and Consultation With Stakeholders Pursuant to CFSP and APSR Item 32: Coordination of CFSP Services With Other Federal Programs</p>	<p>For the systemic factor to be in substantial conformity, the information obtained from the statewide assessment and/or stakeholder interviews, if necessary, must indicate that <i>no more than one of the two items</i> for this systemic factor fails to function as required.</p>
<p><b>Systemic Factor 7: Foster and Adoptive Parent Licensing, Recruitment, and Retention</b> Item 33: Standards Applied Equally Item 34: Requirements for Criminal Background Checks Item 35: Diligent Recruitment of Foster and Adoptive Homes Item 36: State Use of Cross-Jurisdictional Resources for Placement</p>	<p>For the systemic factor to be in substantial conformity, the information obtained from the statewide assessment and/or stakeholder interviews, if necessary, must indicate that <i>no more than one of the four items</i> for this systemic factor fails to function as required.</p>

## Child and Family Services Reviews Quick Reference Items List

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### 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?



DEPARTMENT OF HEALTH & HUMAN SERVICES

ADMINISTRATION FOR CHILDREN AND FAMILIES  
**Administration on Children, Youth and Families**  
1250 Maryland Avenue, S.W.  
Washington, D.C. 20024

Wayne E. Black, Director  
North Carolina Department of Health and Human Services  
North Carolina Division of Social Services  
820 S. Boylan Avenue  
2401 Mail Service Center  
Raleigh, North Carolina 27699-2401

Dear Mr. Black:

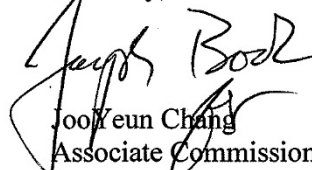
On July 31, 2014, the Children's Bureau received your letter of intent to use North Carolina's own case review process for the purposes of completing the federally-mandated Child and Family Services Review (CFSR) consistent with CFSR Technical Bulletin #7. We sent you notification in November that there were several outstanding criteria. In response, your State provided the needed updated information to the Children's Bureau which outlined your ability to meet the criteria for using your own State case review process.

The Children's Bureau has determined that North Carolina's case review process, as outlined in the documentation provided by the State, meets the criteria in the technical bulletin and the Children's Bureau will use the State's case review process and results for CFSR purposes. North Carolina's onsite review period is April 1, 2015 through September 30, 2015. The Children's Bureau Regional Office will be in contact with you to continue planning for the review activities.

The Children's Bureau encourages the State to continue meeting the requirements for a fully functioning case review process. Following the CFSR, should the State be required to complete a program improvement plan, you may need to continue to conduct case reviews to measure and report improvements during your program improvement plan. The Children's Bureau remains committed to assisting the State in continuing your case review process.

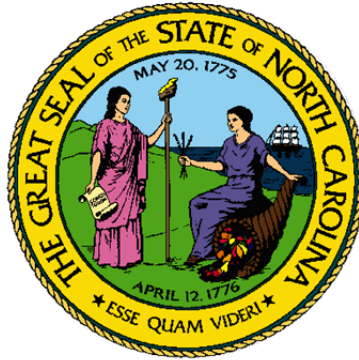
If you have any questions regarding this letter, please contact Shalonda Cawthon, Child Welfare Regional Program Manager in Region IV, at (404) 562-2242 or by e-mail [shalonda.cawthon@acf.hhs.gov](mailto:shalonda.cawthon@acf.hhs.gov). You also may contact Kunle Baoku, Children and Families Program Specialist, at (404) 562-2949 or by e-mail [kunle.baoku@acf.hhs.gov](mailto:kunle.baoku@acf.hhs.gov).

Sincerely,



JooYeun Chang  
Associate Commissioner  
Children's Bureau

cc: Shalonda Cawthon, Regional Program Manager; CB, Region IV, Atlanta, GA  
Miranda Lynch Thomas, CFSR Team Lead; CB, Washington, DC  
Misty Carlyle, Child and Family Program Specialist; CB, CFSR Team; Washington, DC  
Kunle Baoku, Child and Family Program Specialist; CB, Region IV; Atlanta, GA  
Myrrl McBride, Program Specialist, ICF, CFSR Team: Washington, DC



North Carolina Dept. of Health & Human Services

Division of Social Services

Child Welfare Services Section

Child and Family Services Review

Quality Case Review Protocol

2015

Contents

Foreword	3
Overview of Quality Case Review Process	4
Readiness Review with County	5
Review Elements	6
Reviewers and Training	6
Record Selection	11
Record Review	14
Interviews	15
Quality Assurance	18
Eastern Band of Cherokee Indians	22
Appendix	
Sampling Distribution	25

**Foreword**

To evaluate the effectiveness of North Carolina's Child Welfare System, the North Carolina Division of Social Services (NCDSS) has implemented the use of the Children's Bureau's (CB), Child and Family Services Review On-Site Review Instrument (OSRI) and is applying it to In-Home Services cases and to Foster Care cases. Upon completion of a case review the results are aggregated for use in the development of a Program Improvement Plan (PIP) and to apply lessons learned to local practice.

NCDSS is committed to viewing its Child Welfare System through a Continuous Quality Improvement (CQI) framework also referred to as Reaching for Excellence and Accountability in Practice (REAP). The use of this framework has positioned our child welfare system to be data driven and outcome focused.

The mission of REAP is that NC DSS and county DSSs and their community partners will create an achievement-focused child welfare culture which includes:

- Adopting a continuous quality improvement (CQI) approach to child welfare that is data-driven and results oriented.
- Engaging community partners to assess needs and build on strengths of each community.
- Using evidence-based best practices, technical assistance (TA), and training to continuously improve achievements.



## Overview of Quality Case Review Process

North Carolina has been approved to conduct a state-directed case review to fulfill the Quality Case Review (QCR) component of the Children's Bureau's (CB) 2015 Child and Family Services Review.

The local departments of Social Services participating in the review have adopted and are implementing the core components of a functioning Continuous Quality Improvement (CQI) system that addresses:

- Administrative structure to support outcome focused work
- The collection of quality data
- QCR process that uses the Onsite Review Instrument (OSRI) and case related interviews
- The analysis and dissemination of quality data that informs the development of solutions
- The implementation of lessons learned with oversight and monitoring that reinforces internal and external engagement at the state and local level.

The counties that will be participating in the state directed case review process are representative of the general population in NC. Cross sections of large metropolitan through small rural counties are as follows:

- Buncombe County
- Cumberland County
- Mecklenburg County
- Wake County
- Craven County
- Durham County
- Pitt County
- Hoke County
- Scotland County
- Wilson County

Children belonging to the Eastern Band of the Cherokee Indians (EBCI) will be sampled from the following counties. The QCR of these cases will be conducted using a traditional approach to the review of child welfare case records.

- Haywood
- Jackson
- Swain

**Readiness Review with County**

NCDSS has operationalized a phased approach to county readiness to conduct independent Quality Case Record Reviews (QCR).

Readiness Activity	Phase I Training & TA	Phase II Joint Reviews	Phase III Independent QCR
<ul style="list-style-type: none"> <li>County assessment of existing QA practices, resources &amp; capacity;</li> <li>Identification of NCDSS staff as QCR reviewers and QA;</li> <li>Confirm county commitment to participate</li> <li>Establish CARA accounts for NCDSS and county staff</li> </ul>	<p>NCDSS QA staff train county staff on revised OSRI;</p> <ul style="list-style-type: none"> <li>using county records (one in-home &amp; foster care) for hands on training and model joint reviews in training</li> <li>Train county staff on QA functions</li> <li>Develop a feedback loop and staffing process for NCDSS/county staff regarding inter- related reliability</li> <li>Train county staff on CARA</li> </ul>	<p>County and NCDSS will concurrently apply the OSRI on randomly selected cases.</p> <ul style="list-style-type: none"> <li>Case related interviews are conducted jointly with county and NCDSS reviewers and the OSRI updated as needed.</li> <li>Completed OSRI's are staffed with NCDSS and county reviewers</li> <li>Outcome and Systemic Factor final ratings are staffed with county reviewers.</li> <li>Phase II will remain until the agency has demonstrated their ability to complete the OSRI with fidelity</li> <li>All completed OSRIs are submitted to NCDSS QA for QA.</li> <li>Outcome findings will be monitored by both the county and NCDSS</li> </ul>	<p>Counties who have mastered the independent QCR process will operationalize their protocol and submit it to NCDSS for approval. TA &amp; support will be provided to ensure that the county maintains their Phase III</p> <ul style="list-style-type: none"> <li>Phase III counties will submit all OSRI's to NCDSS for QA</li> <li>NCDSS QA of OSRI's will involve the random selection of cases by NCDSS and be based on the county approved protocol and will include the complete case record and OSRI</li> <li>Every 6 months a Phase III county will randomly have a FC case and an IHS case record reviewed in its entirety by NCDSS QA staff</li> <li>Outcome findings will be monitored by both the county and NCDSS</li> </ul>

Phase III counties have established quality assurance processes and systems that inform a self-evaluation of performance, and leads to the establishment of practice changes that are reflective of the needs of the children and families in those counties. In these counties, NCDSS has assessed and confirmed that the county's application of the OSRI is done with fidelity. Therefore, NCDSS will accept county completed OSRI's for Quality Assurance (QA) and submission to the CB.

Phase II counties will receive training from NCDSS. For these counties, reviewers (county and NCDSS) trained by NCDSS to use the OSRI will apply, complete, and receive QA feedback from NCDSS on each OSRI. NCDSS would then submit the QA'd OSRI to the CB. As part of the training QA on the completed OSRI will be conducted and may require onsite participation by NCDSS staff.

County QCR Phase assessment and assignment will begin November 2014 thru March 2015. All counties will develop a QCR/QA County Plan that will be continuously re-assessed.

The CFSR R3 QCR will be a collaborative process between NCDSS and the selected ten county departments of social services. Native American children receiving services will be included in a tri-county sample. NCDSS will evaluate the counties' internal QCR processes that are currently in place or that are in the process of being implemented. This assessment process involves the completion of the CB online training of the OSRI mock cases and the application of the OSRI to a minimum of one NC foster care case. Counties will be encouraged to complete additional case reviews and application of the OSRI to demonstrate fidelity. This will inform the Phase assignment for the county (see chart above).

Moving beyond the CFSR R3 2015, NC will continue to work with counties on the development of a QCR/QA County Plan that operationalizes the county QCR process.

## Review Elements

### A. Reviewers

#### 1. Reviewer selection

NCDSS has selected five reviewers based on their experience with conducting case reviews and participation in NCDSS specific training provided. NCDSS has two qualified QA consultants who have several years' experience in conducting reviews and providing training to those who would participate. In the event that the primary NCDSS reviewer is unable to participate in the case review one of the other NCDSS reviewers will assist. In addition, all ten counties have identified a QCR Coordinator to function as a liaison during the QCR.

With the exception of Durham County, the counties participating in the QCR have been participating in the State's Continuous Quality Improvement (CQI) initiative, Reaching for Excellence and Accountability in Practice (REAP). These counties have invested staff in the development of an ongoing effort to look at practice through the use of data. These county individuals have participated in trainings offered by NCDSS in partnership with UNC – Chapel Hill. NCDSS believes that as a result, individuals identified as county reviewers are experienced and will provide the level of competency required to conduct case reviews with fidelity for the federal OSRI.

#### 2. Training of Reviewers

Training and technical assistance will be provided to all NCDSS and county staff selected to participate in the 2015 QCR. Ongoing training regarding the connection of data to outcomes is provided through contract with UNC-CH School of Social Work. Individuals selected to participate in the QCR will have had the opportunity to attend the ongoing training provided by UNC-CH titled *"Becoming Achievement Focused: Readiness and Implementation"*.

Prior to working with counties to conduct the review, NCDSS Reviewers will need to complete training on the new OSRI provided by ACF|CB. The training can be accessed at <https://training.cfsrportal.org/> and additional tools and resources related to Round 3 are available at <https://training.cfsrportal.org/resources/3044>.

County reviewers will also complete training that includes the completion of the four training modules from ACYF|CB and NC specific cases. All reviewers will have completed the four training modules provided by ACYF|CB prior to the review period. The four training modules are as follows:

- Module 1: The OSRI
- Module 2: Foster Care Mock Case
- Module 3: In-Home Services Mock Case
- Module 4: Online Monitoring System (OMS)

Training has been provided on the use of CARA by the NC Office of Information Technology Services (NCOITS). Training on the use of CARA is on-line (<https://edm.nc.gov/cara3/#DHHS>); however, NCOITS has 24 hour support.

NCDSS QA will maintain a roster of all trained county and NCDSS reviewers and only trained reviewers will be allowed to complete OSRIs for the CFSR R3.

Completion Date	Training Item
<b>November 30, 2014</b>	<ol style="list-style-type: none"> <li>1. Counties will identify reviewers and ensure that enough reviewers are trained based on the number of cases that will be reviewed in their county.</li> <li>2. Counties will meet with their assigned NCDSS Reviewer and NCDSS QA Lead. Individual schedules for training and conferences will be developed.</li> <li>3. Counties will appraise their staff and leadership of the QCR Plans and requirements of QCR Round 3, including ongoing development of their internal Quality Case Review/Quality Assurance County Plan (QCR/QA County Plan). This plan shall be compatible with the NCDSS Quality Case Review that will be continuous and past the 2015 Quality Case Review (QCR).</li> <li>4. All NCDSS and County Reviewers will visit the Children’s Bureau website: <a href="http://www.https://training.cfsrportal.org">www.https://training.cfsrportal.org</a> to complete all training provided by the CB as well as review of other documents, forms and guides related to the Round 3 QCR.</li> <li>5. Counties will need to select their practice case from their own foster care caseload. The counties that participated in the NCDSS 2014 QCR pilot will choose a case from that review and review it again using the new OSRI.</li> <li>6. Counties will upload their case record for the training review to CARA according to CARA Drawer Organization provided by NCDSS. This is so that assigned NCDSS Reviewers and NCDSS QA can have access to the same review material.</li> </ol>
<b>December 31, 2014</b>	<ol style="list-style-type: none"> <li>1. NEW COUNTIES: Counties that did not participate in the QCR Pilot will receive training on the OSRI itself, understanding the items and how to interpret the questions. NCDSS QA staff will provide this training. These counties will select a case to review applying the new OSRI.</li> <li>2. QCR PILOT COUNTIES: Counties will be able to participate in a refresher course offered as a conference call, to review the new OSRI and to staff the application of one of the cases from the pilot.</li> </ol>

<b>January 2015</b>	<ol style="list-style-type: none"> <li>1. During January, 2015 ongoing training using the practice case as well as additional cases (if necessary) will occur. NCDSS Reviewers and QA staff will be assessing the progress of each county to determine their readiness level (Phase II or III).</li> <li>2. All reviewers will need to complete the CB's Module 4 training on the OMS.</li> </ol>
<b>February 2015</b>	<ol style="list-style-type: none"> <li>1. Counties that remain at Phase II will continue to review cases in conjunction with NCDSS Reviewers. QA will be provided by NCDSS QA staff throughout this continuous review process and NCDSS will continue to assess the readiness of each county (Phase II or III).</li> <li>2. Counties that are identified as Phase III may continue to review cases for practice and seek QA guidance from the NCDSS as needed.</li> <li>3. All reviewers (county and state) as well as NCDSS QA staff will practice utilizing the OMS and participate in any additional trainings provided by the CB.</li> <li>4. Counties will complete development of their County QCR/QA County Plan for approval by NCDSS.</li> </ol>
<b>February – March 2015</b>	<ol style="list-style-type: none"> <li>1. Readiness assessment will continue for Phase II Counties.</li> <li>2. Reviewers will receive additional training and practice on OMS.</li> </ol>

3. Reviewer responsibilities and collaboration with State Reviewers

- 1) NCDSS Reviewer responsibilities shall include the following (Phase II):
  - Review of case and completion of interviews with the county
  - Complete OSRI and enter into OMS within designated timeframe
  - Completion of supplemental review forms provided by NCDSS
  - Consult with NCDSS QA staff as needed throughout the entire QCR process
  - Work with counties to revise the OSRI submission based on feedback provided by NCDSS QA staff.

- 2) County Reviewer Responsibilities, QCR Process:
  - Review of case and completion of case related interviews
  - NCDSS and County Reviewers will submit completed OSRIs through the OMS
  - Completion of supplemental review forms provided by NCDSS
  - Consult with NCDSS QA staff as needed throughout the entire review process
  - Revise OSRIs based on feedback provided by NCDSS QA

4. Resolution of conflicts of interest

During the review period it is conceivable that a case selected involves more than the one county or a conflict of interest between the case and reviewer is uncovered. When that occurs, NCDSS QA staff will assist the county in obtaining additional case related documents or alternate process.

A conflict of interest includes circumstances in which the reviewer was directly involved in either casework or supervisory oversight of the case, the

reviewer is related to or knows the family, the reviewer has been a foster parent for any child in the family, or any other circumstance in which the agency perceives or the reviewer reports a conflict of interest. In circumstances in which there is a conflict of interest, the case will be assigned to another reviewer in accordance with the county's QCR/QA county protocol and with the approval of NCDSS QA.

Each county QCR/QA County Plan will address:

- A case will not be assigned to a reviewer or review team in which a conflict of interest exists.
- In the event that circumstances exist in which the County QA Coordinator has a conflict of interest with a selected case, the second level QA will be carried out by a designated QA staff person or other trained reviewer.

#### 5. Assignment of reviewers

All counties identified as Phase II have been assigned a State Reviewer. Counties that have a larger number of cases to review have two State Reviewers assigned, one of whom is identified as the Lead State Reviewer for that county.

As Phase II counties are moved to Phase III status, the State Reviewer(s) assigned to them will potentially be reassigned to assist with other Phase II counties.

## 6. County QCR Coordinators

Each county will identify a county QCR Coordinator to serve as the liaison between the state and county. As the point of contact for NCDSS, the coordinator has responsibilities as outlined below prior to and during the QCR.

### Review Preparation

- Ensure that workflow adheres to the schedule provided by NCDSS and that all deadlines are met
- Assign county review staff; being attentive to possible conflict of interest and minimize conflict of interest by reassignment of county review staff
- Review case sample list and determine any need for case elimination
- Locate key case participants and obtain contact information to schedule interviews
- Assure that county review staff have the necessary training and resources to conduct case reviews, complete OSRI and enter into OMS
- Serve as primary contact for NCDSS Reviewers and QA staff; coordinate QA sessions prior to the case review and throughout the review process as needed

### During QCR

- Resolve any conflicts or issues with conducting interviews
- Ensure that deadlines are met according to the review schedule
- Ensure that documents are uploaded to CARA in a timely manner
- Serve as point of contact for the Division as needed for missing documents
- Develop (or ensure development of) ongoing QCR plan including initial QA functions at the county level prior to submission of completed OSRI via OMS to State QA staff. Assure that a first level QA is conducted as described in both county and state QCR Protocol.
- Ensure that QA is conducted in a manner that encourages discussion with NCDSS QA staff.
- Participate in QCR meetings
- Disseminate State QA feedback and coordinate the tracking of county outcomes
- Keep county leadership apprised of the QCR plans and outcomes

## 7. Sustainment plan

NCDSS reviewers and QA staff will be under the supervision of the QCR Team Administrator. The Administrator will participate in state and county QCR meetings to provide oversight of the QCR/QA process and to address fidelity issues. As NCDSS expands its capacity through additional staff, the Administrator will ensure that training is attended and skill development demonstrated prior to assuming QA responsibilities.

The five NCDSS reviewers are trained in QA responsibilities and will be deployed to assist in coverage of State QA functions. QCR duties are a priority and other responsibilities of NCDSS reviewers will be reassigned as needed.

### **B. Record selection**

#### 1. Record selection

During the 2015 CFSR QCR, 120 records will be reviewed between April and September. NCDSS proposes a simple random fixed sample from the ten counties selected to participate in the review that represent the population of NC. Each county will receive a case list and oversample, 45 days prior to the date the completed OSRI must be entered into the OMS. NCDSS has engaged the Performance Management Section of NCDSS and who has provided the proposed sampling process/distribution for CFSR R3.

#### 2. Case sample selection

The case sample distribution will meet and exceed the ratio provided by the ACYF/CB to review a minimum of 40 foster care and 25 in-home cases. NC's sample distribution is much larger than the recommended minimum; however, it still reflects the ACYF/CB's recommended ratio of cases. This stratification is being done so that each participating county will provide records for review based on the numbers of cases open for their county. Therefore, the large metropolitan counties (Mecklenburg, Cumberland and Wake) who have more open cases to provide will review more cases, while allowing the smaller counties to also provide records for review proportionally. This ensures a representative sample of child welfare services from across the state. See Appendix for sampling distribution.



The following table outlines the county assignments:

County	Phase	FC Cases	IH Cases	Total	State Reviewer	State QA	CPR
Craven	2	2	2	4	Dora Carter	Alison Mann	Susan Sanderson
Cumberland	2	15	5	20	Arlette Lambert* Gale Trevathan	Cyndi O'Briant* Alison Mann	Adgenda Turner
Durham	2	4	4	8	Janet Thursby	Cyndi O'Briant	Adgenda Turner
Hoke	2	1	1	2	Dora Carter	Cyndi O'Briant	Susan Sanderson
Mecklenburg	3	15	12	27	N/A	Cyndi O'Briant* Alison Mann	Adgenda Turner
Pitt	2	3	2	5	Dora Carter	Cyndi O'Briant	Janet Thursby
Scotland	3	1	1	2	N/A	Alison Mann	Susan Sanderson
Wake	2	15	14	29	Roslyn Thompson* Janet Thursby	Alison Mann* Cyndi O'Briant	Adgenda Turner
Wilson	2	1	1	2	Gale Trevathan	Alison Mann	Janet Thursby
EBCI (Swain, Jackson, Haywood)	1	4	3	7	Roslyn Thompson Arlette Lambert	Cyndi O'Briant	Swain--Roslyn Thompson Haywood and Jackson--Joy Gossett

\*Indicates lead staff

### 3. Case sample elimination criteria

Once a case is selected for review, NCDSS will consult with the county to determine if any case elimination factors are present. Any In-Home Services (IHS) case that is closed but has not yet been closed through the Services Information System (SIS) by completion of the Client Entry Form, DSS-5027, will not be eliminated.

Criteria for elimination:

#### In-Home Services (IHS) or service code 215

- IHS case open less than 45 consecutive days during the period under review.
- IHS case in which any child in the family was in foster care for more than 24 hours during the period under review.
- IHS case in which a sibling of a child is already included in the review sample
- A case in which the identified child was placed in foster care for less than 30 days and this child is already included in another sample

#### Foster Care Services

- A foster care case open less than 24 hours during the period under review.
- A foster care case in which a child was on a trial home visit (placement at home) during the entire period under review.
- A foster care case that was closed according to agency policy before the sample period
- A foster care case in which the child's adoption or guardianship was finalized before the period under review and the child is no longer under the care of the State

Any case

- Where the target child reached the age of 18 before the period under review
- A case in which the selected child is or was in the care and responsibility of another State and the State being reviewed is providing supervision through an Interstate Compact for the Placement of Children (ICPC) agreement
- A case appearing multiple times in the sample, such as a case that involves siblings in foster care in separate cases or an IHS case that was opened more than one time during a sampling period
- A case in which the child was placed for the entire period under review in a locked juvenile facility or other placement that does not meet the Federal definition of foster care
- A case in which none of the key participants are available to be interviewed.
- A case in which a single worker is over-represented in the review sample as addressed in the QCR/QA County Plan and oversight will be provided by NCDSS QA staff.
- A case in which all trained QCR county reviewers have been determined to have a conflict of interest.

The effectiveness of the sampling methodology will be monitored prior to the commencement of a review, and discussion regarding the elimination process will take place. When a case is being eliminated from the QCR, the Reviewers (County and NCDSS), and the County QA Coordinator will discuss the criteria appearing to eliminate the case. NCDSS QA Team will determine if a case meets elimination criteria and replace the case using the over sample within one week of the release of the sample.

### C. Record Review

1. Process for NCDSS reviewers accessing records

Through the NC Office of Information Technology Services, NCDSS will use an Electronic Document Management (EDM) application Computer Aided Resonance Assignment (CARA) Explorer. NCDSS QA staff and each county will be assigned an EDM/CARA user account. CARA provides NCDSS the ability to receive, store and share electronic documents (case records) and complies with all privacy, security and confidentiality requirements.

CARA will be used by counties to upload cases and supplemental review forms for review to NCDSS. NCDSS will have a folder that has edits to allow all to access only certain parts of the NCDSS folder. Each county will also have a folder that has edits that only allows that county user and NCDSS access. However, the use of CARA does not exclude NCDSS QCR / QA staff from reviewing a case record on-site.

Folders in CARA will contain information related to NCDSS and each county case for the QCR. Folders will be organized as follows:

Drawer	Content
Division	<ul style="list-style-type: none"> <li>• County Assignments/Division Contacts</li> <li>• NC CFRS Protocol</li> <li>• OSRI</li> <li>• Supplemental Review Forms</li> </ul>
QCR	<ul style="list-style-type: none"> <li>• Completed OSRIs</li> <li>• Interview Notes</li> <li>• Completed Supplemental Review Forms                             <ul style="list-style-type: none"> <li>○ SW Contacts</li> <li>○ Court-Permanency Goal Tracking</li> <li>○ Needs and Services</li> <li>○ Risk and Safety</li> <li>○ CFTs and Case Planning</li> <li>○ QA Feedback</li> </ul> </li> </ul>
Documentation 7 Sub-folders	<ul style="list-style-type: none"> <li>• Documentation</li> <li>• Monthly Foster Care Contacts</li> <li><b>Investigations</b> <ul style="list-style-type: none"> <li>• Structured Intakes</li> <li>• Case Decision Summary</li> </ul> </li> <li><b>Court</b> <ul style="list-style-type: none"> <li>• Court Summaries</li> <li>• Court orders</li> </ul> </li> <li><b>Health/Mental Health</b> <ul style="list-style-type: none"> <li>• Health Status Component</li> <li>• Mental Health Assessments</li> </ul> </li> <li><b>Education</b> <ul style="list-style-type: none"> <li>• Education Status Component</li> <li>• IEP, significant educational documents</li> </ul> </li> <li><b>Case Plans/Visitations</b> <ul style="list-style-type: none"> <li>• Case plans</li> <li>• Visitation agreements</li> <li>• Visitation contracts (if visits are supervised by an outside agency)</li> </ul> </li> <li><b>Risk/Safety</b> <ul style="list-style-type: none"> <li>• Risk assessments</li> <li>• Safety assessments</li> <li>• Safety plans</li> </ul> </li> <li><b>CFTs/Case Planning Meetings</b> <ul style="list-style-type: none"> <li>• CFT Documentation Instrument</li> </ul> </li> </ul>

2. Addressing safety concerns identified during the QCR

Should any safety concerns be identified during their QCR, the NCDSS Reviewer will immediately notify the NCDSS QA who in turn will seek guidance and consultation. Together, they will notify the County QA Coordinator of the safety issue. Any safety issue identified will need to be documented as well as the measures taken to address the safety issue in the QA notes.

#### **D. Interviews**

1. Process for conducting and incorporating interviews

The purpose of the case-related interviews is to confirm case record documentation, collect information missing from the record, clarify any conflicting information, and obtain the perspective of children and families with regard to the support and services they are receiving from the agency. In addition to the scheduled interviews, the reviewer(s) may add additional interviews as needed. Interviews may be completed either in person (home and/or office visits) or by telephone.

NCDSS supports the vital role that interviews play in the QCR as they often provide or clarify information regarding services and their quality delivered to children and their families. NCDSS has established criteria that the case record should be reviewed prior to conducting case-related interviews and interviews must be conducted by the reviewers who are responsible for the case record review and completion of the OSRI. Phase II counties will conduct joint interviews with NCDSS reviewers.

Reviewers should refer to the Case-Related Interview Guides and Instructions provided by the CB prior to and while conducting case-related interviews. The guide can be accessed at [https://training.cfsrportal.org/resources/3105#Onsite Review Instrument and Instructions](https://training.cfsrportal.org/resources/3105#Onsite%20Review%20Instrument%20and%20Instructions). The guide assists reviewers with understanding how they should introduce themselves, explain the QCR and interview process, and ensure participants of confidentiality as well as the neutrality of the reviewers. In addition, the guide provides information and suggestions on

what questions to ask case participants in regards to each item on the OSRI and how to ask questions in a way that the participants will understand.

## 2. Selection of key case participants for interviews

Reviewers (County and State if Phase II) will be responsible for identifying key case participants to interview as part of the case review. This decision will be made in conjunction with State QA staff as part of the initial QA discussion that will occur prior to the case review.

The following individuals related to a case will be interviewed unless they are unavailable or are completely unwilling to participate:

- The child (school age)
- The child's parent(s)
- The child's foster parent(s), pre-adoptive parent(s), or other caregiver(s), such as relative caregiver or group home houseparent, if the child is in foster care
- The family's caseworker or the caseworker's supervisor if the worker is no longer with the agency

Diligent efforts will be made to interview other key informants, which will include but not be limited to:

- GAL
- Therapists/mental health providers
- Service providers
- School personnel

## 3. Diligent efforts to locate and arrange interviews

As part of the case elimination process, State QA staff and County QCR Coordinators will have already determined availability of key case participants for interviews prior to the case review. Therefore, those people selected for interviews should be available to meet either in person or by phone at the time the record is reviewed. In scheduling interviews during the case review, diligent efforts must be made to arrange interviews. Those efforts should include but not be limited to the following as applicable and appropriate:

- Phone calls to all known numbers and family members
- Contact interviewees by mail and email
- Home visits

Acceptable exceptions to conducting interviews are as follows:

- Only school-age children are interviewed, unless other arrangements are made. County Reviewers should consider observing preschool-age children in the home while interviewing the birth or foster parent (s)
- The parents cannot be located or are outside of the U.S.
- There is a safety risk concern in contacting any party for interview
- Any party is unable to consent to an interview due to physical or mental health incapacity
- Any party refuses to participate in an interview and the agency can document attempts to engage them
- Any party is advised by an attorney not to participate due to a pending criminal or civil matter

Unacceptable exceptions are as follows:

- An age cut-off that does not take into account a child's developmental capacity
- A party refuses to participate in an interview and the agency did not attempt to engage them beyond a letter or telephone call
- A party has a pending criminal, civil, or procedural matter before the agency
- The agency has not made attempts to locate a party for an interview
- Any party that speaks a language other than English

4. Conducting interviews with non-English speaking case participants

The NCDSS Civil Rights, Title VI Plan is managed at NC DSS under the Program Compliance Section (this plan is available upon request). Counties are also required to have a Civil Rights Title VI Plan and include it in their county QCR Plan.

Linguistic services provided to NC DSS and counties are through contract with Cross Cultural Resources, <http://www.ccrlanguages.com/> and Fluent Languages services, <http://www.fluentls.com/>. These services are provided free of charge.

1. Specific services offered are:

- Bilingual staff (English-Spanish) in the NCDSS and county compliance office.
- Printed materials are available in Spanish and other languages are available at county offices or on NCDSSs website.
- NC DSS has a contract with an interpreter service through the phone with Telelanguage Inc. to provide services to clients who speak languages other than English and Spanish.
- NC DHHS maintains a hotline with bilingual staff to serve Spanish clients. They also have access to Telelanguage Inc.

to provide services to clients who speak languages other than English and Spanish.

- NC DSS website has a section with information in Spanish. Forms are available in English, Spanish, Arabic, French, German, Korean, and Vietnamese.
- Counties will also utilize their own interpreter services and have access to Telelanguage Inc. to provide services to clients who speak languages other than English and Spanish.

#### **E. Quality Assurance**

Quality assurance will be provided by a multi-level approach. County staff will be responsible for providing the first level of QA according to the county's QCR plan prior to submission of the OSRI to State QA staff. This first level QA will ensure that someone other than the County Reviewer (s) has reviewed the OSRI to assess for continuity and consistency in item ratings, thorough completion of the OSRI, and that there is sufficient documentation to justify all item ratings.

The second level of QA will be provided by State QA staff. In order to maintain continuity and consistency among NCDSS and County Reviewers in rating items on the OSRI, NCDSS QA staff will arrange and coordinate telephone and/or web based meetings. Invitations to these meetings may also be extended to staff at the Children's Bureau. NCDSS QA staff will review and follow the QA plan as described in the OSRI Quality Assurance Guide provided by ACF.

#### **NCDSS QA Responsibilities and Process**

- Distribute case sample information to the counties 45 days prior to the month of review and collaborate with the counties to determine any need for case elimination
- Coordinate QCR staffing with all NCDSS and County Reviewers
- Ensure that all necessary training is completed by NCDSS and County Reviewers and maintain a roster of trained reviewers
- Provide technical assistance as needed throughout the QCR process to state and county staff
- Provide oversight and monitoring to assigned NCDSS Reviewers to assess each county's ability to review independently and determine whether they are a Phase II or Phase III county.
- Work with counties to develop ongoing internal QCR/QA County plans
- NCDSS QA staff will review and follow the QA plan as described in the ACF OSRI Quality Assurance Guide. QA will be conducted in a manner that encourages discussion with NCDSS reviewers prior to completion of the OSRI.
- NCDSS QA staff will ensure that outcome data are accurate and consistent, and that adequate documentation is included to support ratings for each item on every OSRI completed during the QCR.

- NCDSS QA staff will provide feedback to NCDSS Reviewers within 2 weeks of the submission of the OSRI to NCDSS QA and will ensure that all necessary changes are made to OSRIs.
- NCDSS QA staff, through CARA will have access to the entire case record (Phase II) as well as supplemental forms and interview documents (for all cases).
- NCDSS QA staff will submit all final OSRI to CB using the OMS no later than Nov. 15, 2015.
- NCDSS QA staff will consult with other NCDSS staff as needed to confirm final rating decisions.

1. Seeking and receiving technical assistance

State QA staff will maintain regular contact with CB staff prior to and during the review to seek and receive technical assistance. NCDSS participates in weekly meetings with CB and QA staff will be included in those and/or additional contacts as technical assistance needs are identified. Technical assistance will also be sought during onsite visits by CB staff as well as through ongoing technical assistance bulletins, trainings, and other forms of communication through the CB website.

NCDSS QA staff have developed a Question and Answer (Q & A) document that addresses all the questions about the OSRI and QCR process. The questions are listed by OSRI Item number and the guide indicates whether or not the answer was provided by NCDSS, the CB, or both. This Q & A document is a working document that will continue to be updated by NCDSS QA staff and the most current version of the document will be maintained both in CARA in the Division drawer and on NCDSS' shared drive. County and NCDSS staff are encouraged to continue submitting questions for this document throughout the QCR.



## 2. Sharing outcomes from the QCR and ongoing CQI efforts

NCDSS has implemented a process to track issues that arise during the on-site review portion of the CFSR. It is understood that the CB will have in place an on-line system for the OSRIs to be entered for aggregation of outcome data. Therefore, NCDSS proposes that the tracking of issues as they arise will take place with NCDSS.

An Access data base has been created that is organized around child and family outcomes and systemic factors along with other factors that NCDSS believes should be monitored. Each of these factors is assigned to a NCDSS staff. When an issue arises regarding a particular factor; the description is entered and the assigned staff is notified and the issue is assigned. This database allows for documents to be attached and allows for related factors to be tagged. The database allows the assigned staff to send a request to other staff to provide an update on a factor that may impact the issue that has arisen. This request, when updated, automatically updates all of the factors that are identified as connected. NCDSS will continue to pilot this database and will have in place prior to the beginning of the case review period a structured process for the flow of information.

Through these QCRs, issues that are uncovered that require a need for program enhancement/development in one or more counties, NCDSS will document this in the North Carolina Child Welfare Technical Assistance Gateway (TA Gateway).

To address these needs, TA will fall into one of the following NCDSS initiated categories: Statewide CQI; Corrective TA or Remedial TA.

TA Category	Purpose	Examples of forms this type of TA can take	Timeframe	NCDSS Team Responsible
<b>Statewide Continuous Improvement</b>	Address systemic issues such as: <ul style="list-style-type: none"> <li>• Outcome measures not being met by a broad sector of NC</li> <li>• Program enhancement needed to achieve future outcomes</li> </ul>	<ul style="list-style-type: none"> <li>• TA Teams working with counties</li> <li>• Webinars focused on specific areas of practice</li> <li>• Regional or cluster meetings</li> <li>• Peer to peer networks</li> <li>• Manual updates</li> <li>• Knowledgebase</li> <li>• Letters and listservs</li> <li>• Transfer of learning boosters</li> </ul>	No specific timeframe (TA provided as need arises)	Policy Team
<b>Corrective</b>	Address serious performance issues identified through self-assessments and other means	Onsite delivery of TA; plan to address issues to be negotiated with county; forms of assistance to be determined on a case-by-case basis	Contact county within 3 working days regarding the concern. Length of TA provision to be negotiated; up to 90 days, depending on intensity of the issue	Local Support Team
<b>Remedial</b>	To address the following: <ul style="list-style-type: none"> <li>• Serious and urgent concerns for the welfare of children and families</li> <li>• Consistent inability to improve performance despite PIPs and other corrective action plans</li> </ul>	Onsite delivery of TA; plan to address issues to be negotiated with county forms of assistance to be determined on a case-by-case basis	Contact county within 24 hours regarding the concern. Length of TA provision to be negotiated, with plan progress evaluated every 60 days	Local Support Team

The TA Gateway provides NCDSS with a mechanism to track trends and analyze responses that are provided to counties. A function of the TA Gateway allows NCDSS staff to generate a variety of monitoring reports (<https://nccwta.org/>).

The formation of the Child Welfare Outcomes Council (Council) has provided NCDSS with an internal process to monthly review information from multiple sources, to formulate responses and recommend actions as a feedback loop.

## F. Eastern Band Cherokee Indians

The Eastern Band of the Cherokee Indians (EBCI) resides on the Qualla Boundary of which three counties are in North Carolina. Although the Tribe is working to establish itself as an independent IV-E agency to provide a continuum of child welfare services to its population, North Carolina maintains oversight and monitoring responsibility for tribal children placed into foster care or who are receiving services in their own homes.

Therefore, as a result of the CFSR R3, NC is required to conduct a QCR that covers the tribal population.

- Site Selection: Haywood, Jackson, Swain Counties

These counties have provided data to demonstrate that their *combined* tribal population receiving IHS/215 services or Foster Care Services is of sufficient size to support a traditional QCR as each county borders the Qualla Boundary.

In conjunction with staff from these counties and from the Tribe, NCDSS will conduct a traditional QCR on-site in order to facilitate county and tribe participation.

- Reviewer Selection:

In order to conduct a traditional-QCR focused CFSR, NCDSS has selected a team of experienced QCR/QA staff that includes two of the current NCDSS staff who serve as both reviewers and QA staff. All of NCDSS staff will have completed the ACYF/CB training on the OSRI and the NCDSS specific training.

For the traditional review with EBCI, the NCDSS Reviewer will partner with a County staff and a member of the Tribal staff to train on the use of the OSRI, and to observe how NCDSS conducts a QCR process.

Review Process:

- A. The QCR will occur the week of April 13-17, 2015.
- B. The Period under Review (PUR) will be April 1, 2014 up to the day of the review during the review week.
- C. Case samples will be provided to the counties 45 days prior to the date of the QCR. The Director of Child Welfare Services will be notified of the QCR with instructions on the organizational structure of the records for review. The following information will be in the notice to the Director:

1. A notification letter to the county director(s) to confirm the week scheduled for the review.
2. The contact information of the State Reviewer and State QA staff.
3. The listing of cases that are scheduled for review, including an oversample that may be used in the event the chosen samples do not meet the criteria for review. Instructions will be provided to verify that all cases scheduled for review meet eligibility criteria and if there is any need for replacing it with a case from the oversample. NCDSS QA staff will make the final decision regarding replacing any review case sample.
4. A county QCR Coordinator will be designated. The county QCR Coordinator will coordinate with NCDSS all aspects of the QCR.
  - The QCR Coordinator is the point of contact for NCDSS and the individual who will work with NCDSS over any case selection verification activities that need to take place.
  - This staff member will also coordinate with the NCDSS QA staff regarding any of their responsibilities or questions about the review process.
  - They are the point of contact for the NCDSS
  - The County QCR Coordinator(s) is also expected to schedule the interviews for each case being reviewed so that the review can be completed.
  - Will reserve space for the review to be conducted (preferably individual offices with telephones).
  - The Coordinator is expected to assemble all case records so that they can be accessible and ready for review at the onset of the review.
5. Unlike prior traditional QCR's, NCDSS will not conduct a formal entrance or exit conference. The purpose of this event is to read case records in their entirety, complete the supplemental review forms, notes, etc. on each case reviewed, and conduct interviews previously scheduled.
6. The NCDSS Reviewer is responsible for:
  - Reviewing the case record

- Interviewing individuals involved in the case to which they are assigned (see State Directed Case Review Proposal Criterion 3)
  - Completing the OSRI and submitting it through OMS
  - Completing supplemental review forms provided by NCDSS and uploading the completed forms to CARA
  - Maintaining contact with NCDSS QA staff
7. Throughout the QCR, the NCDSS Reviewer will be consulting on site with the NCDSS QA and have the OSRI and case information reviewed and verified for QA. The NCDSS Reviewer will be using the web-based online OSRI developed by ACYF/CB. County agency and the Tribal agency may have staffs that are observing this review process.
  8. Outcome ratings from the seven cases reviewed in this traditional QCR are being included in the overall case sample for North Carolina's QCR portion of the CFSR. NCDSS Reviewer and QA will conduct a brief summary of the performance outcomes regarding each of the records reviewed.
  9. All review materials are to be submitted to NCDSS QA for inclusion in the QCR process. Only the case record that was reviewed remains at the review site.

Sample Review Period = April 1,  
2013-March 31, 2014  
State review sample = 120  
cases  
NC Case Distribution: 67 Foster  
Care Cases, 53 In Home Cases

All data was queried from the source system (Child Placement and Payment (FC) and Services Information System (In Home) via the Client Services Data Warehouse

**Foster Care Sampling Distribution**

Number of Children in Care	Percentage of 11 County Total	Portion of Foster Care total (67)	Number of Cases to Review
396	9.87%	6.61	6
99	2.47%	1.65	2
935	23.29%	15.61	15
225	5.61%	3.76	4
53	1.32%	0.88	1
953	23.74%	15.91	15
175	4.36%	2.92	3
47	1.17%	0.78	1
915	22.80%	15.27	15
76	1.89%	1.27	1
140	3.49%	2.34	4
4014	100.00%	67.00	67

Distribution Calculations

Statewide Foster Care Child Total 13,305  
 Statewide In Home Case Total\* 10,661  
 \*excludes cases where child entered care  
**Total Cases 23,966**

Foster Care percentage of total cases 55.52%  
 In Home percentage of total cases 44.48%

Number of foster care cases to review 67  
 Number of In Home cases to review 53  
**Total 120**

**In Home Sampling Distribution**

Number of Cases	Percentage of 11 County Total	Portion of In Home total (53)	Number of Cases to Review
453	14.87%	7.88	8
104	3.41%	1.81	2
269	8.83%	4.68	5
253	8.30%	4.40	4
38	1.25%	0.66	1
702	23.04%	12.21	12
117	3.84%	2.04	2
60	1.97%	1.04	1
810	26.58%	14.09	14
65	2.13%	1.13	1
176	5.78%	3.06	3
3047	100.00%	53.00	53

^ EBCI is a combination of Haywood, Jackson, and Swain counties. As discussed, the total numbers for these counties were adjusted by 50% to exclude

Non-Cherokee children.

Prepared by PM-REM  
12.19.14

North Carolina and  
Round 3 of the CFR:  
What Agencies Need to Know

# Welcome!

Please click on the colored link below to download the  
handout for today:  
April 8, 2015 webinar handout



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## Webinar Goals



- Update counties on plans for Round 3
- Consider possible outcomes and implications
- Answer questions

**Ultimate Goal**  
Improve our state's child welfare system in order  
to improve outcomes for children and families

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## Agenda



- Orientation & introductions
- Round 3: What to expect?
- How will county DSS agencies be affected?
- After the review
- Q & A

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**Panelists**

Kevin Kelley  
Terri Reichert  
Rita Bland



**Moderator**

Mellicent Blythe

**Tech Support**

Phillip Armfield  
John McMahon

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**Why This Webinar?**

1. You asked for it!
  - ✦ Top choice of directors and program managers on August 2014 state-wide survey
2. CFSR is here!
  - ✦ Federal review comes to NC in 2015
3. CFSR matters!
  - ✦ It measures our system's performance — how well we achieve safety, permanence, and well-being for children

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**Round 3:  
What to Expect**

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**CFSR 101**

- ❖ The **Child and Family Services Review** (CFSR) is how the federal Children's Bureau evaluates each state's child welfare system
- ❖ Previous rounds took place in NC in 2001 and 2007. Round 3 will take place this year.
- ❖ CFSR has 3 goals:
  1. Determine NC's compliance with certain child welfare requirements (IV-B, IV-E)
  2. Determine the experiences of children and their families who have contact with the child welfare system
  3. Help states enhance their capacity to achieve better outcomes for children and families

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**IMPORTANT CONTEXT**  
**Child and Family Services *Plan***  
**2015-2019**

- ❖ Every 5 years NC DSS submits a Child and Family Services Plan (CFSP) to the Children's Bureau
- ❖ Our state's plan for meeting federal laws and requirements
- ❖ CFS*R* = how progress is measured on the CFSP*P*

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**CFSR 2015**  
**Two Sections**

<p><b>Outcomes</b></p> <p><b>Safety</b></p> <ol style="list-style-type: none"><li>1. Children protected from abuse &amp; neglect</li><li>2. Children safely maintained in their homes whenever possible/appropriate</li></ol> <p><b>Permanency</b></p> <ol style="list-style-type: none"><li>1. Children have permanency and stability in their living situations.</li><li>2. Continuity of family relationships and connections is preserved for children.</li></ol> <p><b>Well-Being</b></p> <ol style="list-style-type: none"><li>1. Families have enhanced capacity to provide for their children's needs.</li><li>2. Children receive appropriate services to meet their educational needs.</li><li>3. Children receive adequate services to meet their physical and mental health needs.</li></ol>	<p><b>Systemic Factors</b></p> <ol style="list-style-type: none"><li>1. Statewide Info. System</li><li>2. Case Review System</li><li>3. Quality Assurance System</li><li>4. Staff &amp; Provider Training</li><li>5. Service Array and Resource Development</li><li>6. Agency Responsiveness to the Community</li><li>7. Foster and Adoptive Parent Licensing, Recruitment, and Retention</li></ol>
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**CFSR 2015**  
**3 Elements**

- 1** Statewide Data Indicators / National Standards
- 2** Statewide Self-Assessment
- 3** On-site Review

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**1** **Statewide Data Indicators/ National Standards**

- ❖ 7 child outcomes; all states evaluated using national standards
  - 2 safety outcomes
  - 2 permanency outcomes
  - 3 well-being outcomes
- ❖ Measured by the data counties report to the state and state reports to federal gov't:
  - National Child Abuse and Neglect Data System (NCANDS)  
*(Central Registry data)*
  - Adoption & Foster Care Analysis & Reporting System (AFCARS)  
*(CPPS & DSS-1808 adoption data)*

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**2** **Statewide Self-Assessment**

- ❖ **7 systemic measures** used to evaluate all states:
  1. Statewide information system
  2. Case review system
  3. Quality assurance system
  4. Staff and provider training
  5. Service array and resource development
  6. Agency responsiveness to community
  7. Foster and adoptive licensing, recruitment, & retention
- ❖ Measured by State Data Profile and stakeholder interviews

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**3 On-site Review**

- ❖ Traditional or state-directed case record review
  - Uses the On-Site Review Instrument (OSRI) & automated tools including the Online Monitoring System (OMS)
  - NC has received approval to do state-directed
    - NC DSS will conduct reviews in partnership with counties
    - Children's Bureau will use data collected from the OSRI

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**3 On-site Review *continued***

- ❖ Interviews
  - Interviews are case-related
  - Subjects include:
    - Worker
    - Supervisor
    - Family
    - Caretakers/foster parents

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**How will county DSS agencies be affected?**

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### Counties Participating in Record Review

1. Buncombe	6. Mecklenburg
2. Craven	7. Pitt
3. Cumberland	8. Scotland
4. Durham	9. Wake
5. Hoke	10. Wilson

Haywood, Jackson, and Swain

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### More Details

- State-approved, county-specific QCR protocol
- 120 cases; foster care and in-home
- Sample period April 1, 2014-Sept. 30, 2014
- Records to be reviewed April 1, 2015 – Sept. 30, 2015
- A two-level, quality assurance review
- Oversight by Children's Bureau

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### Other Counties

- ❖ As a state we need to build capacity in all counties to use:
  1. Quantitative and qualitative data
  2. OSRI for case reviews (includes use of case-related interviews)

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# After the Review

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## Program Improvement Plan

- ❖ NC will have a PIP with steps we need to take to improve our performance on child outcome and systemic measures
- ❖ Need a strong state-county partnership to develop and carry this out

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## Other Methods for Measuring Performance

- ❖ Process QA
- ❖ REAP
- ❖ IV-E Monitoring
- ❖ Feedback from local level “customers” (e.g., via satisfaction surveys)

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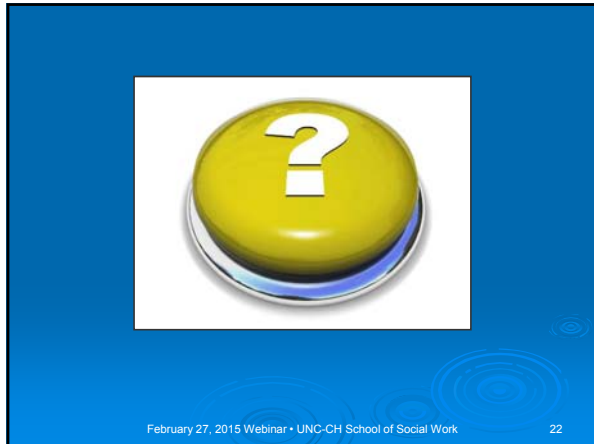
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Presenter Contact Information

	Kevin Kelley <a href="mailto:Kevin.Kelley@dhhs.nc.gov">Kevin.Kelley@dhhs.nc.gov</a>
	Terri Reichert <a href="mailto:Terri.reichert@dhhs.nc.gov">Terri.reichert@dhhs.nc.gov</a>
	Rita Bland <a href="mailto:Rita.bland@dhhs.nc.gov">Rita.bland@dhhs.nc.gov</a>

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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](http://ncswlearn.org)
2. To receive training credit, you must do "Complete Course" **WITHIN ONE WEEK**
  - ✓ Log in to [www.ncswlearn.org](http://www.ncswlearn.org)
  - ✓ Select "PLP"
  - ✓ Select "Webinars"
  - ✓ Click "Enter"
  - ✓ Click "Complete Course" button

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# Follow-up Document from the Webinar

## *North Carolina and Round 3 of the CFSR: What Agencies Need to Know*

Webinar delivered April 8, 2015

Follow-up document date: May 12, 2015

### *Presenters*

#### **NC DIVISION OF SOCIAL SERVICES**

Kevin Kelley

*Chief of the Child Welfare Services Section*

Terri Reichert

*Child and Family Services Review Coordinator*

*Child Welfare Services Section*

Rita Bland

*REAP Coordinator/Interim Quality Assurance Team Leader*

*Child Welfare Services Section*

### *Produced by*

Family and Children's Resource Program, part of the

Jordan Institute for Families

UNC-Chapel Hill School of Social Work

### *Sponsored by*

NC Division of Social Services

**Webinar handouts:** [https://ncswlearn.org/ncsts/webinar/handouts/35\\_webinar\\_handouts\\_04\\_08\\_15.pdf](https://ncswlearn.org/ncsts/webinar/handouts/35_webinar_handouts_04_08_15.pdf)

**Recording:** if you missed the webinar or want to view it again, go to: <http://fcrp.unc.edu/webinars.asp>

## About the Webinar

### Webinar Description

North Carolina's last Child and Family Services Review (CFSR) occurred in 2007. Many important changes have been made to the CFSR since then. This year we will be one of the first States in the nation to experience the new version of the CFSR. In this webinar, representatives from the NC Department of Health and Human Services' Division of Social Services addressed key questions about the upcoming federal review.

### Attendance

A total of 273 people, representing 78 of North Carolina's 100 county DSS agencies, registered for this event. Many participated in the webinar as part of groups.

# Answers and Resources from the Webinar

## Resources Discussed

- CFSR Round 3 Onsite Review Instrument and Instructions:  
[http://www.acf.hhs.gov/sites/default/files/cb/cfsr\\_r3\\_osri.pdf](http://www.acf.hhs.gov/sites/default/files/cb/cfsr_r3_osri.pdf)
- Knowledgebase available on the NC DSS TA Gateway (*you do not need to be a REAP county to access the knowledgebase*)  
<https://nccwta.org/index.php?/Knowledgebase/List>

## Performance Measures

*Presenter Suggestion: we strongly encourage counties to reach out to the CFSR Round 3 counties to learn more about their County QCR Protocol and their capacity building to conduct record reviews.*

## Contact Information for CFSR Leads from Counties Participating in the 2015 Federal CFSR

County	Name	Email
Buncombe	John Hudson	john.hudson@buncombecounty.org
Craven	Terry Brubaker	terry.brubaker@cravencountync.gov
Cumberland	Sarah Guill	sarahguill@ccdsnc.com
Durham	Jovetta Whitfield	jwhitfield@dconc.gov
Hoke	Kristi Pigford	kpigford@hokecounty.org
Mecklenburg	Sherri Porter	sherri.porter@mecklenburgcountync.gov
Pitt	Tamatha Braddy	tamatha.braddy@pittcountync.gov
Scotland	Jennifer Byrd	jbyrd@scotlandcounty.org
Wake	Emi Wyble	ewyble@wakegov.com
Wilson	Kathy Stone	kstone@wilson-co.com

### **Will REAP performance measures be modified to reflect what ACYF provides in the way of National Performance Measures? If so, how quickly will this occur?**

The Division plans to update the REAP performance measures available on the Management Assistance site (<http://ssw.unc.edu/ma/>) as soon as we are confident that the federal government's measures are solidly in place. ACYF has not yet released the way they calculate their measures, saying only that they have discovered a problem with the syntax they use for the measures.

### **From Mecklenburg: Will we be using sample numbers for cases like in previous reviews?**

We will not have sample numbers in the QCR Round 3, we are using SIS Id#'s to identify the cases. We are open to your feedback on this item. Thank you—Rita Bland.

### **From Mecklenburg: Do you want all of our interview notes as part of supporting documents?**

You will need to submit your interview notes in CARA with your supplemental forms.



## Record Reviews

*Presenter suggestion: When looking at your outcomes through the case review, remember that it is also important to assess your collaboration with your community partners around systems that impact outcomes.*

### Current record review practices

Following are the results of a poll that asked participants the following question:



### Other participant comments about record reviews

- Catawba: Catawba does regular ongoing reviews of a random sample
- Gaston: Supervisors complete reviews, but we also now have two QA workers whose work is to review records
- Edgecombe: We do quarterly case reviews
- Guilford: We do QA reviews of open cases

### Who participates in your case reviews?

- Union: Conducts both reviews during open cases by supervisors and upon case closure by QA staff
- Mecklenburg: Completes ongoing case reviews, including special case reviews for child fatalities and high profile/media cases
- Transylvania: Foster Care Supervisor does the reviews in our county
- Cherokee: SW supervisors
- Edgecombe: Staff and supervisors participate in case reviews
- Yancey: Supervisors and program manager in open cases
- Franklin: Supervisors and program manager
- Hoke: Supervisors, program manager
- Graham: Supervisor
- Madison: Staff, supervisor, and director
- Richmond: SW SWS
- Nash: Staff and supervisors participation
- Jones: Staff and supervisor
- Alexander: Staff and supervisors through a peer review process
- Stokes: Supervisors complete monthly QA reviews and reviews upon closure

- Pender: In addition to supervisory review, we also have a monthly review team meeting, which include review of cases of all components of children's services. Supervisory and line staff participate.
- McDowell: Using QA, supervisors, and peers
- Catawba: We have a formal CQI team who does reviews and supervisors also conduct individual reviews.
- Lenoir: Supervisors conduct regular reviews of open cases at the 20-day mark for Assessments and quarterly for IHS as well as at the time of case closure. Historically, we have done group record reviews quarterly using the CFSR tool.
- Forsyth: Supervisors complete QA reviews monthly
- Haywood: SWS' regularly--program manager in some cases

### **What is one thing that would help your county strengthen your record review process?**

- To use the tool that the state is currently using
- A record review tool would be great
- One tool that would be used consistently by all counties
- QA person to be able to devote the time to do record reviews
- A fully integrated case management system that allows for data reports and ensures data integrity. :-)
- NC FAST! Hopefully the kinks will be worked out so we won't have the problems that were caused for our economic service partners.
- Participant suggestion: We would like to suggest that the On Site Review Tool be simplified with line staff in mind. Remove the jargon and have good instructional guidance on where to find information in the record and what exactly the feds will be looking for.
  - Another participant's response: We (Mecklenburg County) have some job aids on how workers can prepare for a record review that is broken down by items on the OSRI - you can contact Sherri Porter at [sherri.porter@mecklenburgcountync.gov](mailto:sherri.porter@mecklenburgcountync.gov) to learn more.

### **After the CFSR, is there an expectation that counties will continue case reviews using the on-site review instrument (OSRI), or will there be another instrument or method?**

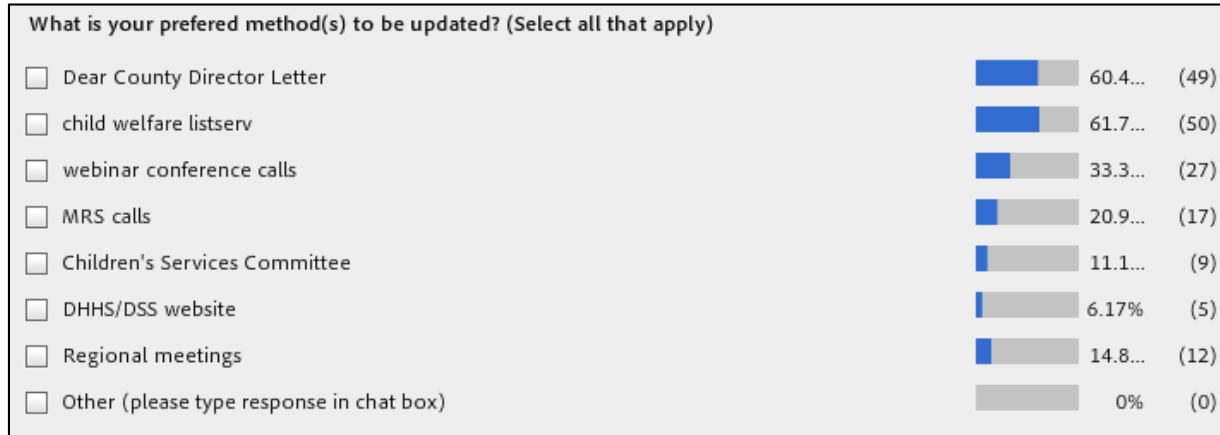
For the purpose of the CFSR Round 3, the 13 counties in the QCR review from April 1-Sept. 30, 2015 will be expected to continue reviews using the OSRI for the next four years. The OSRI outcome data will assist the state in evaluating its Program Improvement Plan (PIP). Each of these counties will have a QCR protocol that will outline their ongoing internal case review systems beyond the CFSR.

At the present the remaining 87 counties are strongly encouraged to implement and sustain case record reviews in the delivery of child welfare services. The Division's vision is that all counties will develop a CQI Plan that supports and operationalizes internal case record reviews using a continuum of methods (process QA reviews, targeted outcome case reviews, and the OSRI) in their protocols to inform their practice as they strive for improvements. The OSRI is a federally-required instrument that will be used nationally; therefore North Carolina will adopt its use in the state's CQI Plan.

## Participants' Preferences for CFSR Updates

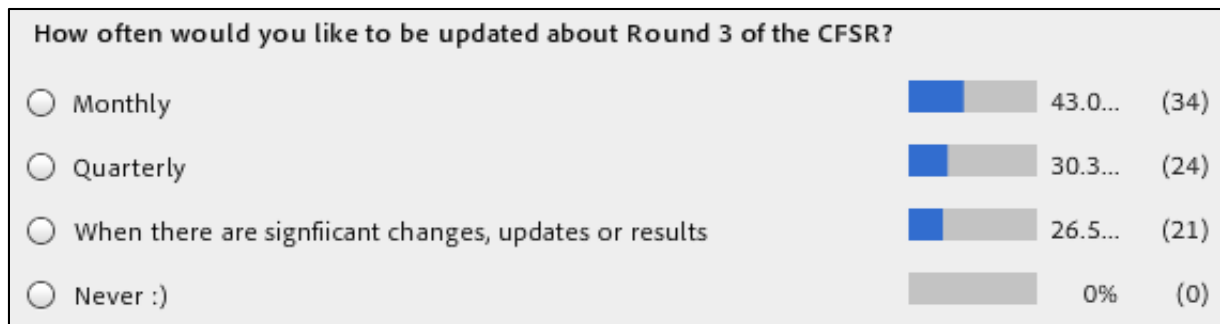
### Method of Updates

Following are the results of a poll that asked participants the following question:



### Frequency of Updates

Following are the results of a poll that asked participants the following question:



*Presenter Note: Thank you for this input. The Division is committed to providing ongoing updates based on your responses to the polling questions on how often and the method to share information.*