



## 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

Gregory Rose  
Deputy Director  
Children and Family Services Division  
California Department of Social Services  
744 P Street, Room 740  
Sacramento, California 95814

Dear Deputy Director Rose:

The Children's Bureau, in collaboration with the California Department of Social Services (DSS), completed a review of California's Adoption and Foster Care Analysis and Reporting System (AFCARS) data collection and reporting during the week of March 2, 2015. The final report on the AFCARS Assessment Review (AAR) is enclosed, which includes the AFCARS Improvement Plan (AIP).

We appreciate the amount of time and effort that your staff committed to the planning and implementation of the AFCARS Review. Every member of the state team was fully engaged during the review and ensured that the week went smoothly. In addition to DSS staff, representatives from county offices as well as staff from the Department of Corrections and Rehabilitation, Division of Juvenile Justice, county probation participated in the review. The probation staff participated in the Review because DSS has a Memorandum of Understanding with the county probation offices for title IV-E funds per the requirements of section 472(a)(2)(B)(ii) of the Act. We appreciate the work that each member put into preparing for the onsite review.

The AAR evaluates two areas: the AFCARS general requirements (reporting populations and technical standards) and the data elements (foster care and adoption). Information collected on these areas is combined and based on an analysis of the findings a rating factor is assigned to each of the general requirements and each data element. The rating factors are: "1," the information is not collected and/or is not transmitted to ACF; "2," technical corrections are required; "3," improvement in data quality is needed; and "4," the state fully meets the AFCARS standards. The enclosed report provides a more detailed explanation of each of the rating factors. Below are charts depicting the state's rating factors.

### General Requirements (22)

Rating Factor	Foster Care (8)	Adoption (3)	Technical (9)	Data Quality (2)
4	5	2	6	1
3	0	1	1	1
2	3	0	2	0
1	0	0	0	0

**Data Elements**

Rating Factor	Foster Care (66)	Adoption (37)	Total (103)
4	15 (23%)	11 (30%)	26 (25%)
3	31 (47%)	14 (38%)	45 (44%)
2	20 (30%)	12 (32%)	32 (31%)

The information provided by this AAR will enable the state to bring its data collection and AFCARS reporting into compliance with the AFCARS standards. The agency is expected to make changes to Child Welfare Services/Case Management System (CWS/CMS) and the extraction routine as noted in this report in order to ensure that ongoing and previous AFCARS data submissions are made compliant with all the AFCARS standards. I understand that the agency may be developing a newer case management system. The enclosed information as well as the *Guide to an AFCARS Assessment Review* (available on the Children's Bureau's web page at <http://www.acf.hhs.gov/programs/cb/resource/afcars-review-guide>) should be used as a self-assessment and a means to verify the new system developer's work as it relates to AFCARS.

Sincerely,

/s/

Rafael López  
Commissioner  
Administration on Children, Youth and Families

Enclosures

cc: Ellie Jones, Chief, Children's Services Operations and Evaluations Branch  
Joseph Bock, Deputy Associate Commissioner, Children's Bureau  
Gail Collins, Director, Division of Program Implementation, Children's Bureau  
Debra Samples, Acting Regional Program Manager, Children's Bureau Region 9  
Angelina Palmiero, Child Welfare Program Specialist/AFCARS, Children's Bureau

**California  
AFCARS  
Assessment Review  
Report**

**December 2015**

**Children's Bureau, Administration on Children, Youth and Families  
Administration for Children and Families  
U.S. Department of Health and Human Services**

## TABLE OF CONTENTS

Background	1
Rating Factors	2
Findings	4
Information System	5
General Requirements	5
Data Elements	7
Conclusion	9
Tab A	Detailed Findings
	Section 1: General Requirements
	Section 2: Foster Care and Adoption Elements
	Section 3: Case Files
Tab B	AFCARS Improvement Plan
	Section 1: General Requirements
	Section 2: Foster Care and Adoption Elements

## BACKGROUND

Federal law and regulations require title IV-E agencies operating programs under title IV-E of the Social Security Act (the Act) to submit data to the Adoption and Foster Care Analysis and Reporting System (AFCARS). The data are to be collected on children in foster care and those who have been adopted with title IV-E agency involvement. Title IV-E agencies that fail to meet any of the standards set forth in 45 CFR 1355.40(a-d) are considered to be in substantial noncompliance with the requirements of the title IV-E Plan.<sup>1</sup> Additionally, title IV-E agencies that received funding to develop, implement, and operate a Statewide Automated Child Welfare Information System (SACWIS) or a Tribal Automated Child Welfare Information System (TACWIS) under Federal regulations at 45 CFR 1355.53 are to produce a comprehensive, effective, and efficient system to improve the program management and administration of titles IV-B and IV-E of the Social Security Act. At a minimum, the system must provide for effective management, tracking, and reporting by providing automated procedures and processes to, among other things, meet the adoption and foster care reporting requirements through the collection, maintenance, integrity checking, and electronic transmission of the data elements specified by the AFCARS requirements.

The Children's Bureau is committed to assisting title IV-E agencies to develop child welfare information systems and to collect quality data. To this end, SACWIS/TACWIS and AFCARS Assessment Reviews were developed to assure that the systems support the management of the programs under titles IV-B and IV-E and can produce accurate and reliable foster care and adoption data. All title IV-E agencies will undergo an AFCARS Assessment Review (AAR) regardless of whether an agency operates a SACWIS/TACWIS. The title IV-E agency's information system is assessed against the AFCARS requirements in the Federal regulations, policy issuances, and the AFCARS Technical Bulletins. The AAR evaluates the agency's information system's capability to collect, extract, and transmit the AFCARS data accurately to the Children's Bureau. A second focus of the AAR is to assess the accuracy of the collection and documentation of information related to the foster care and/or adoption case of a child.

The review process goes beyond the edit checks that must be met by a title IV-E agency in order to pass the AFCARS compliance error standards. The review also ascertains the extent to which a title IV-E agency meets all of the AFCARS requirements and examines the quality of its data. Additionally, while the review is an assessment of the title IV-E agency's collection and reporting of AFCARS data, it is also an opportunity for Federal staff to provide substantive technical assistance to agency staff.

Each AAR consists of a thorough analysis of the title IV-E agency's system technical documentation for the collection, extraction and reporting of the AFCARS data. In addition to this review of documentation, the Federal AFCARS team reviews each data element with the agency's team to gain a better understanding of the agency's child welfare practice and policy and agency staff's understanding of the data elements. The data are also compared against a small, randomly selected number of hard copy case files. Through this exercise, the accuracy of the agency's data conversion process (if applicable) and understanding of the information reported to AFCARS is tested.

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<sup>1</sup> 45 CFR 1355.40(e)

## **RATING FACTORS**

Two major areas are evaluated during an AFCARS assessment review: the AFCARS general requirements and the data elements. The general requirements include the population that is to be reported to AFCARS and the technical requirements for constructing a data file. The data elements are assessed for overall data quality, to determine whether the title IV-E agency is meeting the AFCARS definitions for the information required, and to determine whether the correct data are being entered and extracted.

AFCARS data submissions are subject to a minimal number of edit checks, as listed in Appendix E of 45 CFR Part 1355. Based on these edit checks, substantial compliance can be determined for the timely submission of the data files, the timely entry of certain data elements, and for whether the data meets a 90 percent level of tolerance for missing data and internal consistency checks. However, substantial compliance does not mean a title IV-E agency has fully implemented the requirements in the regulations. This explains why an agency formerly may have been “penalty-free,” and yet does not have accurate and reliable quality data. For example, edit checks of the data cannot determine whether the title IV-E agency submitted the correct foster care population required by the Federal regulations.

Information collected from each component of the assessment review is used to rate each data element. The general requirements are assessed and rated separately using the same scale. A scale of zero (the system is not collecting the AFCARS data elements and the data are not transmitted) to four (fully meets the AFCARS standards) is used to assign a rating factor. Exhibit 1 is a chart that lists the factors that were used for the analysis of the title IV-E agency’s AFCARS.

For data elements and general requirements that do not meet existing AFCARS standards (rating factors 0 through 3), the agency is required to make the corrections identified by the review team. It is possible that the problem with a data element is due both to system issues and to caseworker data entry issues. In such instances, the element will be rated a “2” to denote the need for modification to the system. Once the corrections are made to the system, the data will be re-analyzed. If problems related to caseworker training or data entry still exist, then a “3” will be assigned to the requirement. A rating factor of “4” (compliant) will not be given to the element until all system issues and/or data quality issues have been addressed.

The agency is required to make the changes to the information system and/or data entry in order to be compliant with the applicable requirements and standards. Since the AFCARS data are used for several significant activities at the Federal and State/Tribal levels, the title IV-E agency must implement the AFCARS Improvement Plan, under Tab B of this report, as a way to improve the quality of its data.

## AFCARS Rating Factors

RATING FACTOR	DEFINITION
4	<p>All of the AFCARS requirements have been met and the agency has sustained a high level of quality data.</p> <ul style="list-style-type: none"> <li>• The agency’s methodology for collecting the AFCARS information meets the technical and definitional requirements.</li> <li>• The agency’s information system contains the necessary fields to collect the AFCARS data.</li> <li>• The information is being accurately collected and extracted.</li> <li>• There are quality assurance processes in place that are used on a regular basis to ensure the data are accurately entered into the system or on the data collection form.</li> <li>• The agency has a process in place to identify and resolve data quality issues and makes necessary corrections in a timely manner.</li> </ul>
3	<p>There are data quality issues. For example:</p> <ul style="list-style-type: none"> <li>• The data are underreported due to inconsistent data entry.</li> <li>• The system/form is capable of collecting data but the data are not being entered into the system or recorded on a form.</li> <li>• Data entry is unreliable due to incorrect or ambiguous instructions, definitions, and/or data entry screens or forms.</li> <li>• There are no supervisory controls for ensuring timely data entry, or accurate data entry.</li> <li>• There is incorrect data entry due to training or design issues.</li> <li>• There is missing or incomplete data due to conversion errors.</li> <li>• There are inconsistencies in the numbers between related data elements.</li> <li>• Fundamental data elements have missing data. These include, but are not limited to: <ul style="list-style-type: none"> <li>○ Dates of removal from home, placement, and discharge (if applicable).</li> <li>○ Placement location.</li> <li>○ Removal and placement counts</li> </ul> </li> </ul>
2	<p>The technical requirements for AFCARS reporting are not fully met. For example:</p> <ul style="list-style-type: none"> <li>• The title IV-E agency’s data collection method/information system has the capability to collect the data, but the program logic used to construct the AFCARS file has errors.</li> <li>• The title IV-E agency uses defaults for blank information.</li> <li>• Information is coming from the wrong module or field in the system.</li> <li>• Information is located in the wrong place on the system, e.g., it should be in foster care screens, not adoption screens.</li> <li>• The information system needs modification to encompass more information and/or conditions, e.g., disability information along with start/end dates.</li> <li>• The extraction code for the AFCARS report selects and reports incorrect data.</li> </ul>
1	<p>An AFCARS requirement(s) has not been implemented in the methodology used to collect the data and/or in the information system. For example:</p> <ul style="list-style-type: none"> <li>• The title IV-E agency’s data collection method/information system does not have the capability to collect the correct information (i.e., there is no data field on the screens or form).</li> <li>• There is no program logic to extract the information.</li> <li>• There is 100% missing data according to the frequency report or DCU/DQU reports.</li> </ul>
0	<p>Title IV-E agencies operating an information system for which it received SACWIS/ TACWIS-level FFP were found to be using an external information system, or a tool (such as Excel or Access), and are not collecting and reporting the AFCARS data from the SACWIS/ TACWIS system.</p>

## FINDINGS

The state received a first AFCARS Assessment Review in June 2004. During the AFCARS Improvement Plan (AIP) phase, the state's technical staff rewrote the extraction code. Consequently, the federal review team analyzed the new extraction process and provided findings as well as an updated improvement plan to the state. The agency had completed most of the corrections identified as a result of both the initial review and the review of the re-written extraction code. Based on discussions between the Children's Bureau and state staff, we determined it would be beneficial to conduct a second AAR to more completely assess California's current compliance with the AFCARS requirements. As a result the Children's Bureau conducted a new AAR during the week of March 2, 2015.

The designated title IV-B/E agency in California is the Department of Social Services (DSS). The Children and Family Services Division (CFSD) within DSS provides services related to child abuse prevention, foster care and adoption. The state team for the AAR included representatives from CFSD and several county child welfare offices, as well as staff from the Department of Corrections and Rehabilitation, Division of Juvenile Justice, and county probation departments. The county child welfare agencies have a Memorandum of Understanding with the county probation offices for title IV-E funds per the requirements of section 472(a)(2)(B)(ii) of the Act.

This report contains a summary of the significant reporting and data quality issues found during the March AAR. As part of the post-site visit analysis, the state's documents, data, case file review findings, and the onsite notes were re-assessed to make the final determination of findings. Additionally, the agency made some corrections to the extraction code and provided it to the federal team. The analyses of these corrections were also incorporated into the final determination of compliance. This section of the report is not meant to provide a detailed description of the agency's findings. The state should carefully review all the findings in each document. For additional information on specific issues for the general requirements and the data elements, please see the findings documents in Tab A. The charts below summarize the rating factors for the General Requirements and the Data Elements.

### General Requirements (22)

Rating Factor	Foster Care (8)	Adoption (3)	Technical (9)	Data Quality (2)
4	5	2	6	1
3	0	1	1	1
2	3	0	2	0
1	0	0	0	0

### Data Elements

Rating Factor	Foster Care (66)	Adoption (37)	Total (103)
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## **Information System**

The state's electronic case record is known as Child Welfare Services/Case Management System (CWS/CMS). There were issues identified during this AAR that affect the accuracy of the state's AFCARS data. While CWS/CMS is a statewide system, the local agencies are not using the fields in the system in a consistent manner. Representatives participating during the review sometimes indicated that their jurisdiction or office uses a different field than the one identified for AFCARS reporting and sometimes entered information other than what was intended for a specific data field. There is a need to have a process to ensure that users apply policies appropriately and enter information in a consistent fashion. The user manual should include information that clearly explains the meaning and proper use of each data field and the values for that field.

## **General Requirements**

The General Requirements refer to AFCARS standards related to the foster care and adoption reporting populations, the technical requirements of the AFCARS file, and data accuracy and integrity.

### Foster Care Reporting Population

The DSS is correctly including the records of children that are to be included in the AFCARS foster care reporting population. However, there is an issue with the records from the county probation offices. The county probation workers have access to the state's case management system and are entering all youth into the system who are in an out-of-home community based settings (e.g. group homes, foster homes, etc.). It was determined during the onsite review that the AFCARS reporting population incorrectly includes all of these youth. As noted above, probation is in a separate agency from DSS. DSS has an interagency agreement with the probation office to provide foster care maintenance payments to eligible children per the requirements in section 472(a)(2)(B)(ii) of the Act. Only those youth who are in probation's custody in a foster care placement and who are receiving title IV-E funds are to be included in the foster care reporting population. Since DSS also has an inter-agency agreement with two tribes, the same logic in reporting applies.

The AFCARS requirements specify that only children who are in foster care for more than 24 hours are to be included in the foster care reporting population. During the 2004 AAR the state was determined to be only partially meeting this requirement and per the 2015 review continues to be in non-compliance with this standard. The system and the program code need to be modified to include a field that the program code can check to determine if an episode is 24 hours or less in duration, and if so, exclude the record. The state and federal team discussed possible options the state could utilize. One is to add time fields to the removal and discharge fields or possibly the placement start and end fields. Another option is to add a question to the screen where the discharge date is recorded that the worker would check if the child had been in foster care for 24 hours or less. Note that the 24 hours only applies to the removal episode and not to the length of placements once the child has entered the AFCARS foster care reporting population.

## Adoption Reporting Population

The state is correctly including records of children adopted from the state's foster care system and adoptions made through private agencies (whether in California or in another state) with the involvement of the title IV-E agency. The agency needs to ensure that the private agency adoptions are being entered into the system.

## Technical Requirements

Our review found the state is complying with most of the AFCARS technical requirements, but some remain to be addressed. One relates to the selection and reporting of foster care data for prior report periods (subsequent files). Modifications need to be made to the extraction code to identify only information that is associated with the prior report period being extracted by adding logic to each foster care element to check for information that is prior to the last day of the report period being extracted. This modification will prevent more recent information from being reported when the state submits reports for past report periods.

Another technical issue affects the accuracy and completeness of the adoption file. The adoption records are selected based on the adoption finalization dates that are within the regular<sup>2</sup> report period. While this approach may identify almost all adoptions needing to be reported to AFCARS, some adoptions for which finalization dates were entered after the agency has extracted its adoption file will never be reported. There needs to be a method to identify unreported adoptions and include them in the next regular report period.

Finally, one of the AFCARS requirements for selecting the foster care file includes the use of the transaction date associated with the date entered for the child's discharge from the AFCARS removal episode. The use of the transaction date prevents records from being dropped from one report period to the next in the event the discharge information was entered after a state transmitted its regular AFCARS file. The state had corrected this issue during its first improvement plan but was found to no longer be using the transaction date appropriately.

## Data Quality

For many of the data elements there is a need for improved oversight to ensure that all applicable information is entered into the system in a timely manner. The system and extraction code's technical issues may be masking further data quality issues related to data entry. Once technical corrections are made, the state will need to evaluate the data to determine the need for any additional training needs and monitoring of the data.

We encourage the agency to incorporate a review of its AFCARS data, as well as other data, as part of the periodic reviews conducted for children in foster care. Also, the agency should incorporate a review and analysis of the data as part of its quality assurance process. It is important that the information being used not only for AFCARS reporting but for the agency's own performance measures and other program evaluation is reliable, consistent, and accurate. Accurate data collection and quality of data was addressed in the Children's Bureau's

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<sup>2</sup> A regular file is one that represents data for the current report period that is due to the Children's Bureau.

Information Memorandum (IM) on Continuous Quality Improvement in title IV-B and IV-E programs (ACYF-CB-IM-12-07) issued August 27, 2012. While the purpose of that IM was to provide state title IV-B and IV-E child welfare agencies with information on Continuous Quality Improvement (CQI) systems, the data quality component is applicable to all title IV-E and IV-B agencies. In order to demonstrate quality data collection, the agency needs to ensure it has accurate, complete, and timely data that is consistent in definition and usage across the agency. The state must describe how it intends to ensure accurate AFCARS data quality on an ongoing basis in the General Requirements Improvement Plan under item #21.

Corrections needed for the foster care and adoption data elements require the state to resubmit AFCARS data for past report periods. The state and the Children's Bureau will discuss which reports will be required for resubmission. In addition to the technical corrections, many data elements need improvement in the quality of the data. The state will need to develop and implement a method to ensure accurate and timely entry of data into the systems. We encourage the agency to continue its work on ensuring that caseworkers understand the importance of entering this information, not only for federal reporting, but for DSS' own use for program evaluation, individual case reviews, and for assuring successful outcomes for children.

### **Data Elements**

The enclosed element matrices reflect detailed results for each element. As noted in the chart above, the review identified data elements which require some type of technical correction. Some of these errors apply to the same field but affect multiple data elements (e.g., race and Hispanic/Latino origin) and others affect a group of elements (e.g. circumstances associated with a child's removal from home).

### **Removal Episodes**

As noted in the enclosed findings matrices, the overall approach to identifying and reporting removal episodes (the time from when the child enters in an out-of-home placement to the time when the agency no longer has responsibility for placement and care) is correct. For probation cases under the inter-agency agreement, if the youth is first placed in a locked facility prior to entering a foster care setting, the date of removal reported in AFCARS is the start date of the first foster care placement.

Due to the approach used by the state for recording the probation cases in CWS/CMS, once the logic to identify the probation youth's removal episodes is completed, the extraction code will need to be further evaluated to ensure the removal episode for child welfare children is properly identified. Additionally, in some counties if a youth in DSS' placement and care responsibility becomes involved with the juvenile justice system, the judge will dismiss DSS' custody and give custody to the county probation office. In other counties, there may be dual custody of the child by both DSS and the county probation office. These two circumstances are reported differently in AFCARS. The inclusion of the record in the AFCARS reporting population is dependent on the agency that has care and placement responsibility.

If the youth was in DSS' placement and care but was committed to probation and there is no dual custody, then the child is reported as discharged from the AFCARS foster care population with a reason of "transfer to another agency." If the youth who is now in probation's care and placement responsibility enters a setting within the scope of title IV-E and is eligible for title IV-E under the interagency agreement, then probation would consider this a removal episode at this point and if the youth had been in the care and placement responsibility before, the number of removals increments by one. The number of removals for a youth is not to include both those under DSS' responsibility and those that were from being under probation's responsibility. The removal episodes are to be treated separately.

Another issue identified with removal episodes relates to children who were adopted from the state's foster care system and later re-enter foster care. The agency currently is not including the entire removal history of the child resulting in an incomplete removal history. DSS must include all removal episodes that a child experiences in his/her lifetime in the California foster care system.

In addition to changes in the selection logic to identify and exclude certain removal episodes as noted in the General Requirements section, the following foster care elements need to be modified:

- the date of first removal from home (FC18),
- the total removal episodes (FC19), and
- the date of discharge from a previous episode (FC20).

The situations to be addressed are:

- Removal episodes that are 24 hours or less in duration
- Children who are on a runaway status at the time the agency receives/obtains placement and care responsibility are to be included and the date is the date the agency's placement and care begins.
- If the initial placement location of a child is a hospital or locked facility, the date the child enters a foster care setting (foster home, group home, etc.) is the date of removal. This change primarily affects records reported by the probation offices but the extraction code for DSS needs to be verified as well to ensure the two populations are reported correctly.

Currently, the state's extraction code includes logic that "bridges" certain situations. For example if there is both a discharge and a removal on the same day the two are "bridged" to be a continuous episode. While the state and federal team discussed the bridging logic that is done throughout the code, it is still not clear how it is affecting what is reported. For instance, there may be a true dismissal of the agency's responsibility of placement and care and due to unforeseen circumstances, the child re-enters foster care on the same day. In this case, this would be considered a new removal and not a continuation of the prior episode. Also, there is bridging logic for cases that go between child welfare and probation. As previously noted, if DSS maintains responsibility for placement and care, including dual custody, the case continues to be a DSS case and is only to reflect placement changes not a change in legal status or removal

episode. Since the program code needs to be fully re-evaluated by the state and possibly re-written, the state and federal team will continue to evaluate the results of the bridging logic.

### Placements

The AAR identified concerns with the reporting of a child's placement attributable both to data entry and extraction issues. The system has a field that reflects the number of placements for the child for the current removal episode. Based on discussions during the case review and findings of the AAR, it appears caseworkers are not entering some locations in order for the number of placements not to be incremented. As previously noted, caseworkers must record in the electronic case file all locations (paid/unpaid, "foster care," "non-foster care," camps, etc.) of the child so that the system shows where the child is at all times while the agency is responsible for placement and care.

The agency utilizes "23-hour Assessment Centers." In general, these centers are used to assess a child to determine the most suitable placement location. While these are not intended to be a placement, children sometimes spend the night. If this is the case, and if the child is in out-of-home care for more than 24 hours, the initial removal from home date is to be reported as the child's removal date (FC18 and 21) and this is considered the child's first placement and is to be included in the count reported in FC24.

In regard to the extraction code, the logic uses the calculated field on the placement screen in determining the number of placements reported in foster care element 24 (number of placements). In addition to ensuring that caseworkers are entering every location in which the child resides while in out-of-home care, the program code must be modified to count the number of placements per the AFCARS requirements. Additional detail on what is to be included in the placement count can be found in the element findings matrix.

The items previously noted in the removal episode section impact the placement elements as well. Other issues that affect the number of placements the agency reports in its AFCARS file are identified and noted in the enclosed findings document. These include situations in which a child moves from one setting to another on the same campus or when the licensing status of a foster care setting changes (e.g., when an unlicensed relative home becomes licensed home) but the child does not move.

### **Conclusion**

As noted in the Background section of this report, the AAR ascertains the extent to which a title IV-E agency meets all of the AFCARS requirements and examines the quality and accuracy of its data related to the foster care and/or adoption case of a child. Title IV-E agencies that fail to meet any of the standards set forth in 45 CFR 1355.40(a-d) are considered to be in substantial noncompliance with the requirements of the title IV-E Plan<sup>3</sup>. It is important for the agency to incorporate all of the findings of this report to provide data that meets the existing AFCARS requirements.

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<sup>3</sup> 45 CFR 1355.40(e)

The general requirements and elements that received a rating factor of “3” or lower are the items in the enclosed AFCARS Improvement Plan (AIP). Action items include program extraction code and/or screen modifications, modifications to data element mapping, system interface development, caseworker training, supervisory oversight, and development of an appropriate AFCARS quality assurance process. The AIP included with the report does not include due dates. As part of the post-site visit phase the state was to begin its own evaluation of the preliminary findings and determine what actions are needed to correct the identified problem and the time it will take to complete the tasks. Within 30 days of receipt of the final report, title IV-E agency staff must submit the initial AIP electronically to the Children’s Bureau with estimated dates for completing each action item. Additionally, the state’s plan for implementing the changes to the system and for caseworker training must be included in the state’s title IV-B Child and Family Services Plan and Annual Progress and Services Report as part of the information required by 45 CFR 1357.15(t) and 45 CFR 1357.16(a)(5).

All items in the improvement plan must have a rating of “4” before the AIP is considered completed. Once the AIP is completed and approved, a letter will be sent to the title IV-E agency from the Children’s Bureau’s acknowledging the completion of the AFCARS Improvement Plan.

## **Tab A**

### **Detailed Findings**

**Section 1: General Requirements**

**Section 2: Foster Care and Adoption Elements**

**Section 3: Case File Review**

## INSTRUCTIONS

This section includes the final findings of the State's AFCARS Assessment Review. These findings include post-site visit analysis of the AFCARS general requirements, the foster care and adoption elements, and the case file review. The tables include the AFCARS data elements, the findings, and the rating factors. Some rating factors may differ from the factors given on the draft on-site findings matrices.

The findings include all notes and comments that the Federal review team received during the review. Not all comments address non-compliance issues. Some comments are notes on how the State conducts child welfare practice and are for reference purposes only. Frequency numbers are also provided in the "findings/notes" column for some elements.

It is possible that the problem with the data element and data are due to both system issues and case worker data entry issues. In this case, the element will be given a "2" to denote the need for technical changes. Once the technical corrections are made and approved, the data needs to be re-analyzed. If it appears problems related to caseworker training or data entry still exist, then a "3" will be assigned to the requirement. A finding of full compliance (a factor of "4") will not be given to the element until all system issues and/or data quality issues have been addressed.

When assessing the general requirements, all specifications for the requirement must be met in order for the requirement to be found in full compliance. If the issue is a programming logic problem, then a "2" will be assigned. If it appears the problem is due to data entry, then a "3" will be assigned to the requirement.

Some data elements have a direct relationship with each other. When this occurs, all related elements are given the same rating factor. This is because incorrect programming logic could affect the answers to all of the related data elements.

The State is required to make the changes to the information system and/or data entry in order to be found in compliance with applicable requirements and standards.

## **Section 1**

### **General Requirements**

AFCARS Assessment Review Findings: General Requirements  
State: California

No.	Requirement/Checklist Items	Findings/Notes	Rating Factor
1	<p>For the purpose of foster care reporting, each data transmission must include all children in foster care for whom the title IV-E agency has responsibility for placement, care, or supervision. (45 CFR 1355.40(a)(2)).</p> <p>The [foster care] population to be included in this reporting system includes all children in foster care under the responsibility of the title IV-E agency administering or supervising the administration of the title IV-B Child and Family Services State plan and the title IV-E plan; that is, all children who are required to be provided the assurances of section 422(b)(8) of the Social Security Act. (Appendix A to Part 1355--Foster Care Data Elements, Section II--Definitions).</p> <p>The title IV-E agency includes children in the foster care population who are under the responsibility for placement, care, or supervision of the agency even if there are no foster care payments (CWPM 1.3 #4).</p> <p>All children in foster care who are under the joint placement and care responsibility of the juvenile justice and child welfare systems are reported to AFCARS (CWPM 1.3 #13).</p> <p>All children in foster care who are under the joint placement and care responsibility of the mental health and child welfare systems are reported to AFCARS (CWPM 1.3 #13).</p>	<p><u>Policy/Organization Structure</u></p> <p>The designated title IV-B/E agency is the Department of Social Services (DSS). Within the Department there is the Children and Family Services Division (CFSD) that provides child abuse prevention, foster care and adoptions.</p> <p><u>Screens:</u> Client Services, Case Notebook, Identification</p> <p>There is a field for the Primary Agency Responsible. The options on the dropdown list are: County Welfare Department, Probation, Out-of-State Agency, Private Adoption Agency, State Adoptions District Office, Indian Child Welfare, Mental Health, and Kin-Gap.</p> <p><i>Placement Notebook/ID tab – Identification and Approval</i></p> <p>This screen documents the foster home placement settings. Additionally, the rationale for selecting the home is documented as well as proximity to the child's school and whether siblings were placed together.</p> <p><i>Non-foster Care Placement tab</i></p> <p>This screen has a date field and a drop-down list for the Facility Type. The options are: Assessment Center, Drug Rehabilitation Center, Juvenile Camp/Ranch, Juvenile Hall, Medical Facility, Psychiatric Facility, Regional Center, Runaway Shelter, School Housing (Dormitory), and Other.</p> <p>The agency utilizes "23-hour Assessment Centers." In general, these centers are used to assess a child to determine the most suitable placement location. While these are not intended to be a placement, it is possible the child may spend the night. If this is the case, and if the child is in out-of-home care for more than 24 hours, the initial removal from home date is to be reported as the child's removal date (FC18 and 21) and the assessment center is considered the child's first placement and is to be included in the count reported in FC24.</p> <p>&gt; <i>Children who are under the joint placement and care responsibility of the juvenile justice and child welfare systems are reported to AFCARS -</i></p> <p>During the onsite the relationship between the Department of Corrections and Rehabilitation, Division of Juvenile Justice was further explored and clarified. The county DJJ probation staff have access to and enter their foster care cases into the state's case management system. There is a means to identify if the case is a Child Welfare case or a Probation case in the system using the responsible agency field. During the review it was discovered that all probation</p>	2

AFCARS Assessment Review Findings: General Requirements

State: California

No.	Requirement/Checklist Items	Findings/Notes	Rating Factor
	<p>Children who are under the agency's responsibility for care, placement, or supervision and whose only placement is a locked facility or a hospital are to be excluded (CWPM 1.3 #12).</p>	<p>cases entered in the system are being reported in the AFCARS foster care population. This is incorrect. For the foster care population only those youth who are:</p> <ul style="list-style-type: none"> <li>- in the State DSS agency's responsibility for placement and care; or,</li> <li>- who are in the joint placement and care responsibility of DSS and DCR/DJJ/Probation.</li> </ul> <p>Additionally, those youth who are in the responsibility of the probation office who receive title IV-E are included in the reporting population; see General Requirements (GR) item 4.</p> <p>There are judges in some counties that will order dual custody between child welfare and probation. While other county judges do not and will dismiss one agency and give the other custody. For those that there is dual care and placement responsibility, the child welfare agency is to report these records. It also was clarified that in regard to AFCARS collection and reporting, the child welfare agency is the primary agency and is to report the case. If the child was in DSS' placement and care responsibility and the judge ends their custody and awards custody to the probation office, then the child welfare staff are to enter this as a discharge of their custody. See foster care element #56 and 58 as well as the requirements in GR4. If there is dual custody, then this is a continuation of the removal episode and a change in placement, if applicable, is reported in foster care elements 23, 24, and 41.</p> <p>&gt; <i>Children whose only placement is a locked facility or a hospital are to be excluded</i></p> <p>There was one test case in which the child's only placement in the removal episode was a locked facility and the agency incorrectly included the case in the test reporting population. The child's first removal episode included a placement in detention facility and then the child returned home. The agency indicated they entered the case as child welfare and not Probation for the responsible agency. As part of the previous AFCARS Improvement Plan (AIP), the agency corrected its extraction code to exclude these records. CB reviewed and signed off on the changes. Our current assessment of the extraction code would appear that the code should be working correctly. However, as noted in the foster care element findings, there are several errors and/or inconsistencies in the reporting of these settings as either the first or the only placement. Consequently, this item will be added to the improvement plan in order to determine what the exact issue is with both this requirement and the elements.</p>	

AFCARS Assessment Review Findings: General Requirements

State: California

No.	Requirement/Checklist Items	Findings/Notes	Rating Factor
	<p>Children whose only placement during the report period is “runaway” are to be included in the reporting population (CWPM, 1.2B.7 #24).</p> <p>Children of minor parents: If a child/youth in foster care is a parent, and their child lives with them, their child is to be excluded from the foster care reporting population.</p>	<p>&gt; <i>Children whose only placement during the report period is “runaway”</i> - There was one case testing this condition and the agency did not include the record in the test population. Additionally, the dates of removal were incorrect (see FC18 and 21). The state’s case management system does not have a placement status of runaway. Instead if a child runs away from a setting, then “runaway” is entered as a placement ending reason; never as the child’s current living arrangement. Consequently, the extraction code cannot identify records of children who begin the removal from a status of “runaway.” The option of runaway needs to be added as living arrangement in order to adequately track the child’s living arrangement status at all times.</p> <p>&gt; <i>Children of minor parents:</i> There were two cases testing this condition. In one the child remained with his mother after birth and in the other case, the child was placed in a separate foster care setting. The agency did not include the record of the child that remained with his mother. However, this is because the agency did not enter any information about the child into the system. The agency also did not include the other test case in the reporting population. The agency provided screen shots on the case of the child who was placed away from his mother and information was entered into the system. However, it appears as if the first placement setting was not entered into the system. It was not possible to fully evaluate whether the extraction code would report these types of cases correctly or not since data for both examples were not entered. If a child/youth in foster care is a parent, and their child lives with them, their child is to be excluded from the foster care reporting population. This item will be added to the improvement plan to further determine if the state is in compliance or not with the standard. In addition to the logic that identifies the reporting population, this item affects what is reported in FC18-21.</p> <p><u>Program Code</u> The reporting population selection is based upon “placements.” The foster care population is created in a process involving a very large number of discrete steps. There are codes referenced in logic for the non-foster care placement file that the federal team has not received their translation (6363, 6364, 6365, 6366 and 6367). The agency needs to send a complete code dictionary that the federal team can review.</p> <p>There are three locations that are listed on the non-foster care placement tab that if this were the child’s only placement, the record would be excluded from the</p>	

AFCARS Assessment Review Findings: General Requirements

State: California

No.	Requirement/Checklist Items	Findings/Notes	Rating Factor
		<p>reporting population (Juvenile Hall, Medical Facility, and Psychiatric Facility). The state will need to provide additional information for the others. In regard to the assessment center, if this is the child's only location and the episode is less than 24 hours, it would fall under the criteria in GR5.</p> <p>The initial extraction is the selection of all placement episode (removal) records with a removal date prior to the report period end date, excluding agency responsibility types of "out of State agency" (35), "private adoption" (46) and (5605), "mental health" (6133), "KinGAP" (6134) and "LA Out of State Agency" (5604).</p> <p>The program code then adds all out-of-home placements for the selected removal records by matching on the episode id (third id) (removal ID code). The facility type is added to these records and the first placement is flagged.</p> <p>Next all "guardian home" (5411) facility type records are selected and matched with the legal authority in place at the time of the removal. The guardian records are separated based on legal authority into those that are dependent (the agency has responsibility for care and placement) and non-dependent (the agency does not have responsibility for care and placement).</p> <p>The dependent guardian records are further divided based on their "scp" (substitute care provider) relationship into those that are "kin," for relationship codes of "relative guardian" (1638) and "relative non-guardian" (1639), and foster care for those with no relative relationship. The dependent records for relatives are recoded to placement facility type of "relative home" (1421) and the foster care to "foster family home" (1416).</p> <p>At this point first ever placements of non-dependent guardian are dropped, as are complete removal episodes where the only placement type for all placements is a non-dependent guardian. If there are subsequent placements in the episode where an initial guardian placement is dropped, the removal date is adjusted to be the first foster care placement date.</p> <p>Similar logic is performed for situations where the last placement is a non-dependent guardian, the placement is dropped and the discharge date is adjusted to be that of the last foster care placement.</p>	

AFCARS Assessment Review Findings: General Requirements  
State: California

No.	Requirement/Checklist Items	Findings/Notes	Rating Factor
		<p>If a non-dependent guardian placement occurs during the removal episode where foster care placements precede and follow, the program drops the non-dependent placement and actually creates a new removal for the following foster care placement.</p> <p>Non-dependent guardianship subsidy is a service case similar to children who were adopted and receiving an adoption subsidy and services. Since the records are maintained as open subsidy service and not an open foster care case, the code that distinguishes foster care as a service should be used to identify the reporting population. If there is a removal date, the case is an open removal episode.</p> <p>As noted above, the program code is not correctly identifying the records of children whose removal episode begins with a status of "runaway."</p> <p>The approach for selecting the foster care reporting population is complicated and cumbersome. The approach needs to be re-evaluated because if there is an error in data entry regarding non depended/dependent cases, this becomes a cascade effect and a record can be incorrectly included.</p>	
2	[The AFCARS foster care reporting population] includes American Indian children covered under the assurances in section 422(b)(8) of the Act on the same basis as any other child. (45 CFR 1355.40(a)(2)).	<p><u>Extraction Code</u> American Indian children who are in the agency's responsibility for placement and care are included in the foster care population.</p>	4
3	For children in out-of-State/Tribal Service area placement, the title IV-E agency placing the child and making the foster care payment submits and continually updates the data. (45 CFR 1355.40(a)(2)).	<p><u>Extraction Code</u> ICPC children are excluded from the foster care population.</p>	4
4	<p>[The foster care] population includes all children supervised by or under the responsibility of another public agency with which the title IV-E agency has an agreement under title IV-E and on whose behalf the title IV-E agency makes title IV-E foster care maintenance payments (Appendix A to Part 1355--Foster Care Data Elements, Section II--Definitions).</p> <p>Does the title IV-E agency have an agreement with other public agencies to provide foster care maintenance payments to eligible children per the requirements in section 472(a)(2)(B)(ii) of the Act? - If yes, is the title IV-E agency including these records in the AFCARS file?</p>	<p><u>Policy/Organization Structure</u> The county agencies have a Memorandum of Understanding with the county probation offices for title IV-E funds.</p> <p>The State has an interagency agreement with two tribes.</p> <p><u>System</u> The Probation staff have access and enter their foster care cases into the state's case management system. There is a means to identify if the case is a Child Welfare case or a Probation case in the system using the responsible agency field.</p> <p><u>Extraction Code</u> The extraction code does identify and report the Probation and Tribal cases.</p>	2

AFCARS Assessment Review Findings: General Requirements  
State: California

No.	Requirement/Checklist Items	Findings/Notes	Rating Factor
		<p>However, the agency is incorrectly including probation records of youth who do not meet the requirements of title IV-E. Only those youth who fall under the IA agreement for title IV-E funds who are eligible and receiving title IV-E funds are to be included in the AFCARS reporting population. Since there are records of non-IV-E eligible youth entered into CWS/CMS, the program code must be modified to identify whether the youth is eligible for title IV-E or not, and if not exclude the record from the AFCARS reporting population.</p> <p>This also applies to Tribal cases entered into CWS/CMS. If the Tribal child is not eligible for title IV-E, then the record is not to be included in the AFCARS reporting population.</p>	
5	<p>The reporting system includes all children who have or had been in foster care at least 24 hours. (Appendix A to Part 1355--Foster Care Data Elements, Section II--Definitions).</p> <p><u>Checklist</u> The title IV-E agency is to include children placed in emergency facilities if the episode exceeds 24 hours in duration.</p>	<p><u>System</u> The state still is not in compliance with this AFCARS standard. It was noted during the 2004 AFCARS Review that records of children whose removal episode is 24 hours or less in duration are not included in the AFCARS reporting population. This requirement had been in the state's AFCARS improvement plan and per this AFCARS Review, has not yet been implemented. It was determined during the onsite phase that the reason the test case used to test this condition was not reported was because the episode was not entered into the system. All cases in which the agency has involvement/responsibility for and/or the child has been placed in an out-of-home setting are to be entered into the system. If a child is in the agency's responsibility for placement and care regardless of how long they have been in an out-of-home episode or what the living arrangement is while in out-of-home care, are to be recorded in the system.</p> <p>During the onsite phase, the federal and state team discussed options on how to modify the system in order to identify episodes that are 24 hours or less. One option is to add a question and check box on the screen where discharge date and reason is entered (Was this removal episode 24 hours or less?).</p> <p>The agency utilizes "23-hour Assessment Centers." In general, these centers are used to assess a child to determine the most suitable placement location. While these are not intended to be a placement, it is possible the child may spend the night. If this is the case, and if the child is in out-of-home care for more than 24 hours, the initial removal from home date is to be reported as the child's removal date (FC18 and 21) and the assessment center is considered the child's first placement and is to be included in the count reported in FC24.</p>	2

AFCARS Assessment Review Findings: General Requirements

State: California

No.	Requirement/Checklist Items	Findings/Notes	Rating Factor
		<p>During the post site phase, the agency submitted a proposed approach to address whether a removal episode is 24 hours or less in duration. The agency indicates: The Placement Notebook&gt;ID Page shall carry a control to indicate that a Placement Start Date and End Date is less than a 24 hour period." The agency used the term "placement;" clarify whether this references the child's living arrangement or the removal episode. If placements are being used to determine whether the episode is 24 hours or less, then there should be only one placement location.</p> <p><u>Extraction Code</u> Removals that begin and end the same day are excluded but there is no logic to specifically exclude removals less than 24 hours that span two days. I am not finding any code specifically addressing this requirement. Removals that begin and end the same day are excluded but there is no logic to specifically exclude removals less than 24 hours in duration.</p>	
6	<p>Foster care does not include children who are in their own homes under the responsibility of the title IV-E agency (Appendix A to Part 1355--Foster Care Data Elements, Section II—Definitions).</p> <p>A removal is either the physical act of a child being taken from his or her normal place of residence, by court order or a voluntary placement agreement and placed in a substitute care setting, or the removal of custody from the parent or relative guardian pursuant to a court order or voluntary placement agreement which permits the child to remain in a substitute care setting. (CWPM, 1.2B.3 Question #4).</p> <p>Children who are in the title IV-E agency's responsibility for placement and care who were first placed with a non-custodial parent are to be excluded from the reporting population.</p>	<p>The agency is correctly not including children who are in their own homes who had not been placed in foster care.</p> <p>The agency is correctly not including children who are in the title IV-E agency's responsibility for placement and care who were first placed with a non-custodial parent in the AFCARS reporting population.</p>	4
7	<p>[The foster care population] includes youth over the age of 18 if a payment is being made on behalf of the child (CWPM, 1.3).</p> <p>A title IV-E agency that exercises the option to extend assistance to youth age 18 or older must collect and report data to AFCARS on all youth receiving a title IV-E foster care maintenance payment. (ACYF-CB-PI-10-11, Issued July 9, 2010). See foster care elements #56 and #58 for additional information.</p>	<p><u>Policy/Organization Structure</u> The State exercised the option to extend assistance to youth older than 18 up to age 21. The effective date of the title IV-E plan is January 1, 2012. The state has an existing 18+ Work Plan.</p> <p>The 18+ Work Plan will be monitored concurrently with the AFCARS IP.</p>	4
8	<p>Include all children who are in the placement, care, or supervision responsibility of the title IV-B/E agency that are on "trial home visits" (CWPM</p>	<p><u>Policy/Organization Structure</u> During the onsite review it was noted that practice varies across the State. In</p>	4

AFCARS Assessment Review Findings: General Requirements  
State: California

No.	Requirement/Checklist Items	Findings/Notes	Rating Factor
	<p>1.3).</p> <p>See foster care elements #56 and #58 for additional information when there is no policy regarding how long a placement of a child in his/her own home may last or if the agency does not conduct all periodic reviews in court.</p>	<p>some counties if the child is returned to the home of removal without care and placement being dismissed by the court, and if a need arises that requires the child to be placed back in foster care, the agency is required to obtain a new court order that vacates the prior court order. For this group, the child would be reported as discharged at the time the agency returned the child to foster care and obtained a new court order. Otherwise, the agency would continue to report this child in the AFCARS foster care population until the agency no longer has placement and care responsibility.</p> <p>In other counties this is not the situation and the agency is able to bring the child back into foster care. For this group, the child would continue to be in the AFCARS foster care population until the agency is dismissed of placement and care responsibility.</p> <p>See foster care elements 20, 23, 41, and 56 for additional findings.</p> <p><u>Extraction Code</u> The extraction code reports on children who are on Trial Home Visit even though the system does not recognize THV as a placement. These situations are identified as placement change reasons for the previous foster care placement.</p>	
9	<p>For the purposes of adoption reporting, data are required to be transmitted by the title IV-E agency on all adopted children who were placed by the title IV-E agency. (45 CFR 1355.40(a)(3)).</p> <p>The title IV-E agency must report on all children who are adopted in the State or Tribal service area during the reporting period and in whose adoption the title IV-E agency has had any involvement. ...reports on the following are mandated: (a) All children adopted who had been <u>in foster care</u> under the responsibility and care of the child welfare agency and who were subsequently adopted whether special needs or not and whether subsidies are provided or not; (Appendix B to Part 1355--Adoption Data Elements, Section II - Definitions).</p>	<p><u>Extraction Code</u> The adoption population is selected as all cases on the adoption placement table with a finalization date within the reporting period.</p>	4
10	<p>For a child adopted out-of-State, the title IV-E agency which placed the child submits the data. Similarly, the Tribal title IV-E agency which placed the child outside of the Tribal service area for adoption submits the data.(45 CFR 1355.40(a)(3) I - Definitions).</p>	<p>The State includes those children adopted and placed out of State in its reporting population.</p>	4
11	<p>For the purposes of adoption reporting, data are required to be transmitted by</p>	<p><u>Policy</u></p>	3

AFCARS Assessment Review Findings: General Requirements  
State: California

No.	Requirement/Checklist Items	Findings/Notes	Rating Factor
	<p>the title IV-E agency ... on all adopted children for whom the agency is providing adoption assistance (either ongoing or for nonrecurring expenses), care or services directly or by contract or agreement with other private or public agencies. (45 CFR 1355.40(a)(3)).</p> <p>The title IV-E agency must report on all children who are adopted in the State or Tribal service area during the reporting period and in whose adoption the title IV-E agency has had any involvement. ...reports on the following are mandated: (b) All special needs children who were adopted in the State or Tribal service area, whether or not they were in the public foster care system prior to their adoption and for whom non-recurring expenses were reimbursed; and (c) All children adopted for whom an adoption assistance payment or service is being provided based on arrangements made by or through the title IV-E agency. (Appendix B to Part 1355--Adoption Data Elements, Section I).</p>	<p>The State staff confirmed they will enter into an AAP agreement with families adopting a child through a private agency who is determined to be special needs.</p> <p>The agency noted in the prior AFCARS improvement plan functionality was added to capture four types of adoptions: Public Agency, Private Agency, Tribal Agency and Birth Parent. However, an additional note made by state team indicated "Adoptions of non-foster care children are not reported to the system."</p> <p>As part of this review, there were three test cases of non-foster care adoptions. The agency included all three in the adoption reporting population. During the onsite phase, the federal team did observe the information for one of the cases. Demonstrating the system has the capacity to allow private AAP cases to be entered.</p> <p><u>Extraction Code</u> The program code, as noted in GR9 will report any adoption in which an adoption finalization date is in the system. So, as long as the agency enters the private agency adoption into the system, it will be reported.</p>	
12	<p>The data must be extracted from the data system as of the last day of the reporting period (45 CFR 1355.40(b)(1)):</p> <p><u>For foster care information [regular files]</u>, the child-specific data to be transmitted must reflect the data in the information system when the data are extracted. (45 CFR 1355.40(b)(2)).</p> <p>Report the status of all children in foster care as of the last day of the reporting period.</p> <p>Also, provide data for all children who were discharged from foster care at any time during the reporting period, or in the previous reporting period, if not previously reported. (Appendix D, 45 CFR 1355 Foster Care and Adoption Record Layouts Section A.1.b(5)); (AFCARS Technical Bulletin #6, Data Extraction).</p> <p><u>For foster care information [regular files]</u>, The file should not include information or dates that occur after the end of a regular report period.</p>	<p><b>Foster Care Regular Files</b> Since the AAR in 2003 the State has made several corrections addressing this requirement. There were a couple items noted in the element matrices that still contain either a system default or a default in the extraction code.</p>	4

AFCARS Assessment Review Findings: General Requirements  
State: California

No.	Requirement/Checklist Items	Findings/Notes	Rating Factor
	<p>The data must be reflective of the child's circumstances for the report period being submitted.</p> <p>If data are missing, the extraction code does not insert a valid value into the file.</p>		
13	<p>The data must be extracted from the data system as of the last day of the reporting period (45 CFR 1355.40(b)(1)):</p> <p><u>For foster care information [subsequent files]</u>, the child-specific data to be transmitted must reflect the data in the information system when the data are extracted. (45 CFR 1355.40(b)(2)).</p> <p>Report the status of all children in foster care as of the last day of the reporting period. (AFCARS Technical Bulletin #6, Data Extraction)</p> <p><u>For foster care information [subsequent files]</u>, How does the title IV-E agency extract subsequent files?</p> <p>The data must be reflective of the child's circumstances for the report period being submitted. <b>Example:</b> The title IV-E agency is extracting the 2011B report period on June 8, 2012 for submission to the Children's Bureau. Data in the 2011B file must reflect the child's circumstances as of September 30, 2011. If a diagnosis has changed or a case plan goal since September 30, 2011, the new information is not to be included in the 2011B file.</p>	<p><b>Foster Care Subsequent files</b> There were errors in the test case results indicating data are not reflective of the report period extracted. The agency needs to ensure that each foster care data element has logic to check against the report period being extracted.</p>	3
14	<p>The data must be extracted from the data system as of the last day of the reporting period. (45 CFR 1355.40(b)(1)):</p> <p><u>Adoption data</u> are to be reported during the reporting period in which the adoption is legalized or, at the title IV-E agency's option, in the following reporting period if the adoption is legalized within the last 60 days of the reporting period. For a semi-annual period in which no adoptions have been legalized, the title IV-E agency must report such an occurrence.(45 CFR 1355.40(b)(3)).</p> <p>Controls exist to ensure that an individual adoption record is extracted and reported to AFCARS.</p>	<p>There was one foster care adoption that was not reported.</p> <p><b>Adoption Regular Files</b> <u>Extraction Code</u> The adoption population is selected as all cases on the adoption placement table with a finalization date within the reporting period. While this may identify nearly all the adoptions, there may be adoptions that are entered late and after the agency has extracted its adoption file. These will never be reported. There needs to be a method to identify unreported adoptions and include them in the next regular report period.</p> <p><b>Adoption Subsequent Files</b> <u>Extraction Code</u></p>	2

AFCARS Assessment Review Findings: General Requirements  
State: California

No.	Requirement/Checklist Items	Findings/Notes	Rating Factor
	<p>For subsequent submissions, the data in the subsequent file reflects activities for that report period. For example: if there was a change in the amount of the adoption subsidy, is the amount that was in the adoption agreement at the time of the adoption the amount that is included in the subsequent submission?</p>	<p>Since the extraction code identifies records with a finalization date within the report period, a subsequent file should contain all adoptions that occurred within the period being extracted.</p>	
15	<p>The title IV-E agency extracts all records based on the transaction date of discharge (foster care element #57) or the date of latest removal (foster care element #21), if the child has not been discharged. (ACYF-PI-CB-95-09, Reissued May 23, 1995 and Technical Bulletin #6, AFCARS Data Extraction) The data submitted to AFCARS should be extracted based on removal episodes and not on placement information.</p> <p>Does the selection logic check:</p> <ul style="list-style-type: none"> <li>• For a transaction date of discharge for a record that occurs during the reporting period.</li> <li>• If the transaction date of discharge is after the last day of the reporting period, but the same day or prior to the date the Title IV-E agency extracts the data for submission, AND the date of latest removal is equal or prior to the last day of the reporting period, then the record must be included.</li> <li>• If the transaction date of discharge is absent AND the date of latest removal is equal or prior to the last day of the reporting period, then the record must be included.</li> </ul> <p>If the transaction date of discharge is present, but does not fall within the dates of the reporting period AND the date of latest removal is after the last day of the reporting period, the record must be excluded.</p>	<p>In the agency's first AFCARS Review and improvement plan, the agency was not using the transaction date as a criteria in selecting the foster care reporting population. The agency made the correction to the extraction code and the Children's Bureau signed off on it (2008). As a result of this AAR, the agency's extraction code was found to no longer use the transaction date in the selection criteria. It must be added to the selection criteria.</p>	2
16	<p>A summary file of the semi-annual data transmission must be submitted and will be used to verify the completeness of the title IV-E agency's detailed submission for the reporting period. (45 CFR 1355.40(b)(4)).</p> <p>The values for these data elements are generated by processing all records in the semi-annual detailed data transmission and computing the summary values for Elements #1 and #3-22. Element #2 is the semi-annual report period ending date. In calculating the age range for the child, the last day of the reporting period is to be used. (Appendix D, 45 CFR 1355 Foster Care and Adoption Record Layouts Sections A.2 and B.2).</p>	<p><u>Extraction Code</u> This is done correctly.</p>	4

AFCARS Assessment Review Findings: General Requirements

State: California

No.	Requirement/Checklist Items	Findings/Notes	Rating Factor
	Does the title IV-E agency's semi-annual transmission often fail the format standard for the summary file?		
17	[Files] must be submitted in electronic form as described in appendix C to Part 1355 and in record layouts as delineated in appendix D to Part 135545 CFR 1355.40(b)(1) Records must be written using ASCII standard character format. (Appendix C, 45 CFR 1355 Electronic Data Transmission Format).	<u>Extraction Code</u> This is done correctly.	4
18	[Files] must be submitted in electronic form as described in appendix C to Part 1355 and in record layouts as delineated in appendix D to Part 135545 CFR 1355.40(b)(1) (2) All elements must be comprised of integer (numeric) value(s). (Appendix C, 45 CFR 1355 Electronic Data Transmission Format).	<u>Extraction Code</u> This is done correctly.	4
19	[Files] must be submitted in electronic form as described in appendix C to Part 1355 and in record layouts as delineated in appendix D to Part 1355.(45 CFR 1355.40(b)(1)). All records must be a fixed length. The Foster Care Detailed Data Elements Record is 150 characters long and the Adoption Detailed Data Elements Record is 72 characters long. The Foster Care Summary Data Elements Record and the Adoption Summary Data Elements Record are each 172 characters long. (Appendix C, 45 CFR 1355 Electronic Data Transmission Format).	<u>Extraction Code</u> This is done correctly.	4
NR	[Files] must be submitted in electronic form as described in appendix C to Part 1355 and in record layouts as delineated in appendix D to Part 1355. (45 CFR 1355.40(b)(1)) All title IV-E agencies must inform the Department, in writing, of the method of transfer they intend to use. (Appendix C, 45 CFR 1355 Electronic Data Transmission Format). Has the title IV-E agency submitted the AFCARS File Registration Form?		
20	The title IV-E agency must use correct file name for transmission. (Technical Bulletin #2, File Format). Does the title IV-E agency submit the file using the correct naming convention?	<u>Extraction Code</u> This is done correctly.	4
21	<b>General Data Quality</b>  For data to be considered "quality" it must be accurate, complete, timely, and consistent in definition and usage across the entire IV-E agency and State/Tribal service area. The quality of the AFCARS data is assessed by the agency on a regular and continuous basis in order to sustain a high level of	For many of the data elements there is a need for improved oversight to ensure that all applicable information is entered into the system in a timely manner. The system and extraction code's technical issues may be masking further data quality issues related to data entry. Once technical corrections are made, the state will need to evaluate the data to determine the need for any additional training needs and monitoring of the data.	3

AFCARS Assessment Review Findings: General Requirements

State: California

No.	Requirement/Checklist Items	Findings/Notes	Rating Factor
	<p>quality data. The agency incorporates AFCARS data into its quality assurance/continuous quality improvement plan. The agency involves staff from every level of the organization, and other stakeholders from outside of the agency.</p>	<p>The agency should incorporate a review of its AFCARS data, as well as other data, as part of the periodic reviews conducted for children in foster care. Also, the agency should incorporate a review and analysis of the data as part of its quality assurance process. It is important that the information being used not only for AFCARS reporting but for the agency's own performance measures and other program evaluation is reliable, consistent, and accurate. Accurate data collection and quality of data was addressed in the Children's Bureau's Information Memorandum (IM) on Continuous Quality Improvement in title IV-B and IV-E programs (ACYF-CB-IM-12-07) issued August 27, 2012. While the purpose of that IM was to provide state title IV-B and IV-E child welfare agencies with information on Continuous Quality Improvement (CQI) systems, the data quality component is applicable to all title IV-E and IV-B agencies. In order to demonstrate quality data collection, the agency needs to ensure it has accurate, complete, and timely data that is consistent in definition and usage across the agency. The state must describe how it intends to ensure accurate AFCARS data quality on an ongoing basis in the AIP for this item #21.</p> <p>Corrections needed for the foster care and adoption data elements require the state to resubmit AFCARS data for past report periods. The state and the Children's Bureau will discuss which reports will be required for resubmission. In addition to the technical corrections, many data elements need improvement in the quality of the data. The state will need to develop and implement a method to ensure accurate and timely entry of data into the systems. We encourage the agency to continue its work on ensuring that caseworkers understand the importance of entering this information, not only for federal reporting, but for DSS' own use for program evaluation, individual case reviews, and for assuring successful outcomes for children.</p>	
22	<p><b>Data Conversion</b></p> <p>The information system has the capability of recording historical information, as applicable. This primarily applies to closed cases, if the agency did not convert all cases (open and closed), that re-open after conversion, and these cases must be entered into the system.</p> <p>The title IV-E agency transfers historical information on open cases. Specifically, it includes information on: date of first removal, total number of removals, and whether the child's mother was married at the time of the child's birth. If the case was open at the time of conversion, information on</p>	<p>In the first AAR it was found that conversion varied among counties. Those counties that were automated prior to CWS/CMS converted most of the data to CWS/CMS. In many counties the data was entered manually.</p> <p>The system appears to be able to support the entry of older information if a closed case were to re-open and the worker needed to add certain historical data.</p>	4

AFCARS Assessment Review Findings: General Requirements  
State: California

No.	Requirement/Checklist Items	Findings/Notes	Rating Factor
	the number of placement settings is included. Did the title IV-E agency have a legacy system?		

## **Section 2**

### **Foster Care and Adoption Elements**

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
1. Title IV-E Agency	<u>Program Code</u> The IV-E agency code for California ("06") is hard coded in the program logic.	4
2. Report Period Ending Date	<u>Program Code</u> The report period end date is a variable that is manually entered at program execution time.	4
3. Local Agency (FIPS Code)		4
4. Record Number		4
5. Date of Most Recent Periodic Review (if applicable)	<p><u>Screen: Hearing Notebook (ID Tab)</u> The State conducts six-month periodic reviews and a 12-month permanency hearing. A review is done every six months thereafter. In some counties an administrative review is held and in some counties this is followed by a court review as well. The administrative review is recorded on the same screen.</p> <p>There are instances in which a periodic review is held more frequently than every six months (mostly at three month intervals). Per discussions with the State team, there does not appear to be a review type listed in the system that correctly identifies the periodic review that is done earlier than every six months.</p> <p>If a youth is over the age of 18 and receiving title IV-E funds, a periodic review is still required.</p> <p>Probation uses a different screen. It contains the fields 6-Month Review Date and Permanency Planning Hearing Date.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> 3% of the records have a date older than 2014. There are 23% of the records with no date (did not verify the date of removal for these cases).</p> <p><i>Case File Review Findings (n=77):</i> 22 (29%) cases were found to not match what was reported in AFCARS. Eight of the cases were probation. The errors appear to be related to the findings noted for the program code.</p> <p><u>Program Code</u> The program code selects the review date from different sources depending on whether the case is child welfare or probation. For child welfare cases, the most recent hearing date prior to the end of the report period and within the removal episode is selected. The hearing types used are "jurisdiction" (1161), "disposition" (1162), "6 month review" (1164), month/permanency review" (1165), "post permanent</p>	2 3

Requirements

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

Checklist

The date used for this element is for reviews that meet the requirements in section 422(b)(8)(ii) and 475(5)(B) of the Social Security Act (SSA).

If a periodic review was conducted prior to or during the sixth month of the child's foster care episode, the date of the review should be included.

The most recent periodic review is for the current removal episode.

The dates reported must occur prior to the end or equal to the last day of the report period.

For title IV-E agencies where the designated title IV-B and IV-E agency includes either juvenile justice or mental health: children that either directly enter a community-based placement (foster home, group home, etc.) or are placed in such a setting after leaving a correctional/ detention facility, and are under the placement and care responsibility of the single IV-B/E State/Tribal agency, must be reported in AFCARS and be provided the protections in section 422(b)(8)(ii) and 475(5)(B) of the Act.

Does the agency require a review of the accuracy of the information in the automated system at the same time that all aspects of the case are under review?

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	<p>plan review" (1168), "administrative review" (1172), "12 month permanency" (3069), "388(e) reentry" (6550), "366.31 pre-NDM review" (6816), "366..32 NDM review" (6817), and "366.25 24month/permanency review" (6818). NDM stands for "non-minor dependent."</p> <p>The program code must exclude the hearing types "jurisdiction" (1161), "disposition" (1162), and "388(e) reentry" (6550)."</p> <p>For cases identified as "county probation department" (33) or "LA county probation department" (5603), the most recent review date prior to the end of the reporting period and within the removal episode is selected from the FCIS review table.</p> <p>Based on the test cases and the cases reviewed, there is an issue of dates of periodic review that are prior to the child's removal date. This is a data inconsistency error as there cannot be a date prior to removal. The program code may be incorrectly picking up a periodic review that occurred during the time the case was initially opened as family maintenance even though the program code seems to have logic to only identify reviews for the current removal episode. Since there may be issue on how cases are being identified for reporting in the extraction code, it is possible that during one of the "adjustments" made in the code, a case is not properly identified. The agency will need to determine why there are dates reported prior to a removal.</p> <p><u>Post-Site Visit Program Code Modifications</u> The program code was corrected by removing the values "jurisdiction" (1161), "disposition" (1162), and "388(e) reentry" (6550).</p> <p>The program code was corrected to only check for a review date that occurs after the date of removal.</p>	
Person Demographics	<p><u>Screen:</u> Client Services/Case/Summary ID; Demographics; Related Clients, ICWA Information that is included in each of the above tabs includes:</p> <p>ICWA Eligible and Incapacitated Parent. For the Incapacitated Parent the choices are: Yes, No, Unknown, and Not applicable.</p> <p><i>Language</i> - The State collects primary and secondary language.</p> <p><i>Literate</i></p> <p><i>Child has Indian Ancestry and Notification</i></p> <p><i>Safely Surrendered Baby</i></p> <p>If the client has been arrested and why</p> <p>Client is/was Adjudicated Delinquent</p> <p>Adoption status, previously adopted, inter-country adoption</p>	

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	As well as general information related to education and health, and if the information is on file.	
6. Date of Birth	<p><u>Screen:</u> Client Services/Case/Summary ID tab Section: Name and Identification. In the section “Client Information” there is a field for date of birth (green field). The system also calculates the child’s age.</p> <p><u>Data Quality</u> 2014B Frequency Report (n=72,514): Years start at 1995.</p> <p><u>Program Code</u> The child’s date of birth is selected from their client record in the same selection logic that obtains all the child’s demographic information.</p>	4
7. Sex  1 = Male 2 = Female	<p><u>Screen:</u> Client Services/Case/Summary ID tab Section: Name and Identification. In the section “Client Information” there is a field for gender.</p> <p><u>Program Code</u> The child’s gender code from the client record is mapped as “f” is female and “m” is male. Any other value is mapped to blank.</p>	4
8. Child’s Race 0=No 1=Yes  a. American Indian or Alaska Native b. Asian c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine  <u>Requirements</u> In general, a person’s race is determined by how they define themselves or by how others define them. In the case of young children, parents determine the race of the child. American Indian or Alaska Native -A person having origins in any of the original peoples of North or South America (including Central America), and who maintains tribal affiliation or community attachment.  Asian - A person having origins in any of the original peoples of the Far East,	<p><u>Screen:</u> Client Services/Case/Summary ID tab - Section: Race/Ethnicity There are four sections: Specify race (if known) Primary Ethnicity (this field has a drop down list); Unable to Determine – Reason (has a drop down list); Other Ethnicity; and, Hispanic/Latino Origin.</p> <p>The State includes “Hispanic” and other Hispanic/Latino ethnicities in the dropdown list for the primary ethnicity. The State needs to provide a copy of the screen showing the options for primary ethnicity.</p> <p>When Hispanic, or one of the other Hispanic/Latino options, is selected there is no prompt to have the worker enter a race in the other ethnicity field. If a person identifies as being Hispanic and declines to give a race, then the caseworker should select “decline” in the race field and check the Hispanic indicator as “yes.” But if the person does not decline to provide a race, then the worker must inquire and enter the race category identified by the client.</p> <p>The options for the other ethnicity field are: Alaskan Native, American Indian, Asian Indian, Black, Cambodian, Caribbean, Central American, Chinese, Ethiopian, Filipino, Guamanian, Hawaiian, Hispanic, Hmong, Japanese, Korean, Laotian, Mexican, Other Asian, Other Pacific Islander, Other Race Unknown, Polynesian, South American,</p>	2

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.</p> <p>Black or African American - A person having origins in any of the black racial groups of Africa.</p> <p>Native Hawaiian or Other Pacific Islander - A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.</p> <p>White - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.</p> <p>Unable to Determine - The specific race category is “unable to determine” because the child is very young or is severely disabled and no person is available to identify the child’s race. Also used if the parent, relative or guardian is unwilling to identify the child’s race.</p> <p>Indicate all races (a through e) that apply with a “1.” For those that do not apply, indicate a “0.” Indicate “f. unable to determine” with a “1” if it applies and a “0” if it does not.</p>	<p>Vietnamese, White-Armenian, White-Central America, White-European, White-Middle Eastern, White-Romanian, and White. Samoan is listed but it appears to be disabled. The caseworker can select all that apply.</p> <p>The field “Unable to determine-Reason” dropdown list options are none, abandonment, incapacitation, and Individual does not know.</p> <p>The screen has a field for Safely Surrendered Baby. It appears that when the safely surrendered indicator is checked it is still possible for the worker to select a race. This is likely the cause of the errors that were identified previously in the AAR/AIP1 and are also noted below for the 2014B data file. At the time an infant is brought to a Safe Haven location a Medical questionnaire may be completed by the parent and race is listed as one piece of the information gathered on this form. Consequently, it is possible for the agency to identify the child’s race. In this instance, the agency should report the identified race of the child. Currently, the program code is not making a distinction and is reporting both pieces of information.</p> <p><u>Data Quality</u>  <i>2014B Frequency Report (n=72,514):</i> There are 27,294 (38%) reported as “unable to determine.” There also are 49 records reported with a race plus unable to determine.  <i>Case File Findings (n=77):</i> 6 (8%) of the records analyzed did not match what was reported in AFCARS. The reviewers found either additional races that should have been selected or a race that should have been reported instead of “unable to determine.”</p> <p>As part of ongoing training, the State needs to make clear that “Hispanic” is not a race. Workers must also ask individuals that identify themselves as “Hispanic” or other Latino origin, which race they consider themselves to be.</p> <p><u>Program Code</u>  The program code is identifying race from the primary ethnicity code on the client table and/or the secondary ethnicity code on the client secondary ethnicity table.</p> <p>“American Indian or Alaska native” is set to “yes” when either of these code values is “Alaska Native” (820) or “American Indian” (821), otherwise it is set to “no.”</p> <p>“Asian” is set to “yes” when either code is “Asian Indian” (822), “Cambodian” (824), “Chinese” (825), “Filipino” (827), “Japanese” (831), “Korean” (832), “Laotian” (833),</p>	

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	<p>“Hmong” (835), “Vietnamese” (838) or “other Asian” (5922), otherwise it is set to “no.”</p> <p>“Black or African American” is set to “yes” if either code is “black” (823) or “Ethiopian” (826), otherwise it is set to “no.”</p> <p>“Native Hawaiian or other Pacific islander” is set to “yes” if either code is “Guamanian” (828), “Hawaiian” (829), “Polynesian” (836), “Samoan” (837) or “other Pacific islander” (5923), otherwise it is set to “no.”</p> <p>“White” is set to “yes” if either code is “white” (839), “white – Armenian” (840), “white – Central American” (841), “white – European” (842), “white – Middle Eastern” (843) or “white – Romanian” (844), otherwise it is set to “no.”</p> <p>“Unable to determine” is set to “yes” if the primary ethnicity code is “unable to determine” (6351) and the “ethnicity unable to determine reason” field is “abandoned” (a), “incapacitated” (i) or “client doesn’t know” (k). It is also set to “yes” if the primary ethnicity code is “declines to state” (6352) or if the “infant safely surrendered” indicator is “y.”</p> <p>The logic incorrectly sets the value “unable to determine” to “yes” when only Hispanic values have been entered into the ethnicity fields. If the case worker selects “Hispanic” in the primary ethnicity box, and no secondary “ethnicity” (race) selected, FC element #8 must be mapped to blanks. If Hispanic is the primary race and another race is selected as a secondary race, the secondary race should be mapped in #8.</p> <p>If no ethnicity codes are found the value of child race is set to blank.</p> <p>The program code must be modified to set the race values to blank if the value “client doesn’t know” is selected.</p> <p>As noted above in the screen section, the program code needs to be modified to make a distinction on whether to report a child as Safe Haven and the information is not known versus situations where the parent may have provided the information and it is entered into the system.</p> <p><u>Post-Site Visit Program Code Modifications</u> The program code was modified and no longer will set the race fields to “unable to determine” if the only selection is “Hispanic.” The race fields will now be set to blank.</p>	

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	The value "k, client doesn't know" is no longer included in the routine to set this element to "unable to determine." If it is selected, it will be blank.	
<p>9. Child's Hispanic or Latino Ethnicity</p> <p>1 = Yes 2 = No 3 = Unable to Determine</p> <p><u>Requirements</u> Answer "yes" if the child is of Mexican, Puerto Rican, Cuban, Central or South American origin, or a person of other Spanish cultural origin regardless of race. Whether or not a person is Hispanic or Latino is determined by how they define themselves or by how others define them. In the case of young children, parents determine the ethnicity of the child.</p> <p>"Unable to Determine" is used because the child is very young or is severely disabled and no person is available to determine whether or not the child is Hispanic or Latino. Also used if the parent, relative or guardian is unwilling to identify the child's ethnicity.</p>	<p><u>Screen:</u> Client Services/Case/Summary ID tab - Section: Race/Ethnicity There is a section "Hispanic or Latino Origin." The choices are Yes, No, Decline to State, and Unable to determine. This field also has a field to identify the reason for the selection "unable to determine" with the same options noted in FC8.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> Yes = 38,410 (53%); No = 29,272 (40%); Unable to determine = 2,662 (4%); Not reported = 2,170 (3%)</p> <p><i>Case File Findings (n=77):</i> 4 (5%) of the records analyzed did not match what was reported in AFCARS. In two error cases, the response should have been "no" instead of "yes." In one error case, the response should have been "yes" instead of "no." In one error case, the response should have been "no" instead of "unable to determine."</p> <p><u>Program Code</u> The child's Hispanic or Latino ethnicity is mapped using the same two ethnicity tables used for race but also looks at the Hispanic code on the client table. This element is set to "yes" if any of the ethnicity codes is "Hispanic" (830), "Caribbean" (3162), "Central American" (3163), "Mexican" (3164), or "South American" (3165). It is also set to "yes" when the Hispanic code on the client record is "y" and to "no" if it is "n."</p> <p>If the Hispanic code is "u, undetermined" "z, unable to determine" or "d, decline" and the "ethnicity unable to determine reason" is "child abandoned" (a), "incapacitated" (i) or "client doesn't know" (k), the Hispanic or Latino origin is set to "unable to determine." It is also set to "unable to determine" if the Hispanic code is "d" and the "child safely surrendered" indicator is "y." If none of these conditions are met the field is set to blank.</p> <p>The program code must be modified to set this field to blank if "client doesn't know" is selected.</p> <p><u>Post-Site Visit Program Code Modifications</u> The program code was modified and no longer checks for the value "undetermined" and "K, client does not know" when setting "unable to determine." The code now checks if "z, unable to determine" or "d, decline" and the "ethnicity unable to determine reason" is "child abandoned" (a), "incapacitated" (i). Or if the response is neither "yes" or "no" and the "safe haven" indicator is "yes," then the element will be</p>	<p>2 3</p>

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	set to "unable to determine." The value for "client doesn't know" was also removed in the second routine that sets this element to "unable to determine."	
<p>10. Has the Child Been Clinically Diagnosed with a Disability(ies)? 1 = Yes 2 = No 3 = Not Yet Determined</p> <p><u>Requirements</u> "Yes" indicates that a qualified professional has clinically diagnosed the child as having at least one of the disabilities listed below.</p> <p>"No" indicates that a qualified professional has conducted a clinical assessment of the child and has determined that the child has no disabilities.</p> <p>"Not Yet Determined" indicates that a clinical assessment of the child by a qualified professional has not been conducted.</p> <p><u>Checklist</u> Does the agency have a policy regarding a timeframe for medical and psychological evaluations? If so, does the program code map this element to blank after some reasonable timeframe if no information has been entered into the system?</p> <p>Does the information system contain this as a question? If not, how is this information extracted for AFCARS? What information in the system is used to determine if the child has had a health exam and was diagnosed with a condition that is to be mapped to AFCARS?</p> <p>Does the information system contain a module for health information? Is this where the AFCARS information is collected? Is the extraction code checking this section of the system? Are there other modules that collect similar information (such as observed behaviors) that may be confused with diagnosed disabilities?</p> <p>Is there a date associated with when the child was diagnosed with a condition? If not, how does the agency ensure the accuracy of subsequent submissions?</p>	<p><u>Screen: Health Notebook</u> There are several tabs in this section and one is "Summary." It is on this screen there is a field "Has this child been clinically diagnosed with a disability?" The response options are "yes," "no," and "not yet determined." The agency should change the wording of the question to diagnosed conditions as more than determined disabilities are recorded.</p> <p>The state team indicated that it is not required to enter a diagnosed condition when the diagnosed condition indicator is set to "yes". The disability radio buttons (screen shot) are not tied to the diagnosed condition tab. You can select any of the three radio buttons regardless of what is entered on the diagnosed condition page.</p> <p><u>Screen: Diagnosed Condition</u> In the Condition section, there is a field "category." One of the options is "No known health condition."</p> <p><u>Data Quality</u> The State's policy is that within 30 days of entering foster care a child is to have "well-child" exams.</p> <p><i>2014B Frequency Report (n=72,514): Yes = 35,414 (49%); No = 28,187 (39%); Not Yet determined = 2,226 (3%); Not reported = 6,687 (9%)</i></p> <p><i>Test Cases:</i> There were several errors for this element; some may be data entry errors. Also, there were cases that have inconsistent information in relation to other elements.</p> <p><i>Case File Review Findings (n=77):</i> 28 (36%) of the records analyzed did not match what was reported in AFCARS. Three of the error cases were Probation. There were seven child welfare cases reported as blank. Of these seven, there were five that should have been reported as "no" and one should have been "yes." One of the cases should have been "not yet determined." Also, there were three cases reported as "not yet determined" but the child had been seen by a health care professional and the child did not have any conditions reportable to AFCARS. In the probation error cases each was reported as blank. Two of them should have been "yes" and the third reported as "no."</p>	3

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	<p><u>Program Code</u>            Instead of first checking the summary screen and the field with the question regarding a diagnosed condition, the program code sets this element based on whether any of elements #11 – 15 are set to “yes.” If there is any, then element #10 is set to yes. After doing this step, the program code checks for the disability code from the child’s client record and if it is “y,” this element is set to “yes.” If it is “n,” it is mapped to “no” and if it is “d,” it is set to “not yet determined.” Any other value including missing data is set to null.</p> <p>There is no logic to check for the length of time the child has been in care and this element is still “not yet determined.” Modify the program code to check for this after a child has been in care for a determined amount of time. As noted above, the agency policy is for a health exam within 30 days of entering care. By 60 days, this field should be updated.</p> <p><u>Post-Site Visit Program Code Modifications</u>            The program code was modified regarding the value “no condition.” It appears the modification is an attempt to deal with the confusion introduced by mapping “diagnosed condition” both from the “diagnosis indicator” (set from the disability code from the client record) and the presence or absence of a particular disability. The new logic checks to see if the disability code from the system indicates the presence of a diagnosis active during the report period (base on condition beginning and ending dates) and if so the “nocond flag” (mapped from the disabilities) is ignored and element #10 is mapped to “yes.” Previously a “nocond flag” of “y” would have trumped the system’s “diagnosed disability code.” The logic would seem much cleaner if they used only the code from the system for the diagnosed disability value and did not also try to derive it from the conditions.</p> <p>Also, corrections were made to the conditions checked to determine if this element is to be set to “yes” based on changes noted for elements 11-15. However, as noted in FC11-15, not all changes were made and some items noted for exclusion are still included.</p> <p>The program code was modified to include a check for length of time in foster care. If the child has been in foster care for more than 45 days, this element will be set to blank.</p> <p>This element rating was changed to a 2 due to the case file, test deck, and the screen findings. The corrections to the extraction code partially address the reporting of this</p>	

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	<p>element. The system needs to relate the screen with the question of a child having a diagnosis with the screen where the case worker records the child's diagnosed conditions. If the user selects "yes," the child has a diagnosis, then the system should require the worker to go to the screen where diagnoses are entered. Also, there should be a system edit that if a diagnosis is entered but anything other than "yes" was selected; it would generate an error message.</p> <p>While the frequency for "not yet determined" does not appear to be an issue, the agency should incorporate a means to monitor the completeness of this element. As noted in the case file review, there were errors where the child had been in foster care for six months or more and the response in AFCARS was "not yet determined." This should be remedied in part by the change in the extraction code. Supervisors should review and checking that the information is current and complete. Since health information is also to be part of the case plan, it is important that this information is accurate.</p>	
<p>General Information for 11 - 15 0 = Condition Does Not Apply 1 = Condition Applies</p>	<p><u>Screen:</u> Client Services/Health Notebook/Diagnosed Condition Tab There are several tabs in this section and one is for "Diagnosed Conditions." There is a field to record "Onset Date/First Visit." There also is field for an end date. There is a section "Condition" with fields for category (dropdown list) and health problems.</p> <p>There are four options in the category list: behavioral, emotional, physical health, and no health condition.</p> <p>In the field "health problem," there are several items listed that are not diagnoses. Since this tab is for "Diagnosed Conditions," actual diagnoses and not characteristics should be listed.</p>	
<p>11. Mental Retardation</p> <p><u>Requirements</u> Significantly subaverage general cognitive and motor functioning existing concurrently with deficits in adaptive behavior manifested during the development period that adversely affect a child's/youth's socialization and learning.</p>	<p><u>Screen:</u> Diagnosed Condition Tab; Category: Physical Health</p> <p><u>Data Quality</u> <i>Case File Review Findings (n=77):</i> One error case. The child was diagnosed with a cognitive developmental delay.</p> <p><u>Program Code</u> If the condition code is one that maps to mental retardation and the diagnosed indicator is "y" and the condition start and end dates indicate the condition was active at any time during the reporting period then element #11 is set to "yes, applies." Otherwise it is set to "no."</p> <p>The condition codes for mental retardation are: "mentally retarded" (5402), "Down's</p>	2

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	<p>syndrome” (3111) and “water on the brain/Hydrocephalus). The condition “microcephalus” was not on the screen. Should a child who is in foster care have that diagnosis, it would be mapped to this element.</p> <p>The agency needs to add a value that will distinguish a developmental delay that is cognitive. There also is the condition “Other Developmental/Functional Limitation” that needs to be mapped to this element if the limitation is cognitive.</p>	
<p>12. Visually or Hearing Impaired</p> <p><u>Requirements</u> Having a visual impairment that may significantly affect educational performance or development; or a hearing impairment, whether permanent or fluctuating, that adversely affects educational performance.</p>	<p><u>Screen:</u> Diagnosed Condition Tab; Category: Physical Health</p> <p><u>Data Quality</u> Case File Review Findings (n=77): 5 (7%) of the records analyzed did not match what was reported in AFCARS. One record was Probation. In one the child wore glasses.</p> <p><u>Program Code</u> If the condition code is one that maps to visually or hearing impaired and the diagnosed indicator is “y” and the condition start and end dates indicate the condition was active at any time during the reporting period then element #12 is set to “yes, applies.” Otherwise it is set to “no.”</p> <p>The condition codes for visually and hearing impaired are: blind (5665), blind/visual impairment (0389), crossed eyes-Strabismus (3140), deaf (5676), esotropia (5684), exotropia (5685), deaf/hearing impairment (0391), hearing impairment (5677), and visual impairment (5666). Crossed eyes-Strabismus, Estropia and extropia are not to be mapped to AFCARS.</p> <p>The conditions “blind/visual impairment,” “deaf/hearing impairment” are no longer active options on the screen.</p> <p><u>Post-Site Visit Program Code Modifications</u> The following conditions have been removed from the extraction for this element: “crossed eyes-Strabismus” (3140), estropia and extropia.</p>	<p>2 3</p>
<p>13. Physically Disabled (Child)</p> <p><u>Requirements</u> A physical condition that adversely affects the child’s day-to-day motor functioning, such as cerebral palsy, spina bifida, multiple sclerosis, orthopedic impairments, and other physical disabilities.</p>	<p><u>Screen:</u> Diagnosed Condition Tab; Category: Physical Health This category is missing developmental delay where there is motor impairment.</p> <p><u>Data Quality</u> <i>Case File Review Findings (n=77):</i> One record analyzed did not match what was reported in AFCARS.</p>	<p>2</p>

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	<p><u>Program Code</u> If the condition code is one that maps to physically disabled and the diagnosed indicator is “y” and the condition start and end dates indicate the condition was active at any time during the reporting period then element #13 is set to “yes, applies.” Otherwise it is set to “no.”</p> <p>The condition codes that are mapped to physically disabled are: arthritis (5662), cerebral palsy (3102), Huntington’s disease (5691), muscular dystrophy (5704), multiple sclerosis (5703), non-ambulatory (0400), scoliosis (3138), orthopedically handicapped (5403), physiologically disordered (5405), and spina bifida (5726).</p> <p>The following should not be mapped to AFCARS: non-ambulatory (map the actual diagnosed condition), scoliosis (if it affects activity of daily living, then map it), orthopedically handicapped, and physiologically disordered.</p> <p><u>Post-Site Visit Program Code Modifications</u> The conditions non-ambulatory and scoliosis have been removed from the extraction code.</p> <p>The agency needs to add a value that will distinguish a developmental delay that is motor. There also is the condition “Other Developmental/Functional Limitation” that needs to be mapped to this element if the limitation is motor.</p>	
<p>14. Emotionally Disturbed (DSM- IV)</p> <p><u>Requirements</u> A condition exhibiting one or more of the following characteristics over a long period of time and to a marked degree: An inability to build or maintain satisfactory interpersonal relationships; inappropriate types of behavior or feelings under normal circumstances; a general pervasive mood of unhappiness or depression; or a tendency to develop physical symptoms or fears associated with personal problems. The term includes persons who are schizophrenic or autistic. The term does not include persons who are socially maladjusted, unless it is determined that they are also seriously emotionally disturbed.</p>	<p><u>Screen:</u> Diagnosed Condition Tab; Category: Behavioral and Emotional The items listed for the category “behavioral” are mostly behaviors and not diagnosed conditions.</p> <p>The agency needs to add a diagnosis of depression to the list of diagnosed conditions.</p> <p><u>Data Quality</u> <i>Case File Review Findings (n=77):</i> 12 (16%) of the records analyzed did not match what was reported in AFCARS. Two of the records were Probation. Most of the responses should have been “applies.” In several of the cases, FC15 was incorrectly reported as “applies.”</p> <p><u>Program Code</u> If the condition code is one that maps to emotionally disturbed and the diagnosed indicator is “y” and the condition start and end dates indicate the condition was active at any time during the reporting period then element #14 is set to “yes, applies.”</p>	2

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	<p>Otherwise it is set to "no." There are several conditions mapped to this element. The ones listed below are incorrectly mapped to this element and should not be included.</p> <p>337 = Depressed and/or withdrawn  357 = Sets Fires  359 = Suicidal (discusses plans)  360 = Suicidal (has attempted)  361 = Suicidal (Self-Destructive Behavior)  365 = Violent or Harmful Toward Self  373 = Hallucinates, Delusions/Bizarre Thgths  377 = Other Client Emotional Condition  378 = Psych Hospitalization (Current/Past)</p> <p>Identify what "380, SED &amp; requiring out of home placement" means.</p> <p><u>Post-Site Visit Program Code Modifications</u>  The conditions depressed and/or withdrawn, sets fires, violent or harmful toward self, hallucinates, delusions/bizarre thoughts, other client emotional condition, psych hospitalization (Current/Past) have been removed for the mapping of this element.</p>	
<p>15. Other Medically Diagnosed Conditions Requiring Special Care</p> <p><u>Requirements</u>  Conditions other than those noted above which require special medical care such as chronic illnesses. Included are children diagnosed as HIV positive or with AIDS.</p>	<p><u>Data Quality</u>  <i>Case File Review Findings (n=77):</i> 17 (9%) of the records analyzed did not match what was reported in AFCARS. Three of the error cases were Probation. In most of the cases the response should have been "does not apply."</p> <p><u>Program Code</u>  If the condition code is one that maps to other medically diagnosed conditions requiring special care and the diagnosed indicator is "y" and the condition start and end dates indicate the condition was active at any time during the reporting period then element #15 is set to "yes, applies." Otherwise it is set to "no."</p> <p>There are several conditions mapped to this element. The screen contains the option "autism" but it is not currently mapped to any category. Map it to this element. Also, if there are children with the diagnosis of Asperger's Syndrome, it too would be mapped to this category.</p> <p>How is HIV/AIDS recorded in the system? Neither are being mapped to this element.</p> <p>The items listed below are incorrectly mapped to this element and should be excluded.</p>	2

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	<p>387 = Apnea Equipment, 388 = Asthma, 396 = Bedwetting / Enuresis, 398 = Medical Equipment/Procedures Required, 404 = Severe Deficits In Self-Help Skills, 3095 = Anemia, 3113 = Heart Murmur, 3118 = Hepatitis, 3143 = Tuberculosis, 5670 = Burns, 5678 = Dermatitis, 5682 = Eczema, 5699 = Medical Equipment Required, 5701 = Medical Procedures Required, 5711 = Phimosis.</p> <p><u>Post-Site Visit Program Code Modifications</u> The items listed above were removed from the mapping of this element.</p>	
<p>16. Has this Child Ever Been Adopted?</p> <p>1 = Yes 2 = No 3 = Unable to Determine</p> <p><u>Requirements</u> If this child has ever been legally adopted, enter “yes.” If the child has never been legally adopted, enter “no.” Enter “Unable to Determine” if the child has been abandoned or the child’s parent(s) are otherwise not available to provide the information.</p> <p><u>Checklist</u> This question should only be answered “yes” if child has been adopted before the current/most recent removal episode. This is to be a question the worker responds to and not a system-created response.</p> <p>The information system must be able to report the information regardless of whether the adoption was public or private.</p> <p>The system must be able to report the information regardless of whether the adoption was in-State/within the Tribal service area or in another State, country, or by another Tribe, as applicable for State and Tribal reporting title IV-E agencies.</p> <p>Does the system have the capacity to collect the information that must be reported under section 422(b)(12) of the Act? This section of the Act relates to inter-country adoptions and requires title IV-E agencies to identify the number of children who were adopted from other countries and entered into custody of the title IV-E agency, the reasons for the disruptions or</p>	<p><u>Screen:</u> Client Services/Case/Demog. tab - Previously Adopted Section The options are Yes, No, and Unknown.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> Yes = 1,089 (2%); No = 55,402 (76%); Unable to determine = 10,224 (14%); Not reported = 5,799 (8%)</p> <p><i>Case File Review Findings (n=77):</i> 24 (31%) of the records analyzed did not match what was reported in AFCARS. Four of the error cases were Probation. The majority of the errors had a reported response of “unable to determine” but the reviewers were able to determine from the file that the child had not been previously adopted. In eight error cases, the field was reported as blank and the reviewer found the information.</p> <p>The State needs to ensure that workers answer this question for all types of adoptions, whether they are private or public, or within State or not.</p> <p><u>Program Code</u> Element #16 is mapped from the previous adoption code in the child’s client data. A code of “y” is mapped to “yes,” “n” is mapped to “no,” “u” is mapped to “unable to determine” and any other value, including missing data, is mapped to blank.</p>	3

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>dissolutions, the permanency plan for the children, and identify the agencies that handled the placement or adoption. Title IV-E/B agencies are currently required to provide this information in the Five-Year Child and Family Services plan, and annually in the Annual Progress and Services Report.</p>		
<p>17. If Yes, How Old was the Child when Adoption was Legalized?</p> <p>0 = Not Applicable 1=less than 2 years old 2=2-5 years old 3=6 to 12 years old 4=13 years or older 5 = Unable to Determine</p> <p><u>Requirements</u> Enter the number which represents the appropriate age range. If uncertain, use an estimate.</p> <p>If no one is available to provide the information, enter "Unable to Determine."</p> <p><u>Checklist</u> The response "not applicable" is only used if the child is known to have not been previously adopted (response to element #16 is "no").</p> <p>If the child was previously adopted, but the age is unknown, this element must be left blank. An estimated age can be used to complete this field by the caseworker.</p>	<p><u>Screen:</u> Client Services/Case/Demog. tab - Previously Adopted Section There is a field for age at adoption.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> Not applicable = 55,402 (76%); Unable to determine = 10,224 (14%); Age Categories = 1089</p> <p><i>Case File Review Findings (n=77):</i> 24 (31%) of the records analyzed did not match what was reported in AFCARS. Four of the error cases were Probation. See notes in FC16.</p> <p><u>Program Code</u> If the previous adoption indicator is "y," the program code checks the field for age. Ages are mapped to applicable AFCARS age category.</p> <p>If the previous adoption indicator is "n," this element is set to "not applicable."</p> <p>If the previous adoption indicator is "u," this element is set to "unable to determine."</p> <p>Any other value, including missing data, is set to blank.</p>	3
<p>Removal Episodes</p> <p><u>Requirements</u> The removal of the child from his/her normal place of residence resulting in his/her placement in a foster care setting.</p> <p>A removal is either the physical act of a child being taken from his or her normal place of residence, by court order or a voluntary placement agreement and placed in a substitute care setting, or the removal of custody from the parent or relative guardian pursuant to a court order or voluntary placement agreement which permits the child to remain in a substitute care setting (CWPM, 1.2B.7, Question #7).</p>	<p><u>Screen:</u> Client Services, <i>Placement Notebook</i>, Removal Info tab/Identification Under the section "Case Info" there are fields for start, end, and projected end. There is a date field for the effective date and one for the end date in the section Case Status.</p> <p><u>Data Quality</u> As noted in GR1 there are some counties in which the judge will order dual custody between child welfare and probation. While other county judges will dismiss one agency and give custody to the other agency.</p>	
<p>18. Date of First Removal from Home</p>	<p><u>Data Quality</u></p>	2

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p><u>Requirements</u> [The] Month, day and year the child was removed from home for the first time for the purpose of placement in a foster care setting. If the current removal is the first removal, enter the date of the current removal. For children who have exited foster care, “current” refers to the most recent removal episode.</p> <p><u>Checklist</u> The information system must include historical information, including information from a legacy system (or paper file).</p> <p>Children whose only placement during the report period is “runaway” are to be included in the reporting population (CWPM, 1.2B.7 #24).</p>	<p><i>2014B Frequency Report (n=72,514):</i> There are five records with years between 1988 and 1992.</p> <p><i>Case File Review Findings (n=77):</i> 9 (12%) of the records analyzed did not match what was reported in AFCARS. Seven of the error cases were Probation. In one of the child welfare error cases, the date reported for this element was incorrect because the child was initially placed in a hospital prior to entering a foster care setting. In the probation cases the majority of errors were related to the program code incorrectly reporting FC18 as the date the agency received custody of the child who was initially placed in Juvenile Hall. The date should have been the date the child was placed in a setting within the scope of title IV-E. There was one error case that the date reported was not reflective of the history with Probation but the first removal date was an episode where the child was in the child welfare agency’s responsibility for placement and care.</p> <p><i>Test Cases:</i> The agency provided screen shots of the test cases. There is one case the federal team would like to discuss.</p> <p><u>System</u> If a child exits foster care as a result of an adoption but re-enters foster care at a later time, the system must allow the entry of the case in a way that will allow the extraction code to identify the prior removal history.</p> <p><u>Program Code</u> The first removal is selected from the bridged placement (removal) episode table sorted by removal date in order to find the oldest. This file is linked to the out-of-home placement file to get the dates of all placements in the removal episode.</p> <p>There are codes referenced in logic for the non-foster care placement file that the federal team has not received their translation (6363, 6364, 6365, 6366 and 6367). The agency needs to send a complete code dictionary that the federal team can review.</p> <p>If a child exits foster care as a result of an adoption but re-enters foster care at a later time, the date for this element is to reflect the first ever removal not the first removal episode after the adoption. The State must modify the system in a way that will allow the extraction code to identify the prior removal history.</p> <p>&gt; <i>Children on runaway status at the time the agency obtained responsibility for</i></p>	

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>If the first-ever removal from home is an episode that was 24-hours or less in duration, the date of that episode is never included as a first removal date.</p> <p>If in the first-ever removal the child's first placement was a detention facility or a hospital and the child subsequently enters a foster care setting within the scope of title IV-E, the date of the foster care placement is to always be the first removal from home date.</p>	<p><i>placement and care and who are still on runaway status at the end of the report period.</i> The agency is not correctly identifying and reporting information on these records (see GR1). The state's case management system does not have a placement status of runaway. Instead if a child runs away from a setting, then "runaway" is entered as a placement ending reason; never as the child's current living arrangement. Consequently, the extraction code cannot identify records of children who begin the removal episode with a status of "runaway." See FC41 regarding the need to add runaway as living arrangement. Modify the program code to check if the child's first removal episode began with a living arrangement status of "runaway." The record is to be included and the date the agency either physically removed the child or if the child was court ordered into the agency's responsibility for placement and care is to be reported for FC18.</p> <p>&gt; <i>Removal episodes of 24 hours or less in duration.</i> The agency is not correctly identifying removal episodes that are 24 hours or less in duration. (See the findings in GR5.) The program code must be modified to check whether the first episode is one that was more than 24 hours and if so, report it for FC18. During the post site phase, the agency submitted a proposed approach to address whether a removal episode is 24 hours or less in duration. The agency used the term "placement." If placements are being used to determine whether the episode is 24 hours or less, then there should be only one placement location.</p> <p>The agency utilizes "23-hour Assessment Centers." In general, these centers are used to assess a child to determine the most suitable placement location. While these are not intended to be a placement, it is possible the child may spend the night. If this is the case, and if the child is in out-of-home care for more than 24 hours, the initial removal from home date is to be reported as the child's removal date (FC18 and 21) and this is considered the child's first placement and is to be included in the count reported in FC24.</p> <p>&gt; <i>First removal episode with the initial placement as a detention facility or a hospital -</i> It was determined that while this situation is correctly identified if it is the current removal episode (FC21), the logic was not carried through for re-entry into foster care. The program code is to check if the first removal began with a hospital or locked placement and if so, check if there is foster care setting that is within the scope of title IV-E following the hospital/locked placement. If one is found, the start date of that placement is the date of first removal.</p> <p>The state team indicated they are not combining the removal episodes of DSS and</p>	

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	<p>the Probation title IV-E cases if the child was known to both agencies at anytime in the child's life. However, the agency needs to re-evaluate the extraction code to ensure this is the case. There was one probation case in case file review sample that incorrectly included a first removal from home date when the child was in the child welfare agency's responsibility for placement and care. The removal history for DSS cases are to only include the involvement DSS had with the child. The probation cases are to include the probation agency's involvement with the child; the two are not to be mixed. A child in the joint custody of DSS and probation is to be reported under the responsibly of the child welfare agency.</p>	
<p>19. Total Number of Removals from Home To Date</p> <p><u>Requirements</u> The number of times the child was removed from home, including the current removal.</p> <p><u>Checklist</u> The information system must include historical information, including information from a legacy system (or paper file).</p>	<p><u>System</u> If a child exits foster care as a result of an adoption but re-enters foster care, the system must allow the entry of the case in a way that will allow the extraction code to identify the prior removal history.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> There are 55,275 records with only 1 removal episode. However, FC20 has 55,279 records as blank. The agency needs to investigate what is the cause of this error.</p> <p><i>Case File Review Findings (n=77):</i> 3 (4%) of the records analyzed did not match what was reported in AFCARS. All the errors were in the Probation records. In two of the error cases, the number of removals included both child welfare and probation.</p> <p><u>Program Code</u> The program counts the number of unique removal records found for the child on the placement episode table.</p> <p>There is no logic to exclude removal episodes 24 hours or less in duration (see GR5). The agency submitted a proposed approach to address whether a removal episode is 24 hours or less in duration. The agency used the term "placement." If placements are being used to determine whether the episode is 24 hours or less, then there should be only one placement location in the determination of whether the episode is to be counted in the removal total.</p> <p>There is logic in the program while it is building the file of all out of home placements to "bridge" records that start and end on the same day. This issue was discussed and addressed as part of the State's first AIP. Records that have an end date as well as a start date on the same day cannot be combined. These may very well be cases that are to be treated as two separate removal episodes.</p>	2

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	<p>If there is a removal episode in which the only placement was a detention facility or a hospital, check the extraction to verify that these episodes are never included in the extraction of the number of removal episodes. This is a change that is required for the probation cases.</p> <p>The state team indicated they are not combining the removal episodes of DSS and the Probation title IV-E cases if the child was known to both agencies at any time in the child's life. However, the agency needs to re-evaluate the extraction code to ensure this is the case. There was one probation case in case file review sample that reflected a combining of the two agency's removal information.</p> <p>If a child exits foster care as a result of an adoption but re-enters foster care at a later time, the extraction code must identify the prior removal history and report the total number of removals; both before and after the adoption.</p>	
<p>20. Date Child was Discharged from Last Foster Care Episode</p> <p><u>Requirements</u> For children with prior removals, enter the month, day and year they were discharged from care for the episode immediately prior to the current episode.</p> <p>For children with no prior removals, leave this field blank. If foster care element #19 is <math>\geq 2</math>, then this field must not be blank.</p> <p>If this field is not blank, it must be a date prior to foster care element #21 (Date of Latest Removal From Home).</p> <p><u>Checklist</u> The date of discharge must reflect the date the agency no longer has care, placement, or supervision of the child.</p> <p>The information system must include historical information, including information from a legacy system (or paper file).</p> <p>Must not include the date the child entered a "trial home visit."</p> <p>If there was a prior removal episode that was 24-hours or less, and the child later re-enters foster care, the end date of the previous 24-hour episode is not to be reported for this element.</p>	<p><u>System</u> If a child exits foster care as a result of an adoption but re-enters foster care at a later time, the system must allow the entry of the case in a way that will allow the extraction code to identify the prior removal history.</p> <p><u>Data Quality</u> <i>Case File Review Findings (n=77):</i> 4 (5%) of the records analyzed did not match what was reported in AFCARS. Three of the cases were Probation.</p> <p><u>Program Code</u> The program selects all removal episodes where the removal date is less than the report period end date. It then takes the most recent (based on placement (removal count) and uses the previous record's discharge date as the date the child was discharged from the last foster care episode. If there are no prior removals this field will be blank.</p> <p>See the findings in GR8 and FC56 regarding a child who is placed in the home of removal. The date that is reported for element 56 is to be the same date reported for FC20.</p> <p>Corrections that are required for the population selection excluding records of children whose prior removal (or only if applicable) was 24 hours or less in duration, an episode in which the only placement was a locked facility or a hospital setting should address incorrect reporting of this element. The agency needs to ensure that the program code for this element is addressed as it makes the other change.</p>	2

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>If the child's prior removal episode only contained a placement that was a hospital or detention (locked) facility, the end date of this episode is not to be reported for this element.</p>	<p>As previously noted, there are issues with the reporting of Probation cases. As those corrections are made, they should resolve issues noted for this element. The extraction logic needs to ensure that Probation title IV-E cases and DSS cases are treated separately.</p> <p>If a child exits foster care as a result of an adoption but re-enters foster care at a later time, the extraction code must identify the prior date of discharge, even if it is the episode that ended with an outcome of adoption.</p>	
<p>21. Date of Latest Removal from Home</p> <p><u>Requirements</u> Month, day and year the child was last removed from his/her home for the purpose of being placed in foster care.</p> <p><u>Checklist</u> This would be the date for the current episode or, if the child has exited foster care, the date of removal for the most recent removal.</p> <p>This date must be equal to or prior to foster care element #23 (Date of Placement in Current Foster Care Setting).</p> <p>The information system must include historical information, including information from a legacy system (or paper file).</p> <p>If a child is on runaway status at the time the IV-B/IV-E agency obtains responsibility for placement and care, the child is to be included in the AFCARS reporting population. If at the end of the report period the child is still on runaway status, the date of removal and placement date (foster care element #23) will be the same, element #41 will reflect "runaway," and the number of placements will be zero.</p>	<p><u>Screen:</u> Client Services, <i>Placement Notebook</i>, Identification</p> <p>Under the section "Case Info" there are fields for start, end, and projected end. There is a date field for the effective date and one for the end date in the section Case Status.</p> <p><u>Data Quality</u> <i>Case file review findings:</i> 11 (15%) of the records analyzed did not match what was reported in AFCARS. Seven of the error cases were Probation. The errors included wrong dates due to the initial placement being either detention or a hospital.</p> <p>All probation cases of youth who are in an out-of-home setting are entered in the state case management system and are included in the AFCARS foster care population (see GR1). This is incorrect. In regard to youth who are in the custody of the DJJ Probation office, only those youth who are eligible (and this includes receiving) for title IV-E funds per the agreement with DSS under 472(a)(2)(B)(ii) of the Act are to be included in the reporting population (see GR4). The AFCARS requirements pertaining to the start of a removal episode applies to this population as well.</p> <p>For those youth who are under dual care and placement responsibility, the child welfare agency is to report these records.</p> <p><u>Program Code</u> The latest removal date is selected from the bridged placement (removal) episode table sorted by removal date in order to find the most recent. This file is linked to the out-of-home placement file to get the dates of all placements in the removal episode. The removal dates previously selected are compared to records on the non-foster care placement table. See the notes for FC18 regarding the federal team needing the code dictionary.</p> <p><i>Children on runaway status at the time the agency obtained responsibility for placement and care and who are still on runaway status at the end of the report period.</i> As noted in GR1, the agency is not correctly identifying and reporting</p>	2

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>If the child's first placement was a detention (locked) facility or a hospital and then the child enters a foster care setting within the scope of title IV-E, the date of removal is the start date of this placement.</p>	<p>information on these records. If the current removal episode for a child began with the child being on runaway status, the date the agency either physically removed the child or if the child was court ordered the child into the agency's responsibility for placement and care is to be reported for FC21.</p> <p><i>If the child's first placement was a detention (locked) facility or a hospital and then the child enters a foster care setting within the scope of title IV-E, the date of removal is the start date of this placement. It appears that the program code may be correctly extracting the date of removal when the initial setting is a locked facility, it does not appear to be correct for when the first setting is a hospital. Due to the errors and inconsistencies in the test deck results, the program code appears to need corrections. Once the extraction code is corrected to properly identify Probation cases that meet the requirements of the title IV-E inter-agency agreement, as noted in GR4, many of the errors for this element will also be addressed.</i></p>	
<p>22. Removal Transaction Date</p> <p><u>Requirements</u> A computer-generated date which accurately indicates the month, day and year the response to "Date of Latest Removal From Home" was entered into the information system.</p>	<p><u>Program Code</u> The removal transaction date is set equal to the data entry date of the record selected for most recent removal date.</p>	4
<p>23. Date of Placement in Current Foster Care Setting</p> <p><u>Requirements</u> Month, day and year the child moved into the current foster home, facility, residence, shelter, institution, etc. for purposes of continued foster care.</p> <p>The date must not change when there is a change in the status of the same placement setting (e.g., a foster home that becomes a pre-adoptive home) (CWPM, 1.2B.7, Question #1, #17, and #19).</p> <p>The agency must indicate the date the child was returned home while still in the agency's responsibility for placement and care (CWPM, 1.2B.7, Question #23).</p> <p>The agency must indicate the date the child ran away from a placement (CWPM, 1.2B.7, Question #23).</p> <p>If a child's only "placement" in the removal episode is as a "runaway," then the date of removal and placement date will be the same (CWPM, 1.2B.7,</p>	<p><u>Screens</u> <i>Placement Notebook/ID tab – Identification and Approval</i> This screen documents the foster home placement settings. Additionally, the rationale for selecting the home is documented as well as proximity to the child's school and whether siblings were placed together.</p> <p><i>Non-foster Care Placement tab</i> This screen has a date field and a drop-down list for the Facility Type. The options are: Assessment Center, Drug Rehabilitation Center, Juvenile Camp/Ranch, Juvenile Hall, Medical Facility, Psychiatric Facility, Regional Center, Runaway Shelter, School Housing (Dormitory), and Other.</p> <p><i>End Placement/Episode Tab</i> The "end placement/episode" tab on the "placement notebook" contains a field for the placement end date and the placement change reason. When a child is placed back into the home of removal while the agency maintains responsibility for placement and care, this is entered as a placement change reason.</p>	2

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>Question #24).</p> <p>In regard to institutions with several cottages on their campus, the agency is not to change the date when a child moves from one cottage to another. Only report a change in the date of placement if the site is at a different address (CWPM, 1.2B.7, Question #25).</p> <p><u>Checklist</u></p> <p>Does the information system or the title IV-E agency's method of collecting data, contain all locations the child has resided since the agency removed the child or received responsibility for placement and care?</p>	<p><u>Data Quality</u></p> <p><i>2014B Frequency Report (n=72,514):</i> There are 117 records reported with invalid information.</p> <p><i>Case file review findings:</i> 11 (15%) of the records analyzed did not match what was reported in AFCARS. Four of the error cases were Probation. Issues in the child welfare cases were due to dates of placement being later than the date of removal but the placement count reported, and supported by the reviewer notes, was only one. The reported date should have been the same date as the removal date. In three of the error cases, the date reported as the placement date in AFCARS was before the reported date of removal. Two of these the date of removal reported in AFCARS was correct.</p> <p><u>Program Code</u></p> <p>The program code selects all the child's out-of-home placement records for the current removal episode.</p> <p>As noted in GR1 and FC41, the state's case management system does not have a placement status of runaway. Instead if a child runs away from a setting, then "runaway" is entered as a placement ending reason; never as the child's current living arrangement. The program code first checks the most recent placement for a placement change reason code of "child ran away from placement" (1431) or "trial home visit" (1440). If either is found the current placement date is set equal to the end date of the previous placement record.</p> <p>If a child's only "placement" in the removal episode is as a "runaway," then the extraction code cannot identify records of children who begin the removal from a status of "runaway." The option of runaway needs to be added as living arrangement in order to adequately track the child's living arrangement status at all times.</p> <p>In regard to "trial home visit" practice varies across the State. In some counties if the child is returned to the home of removal without care and placement being dismissed by the court, and if a need arises that requires the child to be placed back in foster care, the agency is required to obtain a new court order that vacates the prior court order. For this group, the child would be reported as discharged at the time the agency received a new court order. In other counties this is not the situation and the agency is able to bring the child back into foster care. For this group, the child would continue to be in the AFCARS foster care population until the agency is dismissed of placement and care responsibility. The code does appear to reset to the original</p>	

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	<p>placement date for when a child returns to the same setting after a runaway or a “trial home visit.”</p> <p>If after checking for a placement exit of runaway or “trial home visit” neither is found, this element is set to the placement start date.</p> <p>Once the Federal team and State team discuss how many days for hospital stay the code will need to be modified.</p> <p>In regard to institutions with several cottages on their campus, the agency is not to change the date when a child moves from one cottage to another. Only report a change in the date of placement if the site is at a different address (CWPM, 1.2B.7, Question #25).</p> <p>In the cases reviewed, there were records in which the date of placement preceded the date of removal. The agency needs to determine if this is a result of the bridging logic or some other cause.</p> <p>The agency submitted a proposed approach to address whether a removal episode is 24 hours or less in duration (see GR5). The agency indicates: The Placement Notebook&gt;ID Page shall carry a control to indicate that a Placement Start Date and End Date is less than a 24 hour period.” The agency needs to clarify that what is being referenced is a removal episode and not a placement. If placements are being used to determine whether the episode is 24 hours or less, then there should be only one placement location. Also, note that the length of a placement is not a criteria for whether it should be include or not.</p> <p>The agency utilizes “23-hour Assessment Centers.” In general, these centers are used to assess a child to determine the most suitable placement location. While these are not intended to be a placement, it is possible the child may spend the night. If this is the case, and if the child is in out-of-home care for more than 24 hours, the initial removal from home date is to be reported as the child’s removal date (FC18 and 21) and this is considered the child’s first placement. If applicable, the start date for this setting may need to be included in the date for this element.</p>	
<p>24. Number of Previous Placement Settings During this Removal Episode</p> <p><u>Requirements</u> Enter the number of places the child has lived, including the current setting, during the current removal episode.</p>	<p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> There are 137 records reported with invalid information. There is one record with zero placement count. The range of number of placements is from 1 to 48.</p>	2

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>Placement occurs after removal and is the physical setting in which a child resides, that is, the resultant foster care setting. A new placement setting results when the foster care setting changes (for example, when a child moves from one foster family home to another or to a group home or institution) (CWPM, 1.2B.7, Question #7).</p> <p>The number of placements must not include a change in status of the same placement setting (e.g., a foster home that becomes a pre-adoptive home) (CWPM, 1.2B.7, Question #1, #17, and #19).</p> <p>There are certain temporary living conditions that are not placements, but rather represent a temporary absence from the child's ongoing foster care placement. As such, the title IV-E agency must exclude the following temporary absences from the calculation of the number of previous placement settings for foster care element #24.</p> <ul style="list-style-type: none"> <li>• Visitation with a sibling, relative, or other caretaker (e.g., pre-placement visits with a subsequent foster care provider or pre-adoptive parents)</li> <li>• Hospitalization for medical treatment, acute psychiatric episodes or diagnosis</li> <li>• Respite care</li> <li>• Day or summer camps</li> <li>• Trial home visits</li> <li>• Runaway episodes (CWPM, 1.2B.7, Question #21)</li> </ul> <p>The placement count must not include the return to the same foster care placement setting from a "trial home visit" (CWPM, 1.2B.7, Question #8, 9, 11, and 23).</p> <p>The placement count must not include return from runaway status and entry to the same placement setting (CWPM, 1.2B.7, Question #8, 9, 11, 23, and 24).</p> <p>If a child's only "placement" in the removal episode is as a "runaway," the placement count must be zero (CWPM, 1.2B.7, Question # 24).</p> <p>In regard to institutions with several cottages on their campus, the agency is not to count a move from one cottage to another. Only count the placement if the site is at a different address. (CWPM, 1.2B.7, Question #25).</p>	<p><i>Case File Review Findings (n=77):</i> 14 (19%) of the records analyzed did not match what was reported in AFCARS. Two of the error cases were Probation. In the majority of the error cases, the number of placements should have been less. Some of these are due to incorrectly including the initial placement in a hospital or a locked facility.</p> <p><u>System</u> The system has a field that reflects the number of placements for the child for the current removal episode. Based on discussions during the case review and findings of the AAR, it appears caseworkers are not entering some locations in order to not increment the number of placements. As previously noted, caseworkers must record in the electronic case file the location (paid/unpaid, "foster care," "non-foster care," camps, etc.) of the child so that the system shows where the child is at all time while in the agency's responsibility for placement and care.</p> <p><u>Program Code</u> It appears that the extraction code is using the counter on the screen (see notes above) and making additional adjustments. The program code should not use this field for AFCARS reporting. Instead, case workers are to enter all of the locations the child resides in while under the agency's placement and care. The program code is to identify the locations the child has been living in during the current removal episode and determine per the AFCARS requirements to report the number of placements for this element.</p> <p>One of the adjustments made in the extraction code is to not count placements that begin and end on the same day or placements where the provider number or home identifier is the same as the most recent previous placement. In regard to adjustments due to placements that start and end on the same day, it does not matter how long a placement lasts it is to be included. The program code is to be modified to include a placement regardless of how long it lasts.</p> <p>Once the federal and state team identify the number of days of a hospitalization in order to exclude it from the placement information, the program code will need to be modified.</p> <p>Once corrections are made to exclude the initial placement of locked a locked facilities by Probation, the placement count will be adjusted by not counting it as well.</p> <p>In regard to institutions with several cottages on their campus, the agency is not count</p>	

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	<p>the move(s) from one cottage to another.</p> <p>The program code is to initialize this element to blank. If a child's only "placement" in the removal episode is as a "runaway," the placement count must be zero (CWPM, 1.2B.7, Question # 24). See GR1, FC18 and 21 for additional notes.</p> <p>The agency utilizes "23-hour Assessment Centers." See previous notes in FC18 and 23. While these are not intended to be a placement, it is possible the child may spend the night. If this is the case, and if the child is in out-of-home care for more than 24 hours, this is considered the child's first placement and is to be included in the count reported in FC24.</p>	
<p>25. Manner of Removal from Home for Current Removal Episode 1 = Voluntary 2 = Court Ordered 3 = Not Yet Determined</p> <p><u>Requirements</u> Voluntary Placement Agreement—An official voluntary placement agreement has been executed between the caretaker and the agency. The placement remains voluntary even if a subsequent court order is issued to continue the child in foster care.</p> <p>Court Ordered—The court has issued an order which is the basis for the child's removal.</p> <p>Not Yet Determined—A voluntary placement agreement has not been signed or a court order has not been issued. This mostly will occur in very short-term cases. When either a voluntary placement agreement is signed or a court order is issued, the record should be updated to reflect the manner of removal at that time.</p>	<p><u>Screen:</u> Client Services, <i>Placement Notebook</i>, Identification There is a section "Status." The selections (radio buttons) are: Court Involvement and Voluntary. There is a date field for the effective date and one for the end date.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> Voluntary = 1,278 (2%); Court Ordered = 68,819 (95%); Not yet determined = 2,417 (3%)</p> <p><i>Case File Review Findings (n=77):</i> 2 (3%) of the records analyzed did not match what was reported in AFCARS.</p> <p><u>Program Code LNs 3509 – 3634</u> This element is mapped from the legal authority code for the current removal. If the code is "1403" (child agency agreement) or "1407" (parent agency agreement) the manner of removal is "voluntary."</p> <p>If it is "1404" (guardian non-relative), "1405" (out of State ICPC), "1406" (out of country), "1408" (relinquishment), "1409" (WIC 300 a, b, c, d, f, g, I or J), "1410" (WIC 300e), "1411" (WIC 300h), "1412 (WIC 601) or "1413" (WIC 602) the manner of removal is "court ordered."</p> <p>Any other value is mapped to "not yet determined."</p> <p>Additional logic was added to account for situations where there is a valid periodic review date but no legal authority present in the record. If the manner of removal is "not yet determined" and the periodic review year is not blank, the manner of removal is reset to "voluntary" if the voluntary indicator on the most recent case voluntary status record is "y" and reset to "court ordered" otherwise.</p>	4

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>Actions or Conditions Associated With Child’s Removal</p> <p>0=Does not Apply 1=Applies</p> <p><u>Requirements</u> Indicate all elements #26-40 that apply with a 1. Indicate a zero for conditions that do not apply At least one of the foster care elements #26- 40 must have a value equal to 1 (Applies).</p> <p><u>Checklist</u> The system must have the capacity to report on all AFCARS values for elements #26 – 40.</p> <p>The system must report only those conditions that existed at the time of removal — it must not report any conditions that are found to exist after the child is removed.</p> <p>Circumstances associated with removal must be checked for voluntary placements as well as court ordered placements. Where applicable, this information is to be converted from a legacy, or paper files, for open cases.</p> <p>Are there additional options on the screen that can/should be mapped to the AFCARS values?</p>	<p><u>Screen</u>: Client Services, <i>Placement Notebook</i>, Identification There is a field for a primary reason (drop-down list) and another field for secondary reasons.</p> <p>The primary reason for removal is a mandatory field. Primary reasons are the ones that are legally required.</p> <p>The agency did not provide a copy of the screen displaying all the options. Please provide the screen shot(s) in the agency’s first Improvement Plan Update.</p> <p><u>Data Quality</u> <i>Case File Review Findings (n=87)</i>: There were errors throughout these elements. In many instances only one was selected but there were multiple conditions associated with a child’s removal from home. The majority of error cases were child welfare cases. See the case file review findings.</p> <p><u>Program Code</u> The actions or conditions associated with the child’s removal are mapped from the removal reason codes on the secondary removal reason table associated with the removal’s placement episode. A temporary table is created of all removal reason codes for the child and elements #26 – 40 are each checked in turn to see if any of the removal reasons match those that define them. If so the element is set to “applies.” Otherwise it is set to “does not apply.”</p>	
<p>26. Physical Abuse (alleged/reported)</p> <p><u>Requirements</u> Alleged or substantiated physical abuse, injury or maltreatment of the child by a person responsible for the child’s welfare.</p>	<p><u>Program Code</u> If the removal reason code is “1617” or “5631” (physical abuse) element #26 is set to “applies.” Otherwise it is set to “does not apply.”</p>	3
<p>27. Sexual Abuse (alleged/reported)</p> <p><u>Requirements</u> Alleged or substantiated sexual abuse or exploitation of a child by a person who is responsible for the child’s welfare.</p>	<p><u>Program Code</u> If the removal reason code is “1620” or “5366” (sexual abuse) or “1614” or “5354” (exploitation) element #27 is set to “applies.” Otherwise it is set to “does not apply.”</p>	3
<p>28. Neglect (alleged/reported)</p> <p><u>Requirements</u> Alleged or substantiated negligent treatment or maltreatment, including failure to provide adequate food, clothing, shelter or care.</p> <p>Map mental/emotional abuse as “Neglect” (CWPM, 1.2B.3 Question #3).</p>	<p><u>Program Code</u> If the removal reason code is “1615” (general neglect), “1619 (severe neglect), 1613” (emotional abuse), “5355” (general neglect), “5365” (severe neglect) or “5353” (emotional abuse) element #28 is set to “applies.” Otherwise it is set to “does not apply.”</p>	3

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p><u>Checklist</u> Domestic violence should be mapped to this element.</p>		
<p>29. Alcohol Abuse (parent) <u>Requirements</u> Principal caretaker's compulsive use of alcohol that is not of a temporary nature.</p>	<p><u>Program Code</u> If the removal reason code is "5363" (parent skills hindered by alcohol abuse) element #29 is set to "applies." Otherwise it is set to "does not apply."</p>	3
<p>30. Drug Abuse (parent) <u>Requirements</u> Principal caretaker's compulsive use of drugs that is not of a temporary nature.</p>	<p><u>Program Code</u> If the removal reason code is "5363" (parent skills hindered by drug abuse) element #30 is set to "applies." Otherwise it is set to "does not apply."</p>	3
<p><u>Checklist</u> The system must be able to differentiate between drug abuse and alcohol abuse (i.e. cannot have simply "substance abuse").</p>		
<p>31. Alcohol Abuse (child) <u>Requirements</u> Child's compulsive use of or need for alcohol.  This element should include infants addicted at birth.</p>	<p><u>Program Code</u> If the removal reason code is "5350" (child born with fetal alcohol syndrome) or "5346" (alcohol abuse by child) element #31 is set to "applies." Otherwise it is set to "does not apply."</p>	3
<p><u>Checklist</u> The system must be able to differentiate between drug abuse and alcohol abuse (i.e. cannot have simply "substance abuse").  This element also includes infants exposed in-utero to alcohol.</p>		
<p>32. Drug Abuse (child) <u>Requirements</u> Child's compulsive use of or need for narcotics.  This element should include infants addicted at birth.</p>	<p><u>Program Code</u> If the removal reason code is "5349" (child born with drugs in system) or "5352" (drug abuse by child) element #32 is set to "applies." Otherwise it is set to "does not apply."</p>	3
<p><u>Checklist</u> The system must be able to differentiate between drug abuse and alcohol abuse (i.e. cannot have simply "substance abuse").  This element also includes infants exposed in-utero to drugs.</p>		
<p>33. Child's Disability <u>Requirements</u> Clinical diagnosis by a qualified professional of one or more of the following:</p>	<p><u>Program Code</u> If the removal reason code is "1610" (child's disability of handicap) or "5351" (child's disability of handicap * * *) element #33 is set to "applies." Otherwise it is set to "does</p>	3

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>Mental retardation; emotional disturbance; specific learning disability; hearing, speech or sight impairment; physical disability; or other clinically diagnosed handicap.</p> <p>Include only if the disability(ies) was at least one of the factors which led to the child's removal.</p>	not apply."	
<p><b>34. Child's Behavior Problem</b> <u>Requirements</u> Behavior in the school and/or community that adversely affects socialization, learning, growth, and moral development. These may include adjudicated or non-adjudicated child behavior problems. This would include the child's running away from home or other placement.</p> <p><u>Checklist</u> Is this being used for children in foster care under a title IV-E agreement with juvenile justice?</p>	<p><u>Program Code</u> If the removal reason code is "1616" (law violation), "1621" (status offense), "5348" (child's behavior problem), "5357" (law violation) or "5367" (status offense ***) element #34 is set to "applies." Otherwise it is set to "does not apply."</p>	3
<p><b>35. Death of Parent(s)</b> <u>Requirements</u> Family stress or inability to care for child due to death of a parent or caretaker.</p>	<p><u>Program Code</u> If the removal reason code is "5358" (parent absent – death ***) element #35 is set to "applies." Otherwise it is set to "does not apply."</p>	3
<p><b>36. Incarceration of Parent(s)</b> <u>Requirements</u> Temporary or permanent placement of a parent or caretaker in jail that adversely affects care for the child.</p>	<p><u>Program Code</u> If the removal reason code is "5359" (parent absent – incarcerated ***) element #36 is set to "applies." Otherwise it is set to "does not apply."</p>	3
<p><b>37. Caretaker's Inability to Cope Due to Illness or Other Reason</b> <u>Requirements</u> Physical or emotional illness or disabling condition adversely affecting the caretaker's ability to care for the child.</p> <p><u>Checklist</u> Can be marked "applies" if none of the other conditions apply.</p>	<p><u>Program Code</u> If the removal reason code is "1609" (caretaker absence/incapacity), "1622" (voluntary placement) or "5347" (caretaker absence/incapacity ***) element #37 is set to "applies." Otherwise it is set to "does not apply."</p>	3
<p><b>38. Abandonment</b> <u>Requirements</u> Child was left alone or with others; caretaker did not return or make whereabouts known.</p>	<p><u>Program Code</u> If the removal reason code is "5360" (parent absent – abandonment ***) element #35 is set to "applies." Otherwise it is set to "does not apply."</p>	3
<p><b>39. Relinquishment</b> <u>Requirements</u> In writing, assigned the physical and legal custody of the child to the agency for the purpose of having the child adopted.</p>	<p><u>Program Code</u> If the removal reason code is "1618" (relinquishment), "5362" (relinquishment ***) or "5976" (safely surrendered baby) element #40 is set to "applies." Otherwise it is set to "does not apply."</p>	3

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p><u>Checklist</u> If the agency operates a Safe Haven program indicate “applies” for this element for those infants/children entering under the Safe Haven program.</p>	Safe Haven is to be reported here not in abandonment.	
<p>40. Inadequate Housing Requirements Housing facilities were substandard, overcrowded, unsafe or otherwise inadequate resulting in their not being appropriate for the parents and child to reside together. Also includes homelessness.</p>	<p><u>Program Code</u> If the removal reason code is “1618” (relinquishment), “5362” (relinquishment ***) or “5976” (safely surrendered baby) element #40 is set to “applies.” Otherwise it is set to “does not apply.”</p>	3
<p>41. Current Placement Setting</p> <p>1 = Pre-Adoptive Home 2 = Foster Family Home (Relative) 3 = Foster Family Home (Non-Relative) 4 = Group Home 5 = Institution 6 = Supervised Independent Living 7 = Runaway 8 = Trial Home Visit</p> <p><u>Requirements</u> Pre-Adoptive Home—A home in which the family intends to adopt the child. The family may or may not be receiving a foster care payment or an adoption subsidy on behalf of the child.  Foster Family Home (Relative)—A licensed or unlicensed home of the child's relatives regarded by the title IV-E agency as a foster care living arrangement for the child.  Foster Family Home (Non-Relative)—A licensed foster family home regarded by the title IV-E agency as a foster care living arrangement.  Group Home—A licensed or approved home providing 24-hour care for children in a small group setting that generally has from seven to twelve children.  Institution—A child care facility operated by a public or private agency and providing 24-hour care and/or treatment for children who require separation from their own homes and group living experience. These facilities may include: child care institutions; residential treatment facilities; maternity</p>	<p><u>Screens</u> <i>Placement Notebook/ID tab – Identification and Approval</i> This screen documents the foster home placement settings. Additionally, the rationale for selecting the home is documented as well as proximity to the child’s school and whether siblings were placed together.  <i>Non-foster Care Placement tab</i> This screen has a date field and a drop-down list for the Facility Type. The options are: Assessment Center, Drug Rehabilitation Center, Juvenile Camp/Ranch, Juvenile Hall, Medical Facility, Psychiatric Facility, Regional Center, Runaway Shelter, School Housing (Dormitory), and Other.  <i>End Placement/Episode Tab</i> The “end placement/episode” tab on the “placement notebook” contains a field for the placement end date and the placement change reason. When a child is placed back into the home of removal while the agency maintains responsibility for placement and care, this is entered as a placement change reason.  The state’s case management system does not have a placement status of runaway. Instead if a child runs away from a setting, then “runaway” is entered as a placement ending reason; never as the child’s current living arrangement. Consequently, the extraction code cannot identify records of children who begin the removal episode with a status of “runaway.” The system needs to include all locations if a child including a status of runaway. The agency needs to include this in its selection of living arrangements.  The agency utilizes “23-hour Assessment Centers” (see previous notes in FC18 and 23). While these are not intended to be a placement, it is possible the child may spend the night. If this is the case, and if the child is in out-of-home care for more than 24 hours, this is considered the child’s first placement and if applicable reported in this element (if it is the setting as of the end of the report period).</p>	2

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>homes; etc.</p> <p>Supervised Independent Living—An alternative transitional living arrangement where the child is under the supervision of the agency but without 24 hour adult supervision, is receiving financial support from the child welfare agency, and is in a setting which provides the opportunity for increased responsibility for self care.</p> <p>Runaway—The child has run away from the foster care setting.</p> <p>Trial Home Visit—The child has been in a foster care placement, but, under title IV-E agency supervision, has been returned to the principal caretaker for a limited and specified period of time. If a time period is not specified the child must be identified as having been returned home at the point at which the trial home visit exceeds six months (CWPM, 1.2B.7 Question #5, and 1.3, Question #11).</p> <p>Multi-service agencies should not be coded as “Institution”; the actual setting should be used (CWPM, 1.2B.7 Question #25).</p> <p>Foster homes are included whether or not they are licensed; this includes placement with relatives (CWPM, 1.2B.7 Question #15).</p> <p>If at the time the agency obtains responsibility for care and placement of the child, and the child is on runaway status and remains a runaway as of the end of the report period, then report “runaway” for this element (CWPM, 1.2B.7 Question #24).</p> <p><u>Checklist</u></p> <p>Are relative placements mapped to “foster family home (relative)” even if there is no payment?</p> <p>The system must have the capacity to include all living arrangements of the child from the time the child enters the title IV-E agency’s responsibility for placement and care, including a placement where a payment is not made to the foster family or the a facility.</p> <p>Does the extraction code select records of children in a non-paid placement?</p>	<p><u>Data Quality</u></p> <p><i>2014B Frequency Report (n=72,514):</i> Pre-adopt home = 4,224 (6%); foster family home/relative = 22,228 (31%); foster family home/non-relative = 314239 (43%); group home = 4,310 (6%); institution = 3,559 (5%); supervised independent living = 2,505 (4%); runaway = 1,779 (3%); trial home visit = 2,486 (3%); not reported = 0</p> <p><i>Case File Review Findings (n=77):</i> 6 (8%) of the records analyzed did not match what was reported in AFCARS. Three were Probation cases.</p> <p><u>Program Code</u></p> <p>Data for current placement setting is derived from several sources. The out-of-home placement file is sorted to select the most recent placement for the child. This is linked to the adoptive child client table and the placement home table. Information selected are the most recent service end date, placement facility type, and the most recent adoption agreement signed date.</p> <p>If the placement facility type is “pre-adoptive home” (8888) or the adopt_place variable is “1” (there is a signed adoption agreement) the current placement setting is set to “pre-adoptive home.” The federal and state team needs to further discuss the use of the signed adoption agreement for this element.</p> <p>If the placement facility type is “foster home (relative)” (1422) or “relative/NREFM home” (1421) where the relationship is “relative guardian” (1638) or “relative non-guardian” (1639), then the setting is mapped to “foster family home (relative).” It appears the State is still incorrectly reporting “fictive kin”(NREFM) as “relative foster care.” This placement is to be mapped to foster home-non-relative. The staff indicated onsite that the check for the relationship should be setting only those individuals who are related to the child as a relative foster home. The dependent guardian records are further divided based on their “scp” (substitute care provider) relationship into those that are “kin,” for relationship codes of “relative guardian” (1638) and “relative non-guardian” (1639), and foster care for those with no relative relationship. The dependent records for relatives are recoded to placement facility type of “relative home” (1421) and the foster care to “foster family home” (1416).</p> <p>If the placement facility type is “foster family agency” (1414), “small family home” (1415), “foster family home”(1416), “court specified home” (1419) or “foster family agency certified home” (2200), or “relative/NREFM home” (1421) where the relationship is “non-relative guardian” (1636) or “non-relative non-guardian” (1637), then the setting is mapped to “foster family home (non-relative).”</p>	

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	<p>If the placement facility type is “group home” (1417) the setting is mapped to “group home.”</p> <p>If the placement facility type is 1418 or 1420 the setting is mapped to “institution.” If the transitional home indicator is “y” or the transitional facility is “y,” the setting is mapped to “supervised independent living.”</p> <p>If the release reason code is “child ran away from placement” (1584) or the placement change reason code is “child ran away from placement” (1431), the setting is mapped to “runaway.”</p> <p>If the placement change reason is “trial home visit” (1440), the setting is mapped to “trial home visit.”</p> <p>Additional adjustments to the mapping are made at this point. If the current placement setting is “group home” and the license cap is greater than 12, the logic changes this element to “institution.” If the placement facility type is 9999 or the setting is “institution” and the license cap is less than 12, then this element is set to “group home.”</p> <p>We do not have the translation for all the values. Once we have received the complete code dictionary we will re-assess the mapping of these values. Also, it is not clear that all the locations listed on the non-foster care placement tab are being accounted for in this element.</p> <p><u>Post-Site Visit Program Code Modifications</u> The program code was modified by adding checks for a release reason code of “child ran away from home” (1584) or a placement change reason code of “child ran away from home” (1431) where the removal end date does not equal the placement end date. <i>This excludes as a “runaway” placement setting if the placement and episode end on the same day.</i></p> <p>The program code was also modified for “trial home visit” by adding checks for a placement change reason code of “trial home visit” (1440) where the removal end date does not equal the placement end date. This excludes “trial home visit” placement and episode ending on the same day.</p>	
<p>42. Is Current Placement Setting Outside of the State or Tribal Service Area? 1 = yes</p>		4

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>2 = no</p> <p><u>Requirements</u> “Yes” indicates that the current placement setting is located outside of the State or the Tribal service area of the Tribal title IV-E agency making the report.</p> <p>“No” indicates that the child continues to reside within the State or the Tribal service area of the Tribal title IV-E agency making the report.</p> <p>Note: Only the title IV-E agency with placement and care responsibility for the child should include the child in this reporting system.</p>	<p><u>Program Code</u> The program code determines whether or not the placement is out-of-State by checking the placement State code on the most recent placement record. If it is either “0” or “1828” the answer is “no.” If the State code is blank or null the field is set to “3” (?) Otherwise it is “yes.”</p> <p>Note that there is not an AFCARS option for this element of a “3.” Also, per the first AAR, the agency was modifying this element to check the address field. This is a better approach to reporting this element.</p>	
<p>43. Most Recent Case Plan Goal</p> <p>1 = Reunify with Parent(s) or Principal caretaker(s) 2 = Live with Other Relative(s) 3 = Adoption 4 = Long-term Foster Care 5 = Emancipation 6 = Guardianship 7 = Case Plan Goal Not Yet Established</p> <p><u>Requirements</u> Indicate the most recent case plan goal for the child based on the latest review of the child's case plan - whether a court review or an administrative review. If the child has been in care less than six months, enter the goal in the case record as determined by the caseworker.</p> <p>Reunify With Parents or Principal Caretaker(s)—The goal is to keep the child in foster care for a limited time to enable the agency to work with the family with whom the child had been living prior to entering foster care in order to reestablish a stable family environment.</p> <p>Live With Other Relatives—The goal is to have the child live permanently with a relative or relatives other than the ones from whom the child was removed. This could include guardianship by a relative(s).</p> <p>Adoption—The goal is to facilitate the child's adoption by relatives, foster parents or other unrelated individuals.</p>	<p><u>Screen:</u> Service Component/Case Plan Notebook (Case Plan Participants Tab) This screen has a field for Service Component and it is a dropdown list. There is an effective date and an end date. The goals are: Adoption, adoption with sibling, legal guardianship, long-term foster care with non-relative, long-term foster care with relative, maintain minor with guardian, permanent connections for independence, remain home, return home, self-maintenance, and tribal customary adoption.</p> <p>The State's current policy is that case plans must be completed before 60 days.</p> <p>Probation uses a different screen. It contains the fields 6 Month Review Date and Permanency Planning Hearing Date. Drop down list of hearing types.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> 28,031 (39%); Live with other relative = 1,531 (2%); Adoption = 16,469 (23%); Long-term foster care = 6,143 (9%); Emancipation = 4,654 (6%); Guardianship = 5,803 (8%); Case plan goal not yet established = 1,533 (2%); Not Reported = 8,350 (12%)</p> <p><i>Case File Review Findings (n=77):</i> 14 (19%) of the records analyzed did not match what was reported in AFCARS. Six of the error cases were Probation.</p> <p><u>Program Code</u> If the placement is a probation child (agency responsible “county probation office” (33) or “LA county probation department” (5603)), the program links to the FCIS assessment table to get the goal type code and assessment date.</p> <p>For the child welfare cases, the program code uses the last placement linked to the</p>	<p>2 3</p>

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>Long-term Foster Care—Because of specific factors or conditions, it is not appropriate or possible to return the child home or place her or him for adoption, and the goal is to maintain the child in a long-term foster care placement.</p> <p>Emancipation—Because of specific factors or conditions, it is not appropriate or possible to return the child home, have a child live permanently with a relative or have the child be adopted; therefore, the goal is to maintain the child in a foster care setting until the child reaches the age of majority.</p> <p>Guardianship—The goal is to facilitate the child's placement with an agency or unrelated caretaker, with whom he or she was not living prior to entering foster care, and whom a court of competent jurisdiction has designated as legal guardian.</p> <p>Case Plan Goal Not Yet Established—No case plan goal has yet been established other than the care and protection of the child.</p> <p><u>Checklist</u>            If the program code defaults missing data to “not yet established,” then this information should be mapped to blank after 60 days from the date of latest removal.            Is the return of a child to a non-custodial parent mapped to “reunification?”            If the agency does not list “long-term foster care” on the case screen, then the program code must list the alternative living arrangement plans that are mapped to it.            If the youth will be in foster care until the age of 18 and no other goal is currently applicable, and the youth has a permanent connection with an adult, use the goal “emancipation.” If there is no adult with a permanent connection to the child, use “long-term foster care.”</p>	<p>most recent case within the reporting period. The child’s detail and the family case plan tables are used to find the most recent approved (approval status “122” (approved)) case plan and case plan effective date.</p> <p>The program code adds independent living goals by linking to the planned service activity table where the service types are ILP related.</p> <p>If the goal type code is “return home” (1067), then this element is mapped to “Reunify with Parent(s) or Principal caretaker(s).” If the goal code is “long term foster care with relative” (1065), then this element is mapped to “Live with Other Relative(s)”. If the goal type code is “adoption” (1061), “adoption with siblings” (1062) or “Tribal customary adoption” (6526), then this element is mapped to “adoption.”</p> <p>If the goal type code is “long-term foster care with non-relative” (1064) and the child is older than 16 with planned services of ILP, then this element is mapped to “emancipation.” If the goal type code is “long-term foster care with non-relative” (1064) and the child is younger than 16, the goal is mapped to “long term foster care.”</p> <p>If the goal type code is “self-maintenance” (5441) or “permanent connections for independence” (6544) and the child is greater than 16, the goal is mapped to “emancipation.”</p> <p>If the goal type code is “1063” (legal guardianship) or “maintain minor with guardian” (5379), this element is mapped to “guardianship.”</p> <p>If the case plan date or the plan effective date is less than 61 days from the removal date the case plan goal is set to “case plan goal not yet established.” If none of these conditions is satisfied the case plan goal is blank. Modify the program code that if there is no case plan goal established and entered into the system within 60 days, then it can be set to “not yet established” (the child is in care for 59 days or less). The goal must be established on the 60<sup>th</sup> day. If the child has been in care 60 days or more, then this field is to be set to blank.</p> <p>The goals related to a child being in foster care until they reach the age of majority/no longer eligible for title IV-E and no other goal is applicable, if the youth has a permanent connection to an adult, the goal is set to the AFCARS value of “emancipation.” If there is no connection with an adult, then the goal is to be set to the AFCARS value “long-term foster care.”</p>	

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	<p>The code seems to be checking for a goal as of the report period being extracted but based on the test cases it appears that “future goals” were reported.</p> <p><u>Post-Site Visit Program Code Modifications</u> The program code was modified with logic to ensure that the case plan goal reported is one that has an effective date prior to the end of the report period.</p> <p>The logic to map the goal “long-term foster care with non-relative” (1064) of children older than 16 was modified and now has a condition to check for an established lifelong connection by using the relationship table and the collateral table. The value the code is checking is 6465. If these conditions are met, the goal is mapped to “emancipation,” otherwise it will be mapped to “long-term foster care.” Please provide a current code table.</p> <p>The logic to set this element to “not yet established” was modified by checking if the child was in care less than or equal to 60 days. It should only be less than 60. The title IV-E requirement is that a goal is to be established by 60 days.</p>	
<p>Principal Caretaker(s) Information</p> <p><u>Requirements</u> Provide information on the person(s) from whom the child was removed.</p> <p><u>Checklist</u> This may include biological parents, grandparents, other family members, legal parents, or others.</p>	<p><u>Screen:</u> Client Services, Placement Notebook, Removal Information Tab The “Removal Information” tab of the “Placement Notebook” requires documentation of the caretaker(s) from whom the child was removed. There is a field on the screen for “removed from” and there are fields for the first and second caretaker relationship to the child.</p> <p>During the onsite review it was demonstrated that collateral contacts entered in the referral screen are being pulled into the list of individuals in the household from where the child was removed. The system must be modified to only bring in the individuals listed as the ones the child was removed from.</p> <p><u>Program Code</u> The caretaker(s) information is selected from the client or collateral individual tables related to the earliest removal in the current episode. See screen finding above regarding the system design for use of collaterals.</p>	
<p>44. Caretaker Family Structure</p> <p>1 = Married Couple 2 = Unmarried Couple 3 = Single Female 4 = Single Male 5 = Unable to Determine</p>	<p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> Married couple = 6,009 (8%); Unmarried couple = 11,382 (16%); Single female = 40,501 (56%); Single male = 3,895 (5%); Unable to determine = 7,257 (10%); Not Reported = 3,470 (5%) The number of records reported as “unable to determine” seems high for the number of infants who enter under Safe Haven. As noted in the first AAR, the State needs to have an option for workers to select when a child is abandoned and the parents are</p>	2

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p><u>Requirements</u> Select the category which best describes the type of adult caretaker(s) from whom the child was removed for the current foster care episode. Enter "Unable to Determine" if the child has been abandoned or the child's caretakers are otherwise unknown</p> <p>If a child's principal caretakers are a same sex couple, how is the information entered into the system?</p> <p>For AFCARS reporting, indicate the couple's family structure as either an unmarried or married couple depending on State law (CWPM, 1.2B.8 Question #3).</p> <p><u>Checklist</u> "Separated" must be mapped to "married."</p>	<p>unknown. This option would be the only appropriate use of "unable to determine."</p> <p><i>Case File Review Findings (n=76): 23 (30%) of the records analyzed did not match what was reported in AFCARS. Four were Probation cases.</i></p> <p><u>Program Code: LNs 4450 – 4761</u> The program selects the caretakers' sex code and marital status from either the client or collateral records and determines if it is dealing with a single individual or a couple by looking at the values in the "removed from caretaker" 1 and 2 fields.</p> <p>If there is data for only one caretaker the program maps the caretaker family structure based on the sex code found in whichever caretaker's data is present. If the gender code is "f" the family structure is "single female" and if it is "m" the structure is "single male." If it is a "u" the structure is "unable to determine." If there is only one caretaker, the program code logic assumes the person is single.</p> <p>If there is data present for both of the caretaker's the program code uses the caretaker's marital status to map the caretaker family structure. A code of "married" (1308) is mapped to "married couple." Codes of "divorced" (1306), "never married" (1309) and "legally separated" (1307) are mapped to "unmarried couple." If none of these codes is found the caretaker family structure is incorrectly set to "unable to determine." Legally separated is to be mapped to married couple not single.</p> <p>If there is no data in either the "removed from caretaker" 1 or 2 fields the family structure is mapped to blank.</p> <p>The program code should not be using individuals identified as a collateral contact.</p> <p>The program code must be modified to check the individual's marital status and not assume that if there is only one person listed they are single/not married.</p> <p>"Widowed" (1310), a marital status used in mapping foster family structure, is not mapped here. The program code is to map this to either single female or single male.</p> <p>It is not clear that the program code is accounting for a same-sex couples.</p> <p><u>Post-Site Visit Program Code Modifications</u> The logic that identified collateral contacts has been removed (commented out) of the program code.</p>	

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	<p>“Legally separated” is no longer mapped to “unmarried couple.” It is now mapped to “married couple.”</p> <p>“Widowed” (1310) still appears incorrect. Widowed is to be mapped to either single male or single female. There is no logic to check the gender of the person.</p>	
<p>45. Year of Birth (1<sup>st</sup> Principal Caretaker)</p> <p><u>Requirements</u> Enter the year of birth.</p> <p>If the response to foster care element #44, Caretaker Family Structure, was 1 or 2, enter data for two caretakers.</p> <p>If the response to element #44 was 3 or 4, enter data only for the first caretaker.</p> <p>If the exact year of birth is unknown, enter an estimated year of birth.</p> <p><u>Checklist</u> Are there edit checks in the system to ensure that the year of birth is prior to the child’s year of birth?</p> <p>Are there edits to check if the parent is at least between 10 and 12 years of age?</p> <p>There should not be a default year used by the extraction code (e.g., 1900).</p> <p>There should not be a default year entered into the system for an unknown parent.</p> <p>Are there edit checks, in either the system or the extraction code, that check for caretakers that are more than 80 years old and notify the worker to confirm if the age is accurate?</p> <p>Do the number of records reported in element #44 as a married or unmarried couple, single male and single female equal the number of records with a reported year of birth in element #45.</p>	<p><u>Data Quality</u> 2014B Frequency Report (n=72,514): Not Reported = 10,892 In FC44 there are 10,727 records reported as “unable to determine” and blank.</p> <p>There are 2 records with the year 1901 and 97 records with years between 2003 and 2014 (age 10 to a few months).</p> <p>Case File Review Findings (n=77): 11 (14%) of the records analyzed did not match what was reported in AFCARS. Eight of the error cases were child welfare. There were dates found for the caretakers but the AFCARS field was blank.</p> <p><u>Program Code</u> The first principal caretaker’s year of birth is selected from the client or collateral individual tables related to the earliest removal record in the current episode. There does not appear to be any logic validating the date.</p>	3
46. Year of Birth (2 <sup>nd</sup> Principal Caretaker - if applicable)	<p><u>Data Quality</u> 2014B Frequency Report (n=72,514): Reported = 17,101; Not Reported = 55,413</p>	3

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p><u>Requirements</u> Enter the year of birth if the response to element #44 was a 1 or 2. If the exact year of birth is unknown, enter an estimated year of birth.</p> <p><u>Checklist</u> Are there edit checks in the system to ensure that the year of birth is prior to the child's year of birth?</p> <p>Are there edits to check if the parent is at least between 10 and 12 years of age?</p> <p>There should not be a default year used by the extraction code (e.g., 1900).</p> <p>There should not be a default year entered into the system for an unknown parent.</p> <p>Are there edit checks, in either the system or the extraction code, that check for caretakers that are more than 80 years old and notify the worker to confirm if the age is accurate?</p> <p>Do the number of records reported in element #44 as a married or unmarried couple equal the number of records with a year of birth reported in element #46?</p>	<p>Number of records reported in FC44 as married and unmarried couple = 17,391. There are 51 records with a year of birth between 2003 and 2014.</p> <p><i>Case File Review Findings (n=75): 18 (24%) of the records analyzed did not match what was reported in AFCARS. 16 of the error cases were child welfare. There were dates found for the caretakers but the AFCARS field was blank.</i></p> <p><u>Program Code</u> The second principal caretaker's year of birth, if applicable based on caretaker family structure, is selected from the client or collateral individual tables related to the earliest removal record in the current episode. There does not appear to be any logic validating the date.</p>	
<p>47. Date of Mother's Parental Rights Termination (if applicable)</p> <p><u>Requirements</u> Enter the month, day and year that the court terminated the mother's parental rights. If the mother is known to be deceased, enter the date of death.</p> <p><u>Checklist</u> If the parent was the legal mother as a result of having adopted the child, the legal mother's TPR date is to be reported.</p> <p>TPRs that occurred prior to an agency's conversion to a new system must be included.</p> <p>If the child's outcome/discharge from foster care is adoption, there must be a TPR date.</p>	<p><u>Screen:</u> Client Services/Family Information Notebook/Parental Rights tab The caseworker enters the information on this screen after the TPR hearing. The date is also entered on the court screen representing the hearing and the results of the hearing. There appears to be an issue with the caseworkers not documenting court actions in the legal section of the system. The agency needs to address this as training and ensure that legal actions are being documented in the court section. Also, there will need to be QA to ensure that the date entered in the court screen and the Parental Rights tab is the same. The system should not require the caseworker to do duplicative data entry. The date in the parental rights tab should be populated by the information entered on the court section.</p> <p>In the post-site analysis of the case file review findings, no records were marked in error for either the foster care or adoption file. However, as discussed onsite with the case file review team and the state AAR team, there does appear to be an issue related to consistent use of the "effective date." The agency needs to ensure that the same date is being used by all workers across the state; the bench hearing date, the</p>	2

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>If the adoptive (legal) parents are two men, for AFCARS reporting purposes extract one of the dates for this element.</p>	<p>signed date, or the filed date. If possible, the bench hearing date should be used.</p> <p><u>Program Code</u> The program code uses the parental rights termination table where the relationship code indicates an adoptive, birth or alleged mother or the relationship code is adoptive, birth, alleged or presumed mother.</p> <p>If no TPR date is found the date of death is used if present.</p> <p>The logic for determining TPR dates is complicated and needs to be simplified. The program code should look for a TPR date that is the last one (regardless of who) that is prior to the end of the report period being extracted.</p>	
<p>48. Date of Legal or Putative Father's Parental Rights Termination (if applicable)</p> <p><u>Requirements</u> Enter the month, day and year that the court terminated the father's parental rights. If the father is known to be deceased, enter the date of death.</p> <p>Legal or most recent putative father's TPR date (i.e. the last impediment to freeing the child) must be used (CWPM, 1.2B.8, Question #2).</p> <p><u>Checklist</u> If the child's outcome/discharge from foster care is adoption, there must be a TPR date.</p> <p>TPRs that occurred prior to an agency's conversion to a new system must be included.</p> <p>If the parent was the legal father as a result of having adopted the child, the legal father's TPR date is to be reported.</p> <p>If the adoptive (legal) parents are two women, for AFCARS reporting purposes extract one of the dates for this element.</p>	<p><u>Screen:</u> Client Services/Family Information Notebook/Parental Rights tab Same notes as in FC47.</p> <p><u>Program Code</u> The father's parental rights termination date is selected as the termination date from the parental rights termination table where the relationship code indicates an adoptive, birth or alleged mother or the relationship code is adoptive, birth, alleged or presumed father (the complete description of parental relationship codes and values can be found in the notes for adoption elements #16 and 17).</p> <p>If no TPR date is found the date of death is used if present.</p> <p>The logic for determining TPR dates is complicated and needs to be simplified. The program code should look for a TPR date that is the last one (regardless of who) that is prior to the end of the report period being extracted.</p>	2
<p>Foster Family Home - Parent(s) Data</p> <p><u>Checklist</u> The system must have the capacity to report elements #49- 55 if the child is in a foster home of a private provider (contracted provider).</p>	<p><u>Screen:</u> Resource Management</p> <p><i>Case File Review Findings:</i> There were instances in which the child was placed with a relative and the information was not entered into the system.</p>	

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>Does the title IV-E agency's case management or tracking system use the same screen for the collection of the foster care provider's demographic information that is used for the person information related to the child and other family members?</p>	<p><u>Program Code</u> The foster family data is selected from the child's most recent AFCARS out-of-home placement table linked to sub care provider and sub care provider ethnicity tables for demographic information. All demographic information for providers is selected at the same time and apportioned to the primary and secondary providers based on the primary and secondary provider indicators.</p>	
<p>49. Foster Family Structure</p> <p>0=Not Applicable 1 = Married Couple 2 = Unmarried Couple 3 = Single Female 4 = Single Male</p> <p><u>Requirements</u> Select the category which best describes the nature of the foster parents with whom the child is living in the current foster care episode.</p> <p>If foster care element #41 (current placement setting) has a value = 4, 5, 6, 7 or 8 (indicating that the child is not in a foster family or pre-adoptive home), foster care element #49 must be 0, not applicable.</p> <p><u>Checklist</u> Does the total number of records reported for a family structure equal the number of records with a response of 1, 2 or 3 in element #41?  Are the number of records reported with a value of "not applicable" equal to the number of records reported in element #41 for the values 4 – 8?</p>	<p><u>Screen:</u> Resource Management/Substitute Care Provider Tab There is a field for marital status.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> Not Applicable = 14,639 (20%); Married couple = 28,367 (39%); Unmarried couple = 14,342 (20%); Single female = 9,227 (13%); Single male = 2,371 (3%); Not Reported = 3,568 (5%) There are 14,639 records reported in FC41 for non-foster home settings.</p> <p><i>Case File Review Findings (n=67):</i> 10 (15%) of the records analyzed did not match what was reported in AFCARS. Eight of the error cases were child welfare. In four error cases the wrong marital status was either entered or reported. In most of the cases, the marital status should have been either married or unmarried couple instead of a single foster parent. There were instances in which the child was placed with a relative and the information was not entered into the system.</p> <p><u>Program Code</u> The program has two approaches to mapping the foster family structure. If there are two foster parents the marital status codes for provider one and provider two are checked. If either foster parent has codes of "married" (1308) or "legally separated" (1307), the family structure is set to "married couple." If either has a marital status code of "divorced" (1306), "never married" (1309) or "widowed" (1310) the family structure is "unmarried couple."  If there is only one foster parent the program uses the provider's gender code to map the family structure. An "f" is mapped to "single female" and an "m" is mapped to "single male." Any other value is mapped to blank.</p>	3
<p>50. Year of Birth (1<sup>st</sup> Foster Caretaker)</p> <p><u>Requirements</u> Enter the year of birth. If the response to element #49 was 3 or 4, enter data only for the first foster caretaker. If the exact year of birth is unknown, enter an estimated year of</p>	<p><u>Screen:</u> Resource Management/Substitute Care Provider Tab</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> There are four records with the year 1900. There are four records with the year 2013. There are 27,810 records reported as blank.</p>	3

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>birth.</p> <p>If foster care element #41 (current placement setting) has a value = 4, 5, 6, 7 or 8 (indicating that the child is not in a foster family or pre-adoptive home), foster care element #50 should be blank.</p> <p><u>Checklist</u> Do the number of records reported in element #49 as a married or unmarried couple, single male and single female equal the number of records with a reported year of birth in element #50.</p> <p>Are there system edits to verify the accuracy of the foster parent's date? For example, where the date of birth entered would result in the foster parent being younger than 18.</p>	<p>There are 14,639 records reported in FC41 for non-foster home settings and 3,568 records reported in FC49 as blank. This equals 18,207.</p> <p><i>Case File Review Findings (n=58): 7 (12%) of the records analyzed did not match what was reported in AFCARS. Six of the error cases were child welfare. There were instances in which the child was placed with a relative and the information was not entered into the system.</i></p> <p><u>Program Code</u> The program uses the placement home sub care provider record as the source of the first foster caretaker's year of birth.</p>	
<p>51. Year of Birth (2<sup>nd</sup> Foster Caretaker)</p> <p><u>Requirements</u> Enter the year of birth if the response to element #49 was a 1 or 2. If the exact year of birth is unknown, enter an estimated year of birth.</p> <p>If foster care element #41 (current placement setting) has a value = 4, 5, 6, 7 or 8 (indicating that the child is not in a foster family or pre-adoptive home), then foster care element #51 must be blank.</p> <p>Do the number of records reported in element #49 as a married or unmarried couple equal the number of records with a reported year of birth in element #51?</p> <p>Are there system edits to verify the accuracy of the foster parent's date? For example, when the date of birth entered would result in the foster parent being 18 or younger.</p>	<p><u>Screen:</u> Resource Management/Substitute Care Provider Tab There is a field for birth date.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> There are three records with the year 1900. There are three records with invalid information. Number of records reported with a year equals 21,588. There are 50,926 records reported as blank. There are three records with invalid years.</p> <p>There are 29,709 records reported in FC49 as married and unmarried couple. There are 14,639 records reported in FC41 for non-foster home settings and 3,568 records reported in FC49 as blank. This equals 18,207.</p> <p><i>Case File Review Findings (n=58): 7 (12%) of the records analyzed did not match what was reported in AFCARS. Six of the error cases were child welfare. There were instances in which the child was placed with a relative and the information was not entered into the system.</i></p> <p><u>Program Code</u> The program uses the placement home sub care provider record as the source of the second foster caretaker's year of birth. The only validity check is to test that it is not blank.</p>	3
<p>52. Race of 1<sup>st</sup> Foster Caretaker</p> <p>a. American Indian or Alaska Native</p> <p>b. Asian</p>	<p><u>Screen:</u> Resource Management/Substitute Care Provider Tab There is a section for Race/Ethnicity. There is a field to identify the reason "unable to determine" was selected. The layout for this field is the same as was noted in FC8.</p>	2 3

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine</p> <p><u>Requirements</u> Indicate the race for the first foster parent. See instructions and definitions for the race categories under element #8, child's race.</p> <p>Use "f. Unable to Determine" only when a foster parent is unwilling to identify his or her race.</p> <p>If at least one of the race categories "a-e" is selected (coded as 1) then f cannot also apply. A combination of a "1" in any category "a-e" and a "1" in "f" will result in an error. In addition, if all race categories "a-f" are all "0"s, this will result in an error.</p> <p>If foster care element #41 (Current Placement Setting) has a value = 4, 5, 6, 7 or 8 (indicating that the child is not in a foster family or pre-adoptive home), then the race categories are to be left blank.</p>	<p>Since this is a different screen, the same corrections need to be made to it as well.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> There are 31,530 (44%) records reported as blank. There are 953 records reported with a race plus unable to determine.</p> <p>There are 14,639 records reported in FC41 for non-foster home settings and 3,568 records reported in FC49 as blank. This equals 18,207.</p> <p><i>Case File Review Findings (n=59):</i> 7 (12%) of the records analyzed did not match what was reported in AFCARS. Six of the error cases were child welfare. In the child welfare cases the fields were blank but the reviewers found information on the foster parent. In some of these cases, the child was placed with a relative and the information was not entered into the system. There were additional errors due to the reviewer finding that there was more than one race identified and not entered into the system.</p> <p><u>Program Code</u> If the current placement setting is other than a foster home, the first foster caretaker's race is set to blank. Otherwise, the program code selects the 1<sup>st</sup> foster parent's race information from the client sub care provider ethnicity table. The race codes found are mapped as in foster care element #8.</p> <p>The logic incorrectly sets the value "unable to determine" to "yes" when only Hispanic values have been entered into the ethnicity fields. See findings for child's race.</p> <p>The program code must be modified to set the race values to blank if "client doesn't know" is selected. Also, modify the program code to set the race fields to blank if a race wasn't selected but only Hispanic was selected.</p> <p>Note there is also the issue of a race and unable to determine incorrectly reported.</p> <p><u>Post-Site Visit Program Code Modifications</u> The state modified the code and commented out the line of code setting this element to "unable to determine" when the only ethnicity selection is "Hispanic." The program code was modified to set the race values to blank if "client doesn't know" is selected.</p> <p>It does not appear that there are changes to address the issue of "unable to</p>	

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	determine” plus a race being reported. This element was rated a “3” but if it is determined that the corrections made during the post-site phase doesn’t address this problem, the rating will be changed during the improvement plan phase.	
<p>53. Hispanic or Latino Ethnicity of 1<sup>st</sup> Foster Caretaker</p> <p>0 = Not Applicable 1 = Yes 2 = No 3 = Unable to Determine</p> <p><u>Requirements</u> Indicate the ethnicity for the first foster parent. See instructions and definitions under element #9, child’s Hispanic or Latino Ethnicity.</p> <p>Use “Unable to Determine” only when a foster parent is unwilling to identify his or her ethnicity.</p> <p>If foster care element #41 (current placement setting) has a value = 4, 5, 6, 7 or 8 (indicating that the child is not in a foster family or pre-adoptive home), then this element must be “0.”</p>	<p><u>Screen:</u> Resource Management/Substitute Care Provider Tab</p> <p>There is a section Hispanic/Latino Origin. There is a field to identify the reason “unable to determine” was selected.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> Not applicable = 14,639 (20%); Yes = 21,338 (29%); No = 25,695 (35%); Unable to determine = 8,101 (11%); Not Reported = 2,741 (4%)</p> <p>There are 14,639 records reported in FC41 for non-foster home settings and 3,568 records reported in FC49 as blank. This equals 18,207.</p> <p><i>Case File Review Findings (n=65):</i> 21 (32%) of the records analyzed did not match what was reported in AFCARS. 19 of the error cases were child welfare.</p> <p><u>Program Code</u> If the current placement setting is anything other than a foster home, the first foster caregiver’s Hispanic origin is set to “not applicable.” This is sometimes incorrectly remapped to blank. The program selects the 1<sup>st</sup> foster parent’s Hispanic or Latino origin from the client sub care provider table.</p> <p>This element is set to “yes” if either of the ethnicity codes is “Hispanic” (830), “Caribbean” (3162), “Central American” (3163), “Mexican” (3164) or “South American” (3165). It is also set to “yes” when the Hispanic code on the client record is “y” and to “no” if it is “n.”</p> <p>If the Hispanic code is “u, undetermined” “z, unable to determine” or “d, decline” and the “ethnicity unable to determine reason” is “client doesn’t know” (k), the Hispanic or Latino origin is set to “unable to determine.” The program code must be modified to set this field to blank if “client doesn’t know” is selected.</p> <p><u>Post-Site Visit Program Code Modifications</u> The state modified the code and set this element to blank instead of “unable to determine” if “undetermined” or “client doesn’t know” is selected.</p>	<p>2</p> <p>3</p>
<p>54. Race of 2<sup>nd</sup> Foster Caretaker (if applicable)</p> <p>a. American Indian or Alaska Native</p>	<p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> There are 51,432 (71%) records reported as</p>	<p>2</p> <p>3</p>

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>b. Asian c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine</p> <p><u>Requirements</u> Indicate the race for the second foster parent. See instructions and definitions for the race categories under element #8, child's race.</p>	<p>blank. There are 535 records reported with a race plus unable to determine.</p> <p>There are 14,639 records reported in FC41 for non-foster home settings and 3,568 records reported in FC49 as blank. This equals 18,207. There are 11,598 records reported in FC49 as single female and male. <math>18,207 + 11,598 = 29,805</math></p> <p><i>Case File Review Findings (n=62): 4 (7%) of the records analyzed did not match what was reported in AFCARS. Three of the error cases were child welfare.</i></p> <p><u>Program Code</u> If the current placement setting is other than a foster home the second foster caretaker's race is set to blank. Otherwise the program selects the 2nd foster parent's race information from the client sub care provider ethnicity table. The logic incorrectly sets the value "unable to determine" to "yes" when only Hispanic values have been entered into the ethnicity fields.</p> <p>The program code must be modified to set the race values to blank if "client doesn't know" is selected. Also, modify the program code to set the race fields to blank if a race wasn't selected but only Hispanic was selected.</p> <p><u>Post-Site Visit Program Code Modifications</u> The state modified the code and commented out the line of code setting this element to "unable to determine" when the only ethnicity selection is "Hispanic."</p> <p>The program code was modified to set the race values to blank if "client doesn't know" is selected.</p> <p>It does not appear that there are changes to address the issue of "unable to determine" plus a race being reported. This element was rated a "3" but if it is determined that the corrections made during the post-site phase doesn't address this problem, the rating will be changed during the improvement plan phase.</p>	
<p>55. Hispanic or Latino Ethnicity of 2<sup>nd</sup> Foster Caretaker (if applicable) 0 = Not Applicable 1 = Yes 2 = No 3 = Unable to Determine</p> <p><u>Requirements</u> Indicate the ethnicity for the second foster parent. See instructions and</p>	<p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> Not applicable = 14,639 (20%); Yes = 11,225 (16%); No = 12,268 (17%); Unable to determine = 2,454 (3%); Not Reported = 31,928 (44%)</p> <p>There are 14,639 records reported in FC41 for non-foster home settings. There are 11,598 records reported in FC49 as single female and male. Total: 26,237 that is to be reported as Not applicable. There are 3,568 records reported in FC49 as blank.</p>	2

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>definitions under element #9, child's Hispanic or Latino Ethnicity.</p> <p>Use "f. Unable to Determine" only when a foster parent is unwilling to identify his or her ethnicity.</p> <p>If foster care element #41 (Current Placement Setting) has a value = 4, 5, 6, 7 or 8 (indicating that the child is not in a foster family or pre-adoptive home), then this element must be "0."</p> <p>If foster care element #49 is either "single male" or "single female," then this element should be "not applicable."</p>	<p><i>Case File Review Findings (n=59):</i> 17 (29%) of the records analyzed did not match what was reported in AFCARS. There were 15 child welfare error cases. The majority of errors were due to this element reported as blank instead of "not applicable." In two other child welfare cases, the response should have been "yes."</p> <p><u>Program Code</u> If the current placement setting is anything other than a foster home the second foster caregiver's Hispanic origin is set to "not applicable" but this is sometimes incorrectly remapped to blank. The program selects the second foster parent's Hispanic or Latino origin from the client sub care provider table. The mapping of the values is the same as in FC53. The program code must be modified to set this filed to blank if "client doesn't know" is selected.</p> <p>The program code is not setting this element based on whether FC49 is either a single male or female. If the foster parent is single, this element is to be set to "not applicable."</p> <p><u>Post-Site Visit Program Code Modifications</u> The state modified the code and set this element to blank instead of "unable to determine" if "undetermined" or "client doesn't know" is selected.</p>	
<p>56. Date of Discharge from Foster Care</p> <p><u>Requirements</u> Enter the month, day and year the child was discharged from foster care. If the child has not been discharged from care, leave blank.</p> <p>If this foster care element is applicable, the date entered must be later than or equal to the Date of Last Removal From Home (foster care element #21).</p> <p><u>Checklist</u> If this element is applicable, there must be a reason provided in element #58.</p> <p>The date should be equal to or prior to the last day of the report period. If the date is entered after the end of the report period, but before the agency extracts the data, it can be extracted and reported for the report period in which the discharge occurred. It must also be submitted in the report period the transaction date occurred.</p>	<p>The agency submitted a proposed approach to address whether a removal episode is 24 hours or less in duration. The agency indicates: The Placement Notebook&gt;ID Page shall carry a control to indicate that a Placement Start Date and End Date is less than a 24 hour period."</p> <p>The agency indicates "placement" clarify that what is being referenced is a removal episode and not a placement. If placements are being used to determine whether the episode is 24 hours or less, then there should be only one placement location.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> Records with the year 2014 = 15,608 There are 56,906 records reported as blank (child still in foster care).</p> <p><i>Case File Review Findings (n=76):</i> 4 (5%) of the records analyzed did not match what was reported in AFCARS. One of the error cases was Probation. In two of the child welfare cases, a discharge date was reported but the child was still in foster care. In one child welfare error case, the date should have been the youth's 18<sup>th</sup> birthday.</p>	2

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	<p>Based on the demonstration and the test cases it is not clear how the discharge fields are working. Also, it appears there is not a consistency check within the system that warns the worker that information being entered is not consistent and if they are sure that they want to end a placement and removal episode. Some of the errors may be related to how probation is being reported. The agency needs to recheck the test cases and the extraction logic and let the Federal team know of its findings. The rating will be re-evaluated at that time.</p> <p>See the findings in GR1 and foster care elements related to removal, there are some counties in which the judge will order dual custody between child welfare and probation. While other county judges do not and will dismiss one agency and give the other custody. If the child is in dual custody, then the child welfare agency must report this case. If the child was originally in Probation's custody when dual custody was ordered, then the removal episode remains an open continuous episode. If the child was moved to a locked facility after being in a foster care placement, then this is to be reported as a placement move and not a discharge.</p> <p>During the onsite review it was noted that practice varies across the State. In some counties if the child is returned to the home of removal without care and placement being dismissed by the court, and if a need arises that requires the child to be placed back in foster care, the agency is required to obtain a new court order that vacates the prior court order. In this instance, the start date of the new court order would also be the discharged date of the previous episode.</p> <p>In other counties this is not the situation and the agency is able to bring the child back into foster care. For this group, the child would continue to be in the AFCARS foster care population until the agency is dismissed of placement and care responsibility.</p> <p><u>Program Code</u> The program selects the last (most recent) placement record for the child. If the placement end date (discharge date) is blank after the report period end date, the date of discharge from foster care is set to blank. Otherwise, it is set to the placement end date.</p> <p>Based on findings in GR1 there may be additional issues in how this element is set that will need to be evaluated by the state.</p>	
<p>57. Foster Care Discharge Transaction Date Requirements</p>	<p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> 14,101 records reported with a transaction date in 2014. This is less than the number of records reported in FC56.</p>	<p>4</p>

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>A computer generated date which accurately indicates the month, day and year the response to “Date of Discharge from Foster Care” was entered into the information system.</p> <p>If the date of discharge from foster care (element #56) is present, the date of discharge from foster care transaction date ( element #57) must be present and must be later than or equal to the date of discharge from foster care (element #56).</p> <p>Must be a non-modifiable computer-generated date that reflects the date element #56 was first entered into system.</p>	<p>FC56 Records with the year 2014 = 15,608. There are 56,906 records reported as blank (child still in foster care).</p> <p><u>Program Code</u> Using the record selected for element #56 the program checks the entry date of the placement end date. If it is blank the discharge transaction date is set to blank, otherwise it is set to the entry date of the end date field.</p>	
<p>58. Reason for Discharge 0 = Not Applicable 1 = Reunification with Parent(s) or Primary Caretaker(s) 2 = Living with Other Relative(s) 3 = Adoption 4 = Emancipation 5 = Guardianship 6 = Transfer to Another Agency 7 = Runaway 8 = Death of Child</p> <p><u>Requirements</u> Reunification With Parents or Primary Caretakers—The child was returned to his or her principal caretaker(s)' home. Living With Other Relatives—The child went to live with a relative other than the one from whose home he or she was removed.  Adoption—The child was legally adopted.  Emancipation—The child reached majority according to the law by virtue of age, marriage, etc.  Guardianship—Permanent custody of the child was awarded to an individual.  Transfer to Another Agency—Responsibility for the care of the child was awarded to another agency—either in or outside of the State or Tribal service area.</p>	<p><u>Screen:</u> Client Services, Placement Notebook, End Placement/Episode Tab. The screen documents the placement change reason and date along with the placement episode termination date and reason for the placement episode.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> Not applicable = 0; Reunify = 8,582 (12%); Living with other relatives = 0; Adoption = 2,847 (4%); Emancipation = 2,071 (2%); Guardianship = 1,370 (2%); Transfer to another agency = 457 (1%); Runaway = 0; Death of child = 15 (.02%); Not reported = 57,172</p> <p>Note that during AAR1 Not Applicable was reported correctly.</p> <p><i>Case File Review Findings (n=76):</i> 13 (17%) of the records analyzed did not match what was reported in AFCARS. Nine of the error cases were Probation. In two of the child welfare cases, a discharge reason was reported but the child was still in foster care. In one child welfare error case, the outcome should have been “live with other relatives” instead of “reunification.” In another child welfare error case, a date was reported in FC56 but this field was blank. It should have been “emancipation.” In one of the probation cases, the discharge reason should have been “reunification.” The other eight probation cases were reported blank instead of “not applicable.”</p> <p><u>Program Code</u> The program maps the discharge reason from the termination type code on the record selected for the discharge date. If there is no discharge date the program incorrectly maps the discharge reason to blank rather than to “not applicable.”</p> <p><u>Post-Site Visit Program Code Modifications:</u> The program code was modified to first check if there is a discharge date. If one is</p>	2

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>Runaway—The child ran away from the foster care placement.</p> <p>Death of Child—The child died while in foster care.</p> <p><u>Checklist</u> If this element has a response, then a date must be in element #56.</p> <p>“Runaway” should only be indicated if the agency has been dismissed of responsibility for care and placement.</p>	<p>not found, this element is set to “not applicable.”</p> <p>If the termination type code is “reunified with parent/guardian (court)” (5439), “reunified with parent/guardian (non-crt)” (5440) or “child released home” (5513), the discharge reason is mapped to “reunification with parent(s) or primary caretaker(s).”</p> <p>If the termination type code is “adoption finalized” (5426) and (5505) or “tribal customary adoption” (6530), the reason for discharge is mapped to “adoption.”</p> <p>If the termination type code is “age of majority” (5427) and (5506) or “emancipation” (5433) and (5510), the discharge reason is “emancipation.”</p> <p>A termination type code of “guardianship” (5434) and (5516) is mapped to “guardianship.”</p> <p>Termination type codes “child in med fac (dependency susp/dism)” (5429), “chld cmtd to State hosp (dpnd susp/dism)” (5508), “child dependent in other State” (5509), “other non-CWS agency has jurisdiction” (5436), “incarcerated” (5632) or “other non-CWS agency has jurisdiction” (5514), the discharge reason is “transfer to another agency.”</p> <p>During the first AAR, the state provided information indicating that “5429/5508, child in medical facility (dependency suspended/dismissed)” is used in “those few circumstances where a child might remain in a medical facility, but the agency no longer has care or placement responsibility.”</p> <p>A termination code of “child ran away from placement” (5430) and (5511) is mapped to “runaway.” This situation should only occur if the court has dismissed care and placement. This was addressed in the agency’s first AAR and in its improvement plan.</p> <p>If the code is “death of child” (5432) and (5515) the discharge reason is “death of child.”</p> <p>There is no mapping for “living with other relatives.” During the first AAR, the agency indicated “that a child is never discharged to relatives. Instead, a legal guardianship would be established for that relative and then the child’s discharge reason is “guardianship.” However, it may possible that within the initial 72 hours of a removal, before the agency goes to court, the child may be placed with a relative. In this</p>	

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
	situation the case would be discharged for AFCARS purposes since the agency never obtained a court order for placement and care.	
<p>Source(s) of Federal Financial Support/assistance for Child 0-Does not apply 1-Applies</p> <p><u>Requirements</u> Indicate all that apply with a "1."</p> <p>At least one of the foster care elements #59 through #65 must have a value of 1.</p> <p>Include all that applied at any time during the six-month reporting period. The payment/benefit can be for less than a full month and still qualify as "applies" for any one of these benefits in elements #59 - 65.</p>	<p><u>Program Code</u> The program code creates a financial support file for the child by selecting and merging the child's client aid type codes with external datasets for child support, Medicaid, Social Security and other forms of support income. If the child's id is matched on any of the external data files an indicator is set to "1" for each type of support found (child support, Medicaid or SSI).</p> <p>The program code does check for this information per the six month report period.</p>	
<p>59. Title IV-E (Foster Care)</p> <p><u>Requirements</u> Title IV-E foster care maintenance payments are being paid on behalf of the child.</p> <p><u>Checklist</u> This element should not check whether a claim has been submitted by the title IV-E agency to the Children's Bureau.</p> <p>Does the program code incorrectly only check for a title IV-E payment? Does the program code also check the eligibility status of those children who entered foster care in the last month of the report period but for whom a payment has not yet been made to the provider?</p> <p>Title IV-E eligibility criteria include court order language, AFDC requirements, and whether the facility is eligible for reimbursement.</p> <p>Does the agency's frequency response for "applies" appear accurate or is it lower than expected?</p>	<p>The eligibility for title IV-E is not done within CWS/CMS. The eligibility workers use the IV-A system for determining AFDC. The eligibility worker provides the caseworker with the eligibility determination. The caseworker is then the person, in most counties, who updates this field.</p> <p>This element is rated as a three due to it being manually entered. This element will be continuously re-evaluated as to its accuracy.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514): Applies = 29,902 (41%)</i></p> <p><i>Case File Review Findings (n=63): 8 (8%) of the child welfare records analyzed did not match what was reported in AFCARS. In the error cases, the response should have been "applies" instead of "does not apply." While the nine Probation cases were correct, they were all reported as "does not apply." As noted previously, if the probation child is not receiving title IV-E they are not to be included in the AFCARS reporting population.</i></p> <p><u>Program Code</u> If the aid type code is "IVEFC" (44) element #59 is set to "yes," otherwise it is set to "no."</p>	3
<p>60. Title IV-E (Adoption Assistance)</p> <p><u>Requirements</u></p>	<p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514): Applies = 1,922 (3%)</i></p>	3 4

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
Title IV-E adoption subsidy is being paid on behalf of the child who is in an adoptive home, but the adoption has not been legalized.	<u>Program Code</u> If the aid type code is "IVEAA" (6149) element #60 is set to "yes," otherwise it is set to "no."	
61. Title IV-A  <u>Requirements</u> Child is living with relative(s) whose source of support is an AFDC payment for the child.	<u>Data Quality</u> 2014B Frequency Report (n=72,514): Applies = 184 (.25%)  <u>Program Code</u> If the aid type code is "IVAAFC" (5319) element #61 is set to "yes," otherwise it is set to "no."	4
62. Title IV-D (Child Support)  <u>Requirements</u> Child support funds are being paid to the title IV-E agency on behalf of the child by assignment from the receiving parent.	<u>Data Quality</u> 2014B Frequency Report (n=72,514): Applies = 4,220 (6%)  <u>Program Code</u> If the child support indicator is "1" element #62 is set to "yes," otherwise it is set to "no."	4
63. Title XIX (Medicaid) <u>Requirements</u> Child is eligible for and may be receiving assistance under title XIX.  <u>Checklist</u> Does the agency's frequency response for "applies" appear accurate or is it lower than expected?	<u>Data Quality</u> 2014B Frequency Report (n=72,514): Applies = 71,157 (98%)  <u>Program Code</u> If the Medicaid indicator is "1" element #63 is set to "yes," otherwise it is set to "no."	4
64. SSI or Other Social Security Benefits <u>Requirements</u> Child is receiving support under title XVI or other Social Security Act titles not included in this section.	<u>Data Quality</u> 2014B Frequency Report (n=72,514): Applies = 2,117 (3%)  Case File Review Findings (n=69): 3 (4%) of the child welfare records analyzed did not match what was reported in AFCARS. In each case, the response should have been "applies" instead of "does not apply."  <u>Program Code</u> If the SSI indicator is set to "1" element #64 is set to "yes," otherwise it is set to "no."	4
65. None of the Above <u>Requirements</u> Child is receiving support only from the title IV-E agency, or from some other source (Federal or non-Federal) which is not indicated above.  <u>Checklist</u> The program code checks for other sources of State, Tribal, Federal, or non-Federal regardless of the responses to elements #59 - 64.	<u>Data Quality</u> 2014B Frequency Report (n=72,514): Applies = 948 (1%)  <u>Program Code</u> The program sets "none of the above" to "yes" if all of #59 through 64 are "no." Otherwise, it is set to "does not apply." This element is not including other sources of income the child might have. The program code needs to have logic added to look for additional sources of income.	2

AFCARS Assessment Review Findings: Foster Care Elements  
State: California

Data Element	Findings	Rating Factor
<p>66. Amount of Monthly Foster Care Payment</p> <p><u>Requirements</u> Enter the monthly payment paid on behalf of the child regardless of source (e.g., Federal, State, county, municipality, Tribal, and private payments). If title IV-E funds are paid on behalf of the child, the amount indicated should be the total computable amount. If the payment made on behalf of the child is not the same each month, indicate the amount of the last full monthly payment made during the reporting period. If no monthly payment has been made during the period, enter all zeros.</p> <p><u>Checklist</u> Should be amount of last full monthly payment paid in the AFCARS report period.</p> <p>A blank in this field indicates that the title IV-E agency does not have the information for this foster care element or that a payment was not made.</p>	<p><i>Case File Review Findings (n=61):</i> 4 (7%) of the records analyzed did not match what was reported in AFCARS. In three of the child welfare cases, the reviewers noted a different amount than what was reported to AFCARS. In one Probation error case, the field was blank but the reviewer found an amount.</p> <p><u>Program Code</u> The amount is initialized to zero.</p> <p>The program logic checks the base rate indicator and if it is “yes” the basic amount is used for the monthly amount. Otherwise the monthly amount is set equal to the basic amount plus the specialized care incremental rate amount.</p> <p>The amount is the most recent data where the approval status is not “rejected” (121) and the payment request date is prior to the end of the reporting period. Additionally, the payment end date is blank or greater than the report period start date.</p> <p>If the amount is greater than or equal to 11000, the monthly amount is reset to zero.</p> <p><u>Post-Site Visit Program Code Modifications</u> The program code was modified by commenting out the routine regarding the amount being greater or equal to 11000.</p>	<p>2</p>

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
1. Title IV-E Agency	<u>Program Code</u> The IV-E Agency code for California ("06") is hard coded in the program.	4
2. Report Period Ending Date	<u>Program Code</u> The report period end date is manually entered at the time of program execution.	4
3. Record number		4
4. Did the title IV-E Agency have any involvement in this adoption? 1=Yes 2=No  <u>Requirements</u> Indicate whether the title IV-E agency had any involvement in this adoption, that is, whether the adopted child belongs to one of the following categories: <ul style="list-style-type: none"> <li>• A child who had been in foster care under the responsibility and care of the child welfare agency and who was subsequently adopted, whether special needs or not, and whether a subsidy was provided;</li> <li>• A special needs child who was adopted in the State or Tribal service area, whether or not he/she was in the public foster care system prior to his/her adoption and for whom non-recurring expenses were reimbursed; or</li> <li>• A child for whom an adoption assistance payment or service is being provided based on arrangements made by or through the title IV-E agency.</li> </ul> <u>Checklist</u> This item is linked to the General Requirements items #9 and 11.	<u>Program Code</u> Title IV-E Agency involvement is hardcoded as "1" for "yes."  The agency is only reporting those adoptions in which the agency has completed or has entered into an adoption assistance agreement with the family. See GR9 and 11.	4
5. Child's Date of Birth	<u>Program Code</u> The child's date of birth is selected from the demographic data in the client record.	4
6. Sex 1=Male 2=Female	<u>Program Code</u> The child's sex is mapped from their client record gender code as "m" is "male" and "f" is "female." Any other value is mapped to blank.	4
7. Child's Race 0=No 1=Yes  a. American Indian or Alaska Native b. Asian c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine	<u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> No records reported as blank. Eight records incorrectly reported as a race plus unable to determine.  <i>Case File Review Findings (n=24):</i> 2 (8%) of the records analyzed did not match what was reported in AFCARS. In two of the error cases, the response should have been "white" instead of "unable to determine."  <u>Program Code</u> See the logic for foster care element #8. The program code also needs to be modified to differentiate when there is or is not a race for a Safe Haven infant.	2

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
	<p><u>Post-Site Visit Program Code Modifications</u> The state modified the code and set this element to blank instead of “unable to determine” if child is only Hispanic or “client doesn’t know” is selected.</p>	
<p>8. Child’s Hispanic or Latino Ethnicity 1=Yes 2=No 3=Unable to determine</p> <p><u>Requirements</u> Answer “yes” if the child is of Mexican, Puerto Rican, Cuban, Central or South American origin, or a person of other Spanish cultural origin regardless of race. Whether or not a person is Hispanic or Latino is determined by how they define themselves or by how others define them. In the case of young children, parents determine the ethnicity of the child. “Unable to Determine” is used because the child is very young or is severely disabled and no other person is available to determine whether or not the child is Hispanic or Latino.</p> <p>“Unable to determine” is also used if the parent, relative or guardian is unwilling to identify the child’s ethnicity.</p>	<p><u>Data Quality</u> 2014B Frequency Report (n=2,850): Yes = 1,448 (51%); No = 1,290 (45%); Unable to determine = 60 (2%); Not Reported = 52 (2%)</p> <p><u>Case File Review Findings (n=24)</u>: 4 (17%) of the records analyzed did not match what was reported in AFCARS. The responses should have been “yes” instead of “no.”</p> <p><u>Program Code</u> See the logic for foster care element #9.</p> <p><u>Post-Site Visit Program Code Modifications</u> The program code was modified and no longer checks for the value “undetermined” and “K, client does not know” when setting “unable to determine.” The code now checks if “z, unable to determine” or “d, decline” and the “ethnicity unable to determine reason” is “child abandoned” (a), “incapacitated” (i). Or if the response is neither “yes” or “no” and the “safe haven” indicator is “yes,” then the element will be set to “unable to determine.” The value for “client doesn’t know” was also removed in the second routine that sets this element to “unable to determine.”</p>	<p>2</p> <p>3</p>
<p>9. Has the title IV-E agency determined that the child has special needs? 1=Yes 2=No</p> <p><u>Requirements</u> Use the title IV-E agency definition of special needs as it pertains to a child eligible for an adoption subsidy under title IV-E.</p> <p><u>Checklist</u> Is the number of “yes” responses for this element equal to or greater than the number reported as “yes” in element #35, child receiving monthly subsidy?</p> <p>Does the title IV-E agency have this as a question in the system, or on forms, or is the information reported to AFCARS derived based on the response to adoption element #10?</p>	<p><u>Screen</u>: Client Services, AAP Eligibility tab</p> <p><u>Data Quality</u> 2014B Frequency Report (n=2,850): Yes = 2,822 (99.79%); No = 6 (.21%); Not Reported = 0</p> <p><u>Program Code</u> Element #9 is set to “yes” if the primary basis code in the adoptive child record is anything other than blank. Otherwise, it is set to “no.” There is no validity checking for the value in the primary basis code.</p>	4
<p>10. Primary Factor or Condition for Special Needs 0=Not applicable</p>	<p><u>Screen</u>: Client Services, AAP Eligibility tab There is a section “Reasons for AAP Eligibility.” There are five checkbox items -</p>	3

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
<p>1=Racial/Ethnic Background 2=Age 3=Membership in a Sibling Group 4=Medical conditions or Mental, Physical or Emotional Disabilities 5=Other</p> <p><u>Requirements</u> Indicate only the primary factor or condition for categorization as special needs and only as it is defined by the title IV-E agency.</p> <p>Racial/Original Background—Primary condition or factor for special needs is racial/original background as defined by the title IV-E agency.</p> <p>Age—Primary factor or condition for special needs is age of the child as defined by the title IV-E agency.</p> <p>Membership in a Sibling Group to be Placed for Adoption Together—Primary factor or condition for special needs is membership in a sibling group as defined by the title IV-E agency.</p> <p>Medical Conditions or Mental, Physical, or Emotional Disabilities—Primary factor or condition for special needs is the child’s medical condition as defined by the title IV-E agency, but clinically diagnosed by a qualified professional. When this is the response to this question, then elements #11-15 must be answered with at least one being “yes, applies.”</p> <p>Other [as defined by the title IV-E agency].</p>	<p>Race, Ethnicity, Color, or Language; Age of 3 years or older; Membership in sibling group that should remain intact; Mental, Physical, Emotional, or Medical Disability; and Adverse Parental Background. At the bottom of this section is a field “Primary Reason for AAP Eligibility” with a drop-down list.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> Not Applicable = 6 (.21%); Racial/Origin Background = 654 (22.95%); Age = 292 (10.25%); Sibling Group = 478 (16.77%); Medical, Mental, Physical or Emotional Disabilities = 149 (5.23%); Other State Defined Special Need = 1,271 (44.6%)</p> <p><i>Case File Review Findings (n=24):</i> 9 (38%) of the records analyzed did not match what was reported in AFCARS. The reviewers noted that the basis reported to AFCARS is not what appeared to be the primary factor preventing the child being placed for adoption. There appears to be a need for training.</p> <p><u>Program Code</u> If the primary basis code is blank, element #10 is mapped to “not applicable.” Otherwise, an “r” is mapped to “racial/ethnic background,” an “a” is mapped to “age,” an “s” is mapped to “membership in a sibling group,” a “d” is mapped to “medical conditions or mental, physical or emotional disabilities” and anything else is mapped to “other.” There is no validity checking for what is mapped to the “other” condition.</p>	
<p>Elements #11 – 15 0=Does not Apply 1=Yes, applies</p> <p><u>Checklist</u> Elements #11 - 15 are only reported if the response to element #10 is “4, medical conditions or mental, physical or emotional disabilities.”</p>	<p><u>Screen:</u> Client Services/Health Notebook/Diagnosed Condition Tab The same fields noted in FC11-15 are used for reporting diagnosed conditions in the adoption file. Findings for those elements apply to the adoption fields as well if the child’s primary basis for special needs is a diagnosed health condition.</p> <p>Note that while some conditions would not be mapped for the foster care elements, if the eligibility and case workers determine the child’s basis for special needs is one of those conditions, then it would apply for the adoption file.</p> <p><u>Program Code:</u> LNs 295 - 494 Elements #11 – 15 are mapped from diagnosed condition codes that are selected</p>	

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
	<p>originally from the child's demographic data. The mapping of these conditions is incorrectly performed regardless of the primary basis selected for element #10.</p> <p>Conditions are mapped as "yes, applies" if the associated begin and end dates show the condition to be active at any time within the reporting period. Note that for the adoption file this logic as it is not relevant. If the child was determined eligible for special needs assistance and the primary factor that may make adoptive homes more difficult to find was medical, then the condition must be present.</p> <p><u>Post-Site Visit Program Code Modifications</u> Modifications have been made to set AD 11 - 15 to "does not apply" if the primary basis for special needs is anything other than medical. Also, the date logic was modified by removing the check for the end date of the diagnosis. This approach does not exactly address the finding that in order for a diagnosed health condition to be applicable it has to be active in order for the eligibility worker to determine special needs based on diagnosed health conditions. Also, this section of logic looks the same as what is in foster care. It is not clear why it is being used in the adoption file.</p>	
<p>11. Type of Disability-Mental Retardation</p> <p><u>Requirements</u> Significantly subaverage general cognitive and motor functioning existing concurrently with deficits in adaptive behavior manifested during the development period that adversely affect a child's/youth's socialization and learning.</p>	<p><u>Program Code</u> If the condition code is one that maps to mental retardation and the diagnosed indicator is "y" and the condition start and end dates indicate the condition was active at any time during the reporting period then element #11 is set to "yes, applies." Otherwise it is set to "no."</p> <p>The condition codes for mental retardation are: "mentally retarded" (5402), "Down's syndrome" (3111) and "water on the brain/Hydrocephalus). The condition "microcephalus" was not on the screen. Should a child who is in foster care have that diagnosis, it would be mapped to this element.</p> <p>See the findings for the screen in FC11 regarding developmental delay. There also is the condition "Other Developmental/Functional Limitation" that needs to be mapped to this element if the limitation is cognitive.</p>	2
<p>12. Type of Disability-Visually or Hearing Impaired</p> <p><u>Requirements</u> Having a visual impairment that may significantly affect educational performance or development; or a hearing impairment, whether permanent or fluctuating, that adversely affects educational performance.</p>	<p><u>Program Code</u> If the condition code is one that maps to visually or hearing impaired and the diagnosed indicator is "y" and the condition start and end dates indicate the condition was active at any time during the reporting period then element #12 is set to "yes, applies." Otherwise it is set to "no."</p> <p>The condition codes for visually and hearing impaired are: blind (5665), blind/visual impairment (0389), crossed eyes-Strabismus (3140), deaf (5676), esotropia (5684),</p>	2 3

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
	<p>exotropia (5685), deaf/hearing impairment (0391), hearing impairment (5677), and visual impairment (5666). Crossed eyes-Strabismus, Estropia and extropia are not to be mapped to AFCARS.</p> <p>The conditions “blind/visual impairment,” “deaf/hearing impairment” are no longer active options on the screen.</p> <p><u>Post-Site Visit Program Code Modifications</u> The following conditions have been removed from the extraction for this element: “crossed eyes-Strabismus” (3140), estropia and extropia.</p>	
<p>13. Type of Disability-Physically Disabled</p> <p><u>Requirements</u> A physical condition that adversely affects the child’s day-to-day motor functioning, such as cerebral palsy, spina bifida, multiple sclerosis, orthopedic impairments, and other physical disabilities.</p>	<p><i>Case File Review Findings (n=24):</i> 1 (4%) of the records analyzed did not match what was reported in AFCARS. The response should have been “applies” instead of “does not apply.”</p> <p><u>Program Code</u> If the condition code is one that maps to physically disabled and the diagnosed indicator is “y” and the condition start and end dates indicate the condition was active at any time during the reporting period then element #13 is set to “yes, applies.” Otherwise it is set to “no.”</p> <p>The condition codes that are mapped to physically disabled are: arthritis (5662), cerebral palsy (3102), Huntington’s disease (5691), muscular dystrophy (5704), multiple sclerosis (5703), non-ambulatory (0400), scoliosis (3138), orthopedically handicapped (5403), physiologically disordered (5405), and spina bifida (5726).</p> <p>The following should not be mapped to AFCARS: non-ambulatory (map the actual diagnosed condition), scoliosis (if it affects activity of daily living, then map it), orthopedically handicapped, and physiologically disordered.</p> <p><u>Post-Site Visit Program Code Modifications</u> The conditions non-ambulatory and scoliosis have been removed from the extraction code.</p> <p>The agency needs to add a value that will distinguish a developmental delay that is motor. There also is the condition “Other Developmental/Functional Limitation” that needs to be mapped to this element if the limitation is motor.</p>	2
<p>14. Type of Disability-Emotionally Disturbed</p> <p><u>Requirements</u></p>	<p><i>Case File Review Findings (n=24):</i> 1 (4%) of the records analyzed did not match what was reported in AFCARS. The response should have been “does not apply” instead of “applies.” The response in AD10 was not medical, etc.</p>	2

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
<p>A condition exhibiting one or more of the following characteristics over a long period of time and to a marked degree: An inability to build or maintain satisfactory interpersonal relationships; inappropriate types of behavior or feelings under normal circumstances; a general pervasive mood of unhappiness or depression; or a tendency to develop physical symptoms or fears associated with personal problems. The term includes persons who are schizophrenic or autistic. The term does not include persons who are socially maladjusted, unless it is determined that they are also seriously emotionally disturbed.</p>	<p><u>Program Code</u> If the condition code is one that maps to emotionally disturbed and the diagnosed indicator is “y” and the condition start and end dates indicate the condition was active at any time during the reporting period then element #14 is set to “yes, applies.” Otherwise it is set to “no.”</p> <p>There are several conditions mapped to this element. The ones listed below are incorrectly mapped to this element and should not be included.</p> <p>337 = Depressed and/or withdrawn 357 = Sets Fires 359 = Suicidal (discusses plans) 360 = Suicidal (has attempted) 361 = Suicidal (Self-Destructive Behavior) 365 = Violent or Harmful Toward Self 373 = Hallucinates, Delusions/Bizarre Thgths 377 = Other Client Emotional Condition 378 = Psych Hospitalization (Current/Past)</p> <p><u>Post-Site Visit Program Code Modifications</u> The conditions depressed and/or withdrawn, sets fires, violent or harmful toward self, hallucinates, delusions/bizarre thoughts, other client emotional condition, psych hospitalization (Current/Past) have been removed for the mapping of this element.</p>	
<p>15. Type of Disability-Other Medically Diagnosed Condition Requiring Special Care</p> <p><u>Requirements</u> Conditions other than those noted above which require special medical care such as chronic illnesses. Included are children diagnosed as HIV positive or with AIDS.</p>	<p><i>Case File Review Findings (n=24): 11 (46%) of the records analyzed did not match what was reported in AFCARS. In 10 cases, the response should have been “does not apply” instead of “applies.” The response in AD10 was not medical, etc.</i></p> <p><u>Program Code</u> If the condition code is one that maps to other medically diagnosed condition requiring special care and the diagnosed indicator is “y” and the condition start and end dates indicate the condition was active at any time during the reporting period then element #15 is set to “yes, applies.” Otherwise it is set to “no.”</p> <p>There are several conditions mapped to this element. The screen contains the option “autism” but it is not currently mapped to any category. Map it to this element. Also, if there are children with the diagnosis of Asperger's Syndrome, it too would be mapped to this category.</p> <p>How is HIV/AIDS recorded in the system? Neither are being mapped to this element.</p>	2

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
	<p>The items listed below are incorrectly mapped to this element and should be excluded.</p> <p>387 = Apnea Equipment, 388 = Asthma, 396 = Bedwetting / Enuresis, 398 = Medical Equipment/Procedures Required, 404 = Severe Deficits In Self-Help Skills, 3095 = Anemia, 3113 = Heart Murmur, 3118 = Hepatitis, 3143 = Tuberculosis, 5670 = Burns, 5678 = Dermatitis, 5682 = Eczema, 5699 = Medical Equipment Required, 5701 = Medical Procedures Required, 5711 = Phimosis.</p> <p><u>Post-Site Visit Program Code Modifications</u> The items listed above were removed from the mapping of this element.</p>	
<p>16. Mother's Year of Birth</p> <p><u>Requirements</u> Enter the year of birth for mother, if known. If the child was abandoned and no information was available, leave blank.</p> <p><u>Checklist</u> If the parent was a legal or adoptive parent, is the parent's birth year reported for this element? If the legal parents of the child were of the same sex, then use both elements #16 and #17 to reflect the legal parent's year of birth regardless of gender.</p> <p>Does the title IV-E agency's case management or tracking system use the same screen for collecting this information that is used for all persons?</p>	<p><u>Program Code</u> The mother's year of birth is selected from the parental rights termination record associated with the client where the relationship code is "daughter/mother (adoptive)" (0194), "daughter/mother (birth)", "daughter/mother (alleged)" (0195), "mother/daughter (adoptive)" (0245), "mother/daughter (birth)" (0247), "mother/daughter (alleged)" (0246), "mother/son (adoptive)" (0250), "mother/son (birth)" (0252), "mother/son (alleged)" (0251), "son/mother (adoptive)" (0289), "son/mother (birth)" (0289) or "son/mother (alleged)" (0290). These are prioritized so that the selection is based on this order, the year of birth of an adoptive mother, if found, is used. The birth mother is used if no adoptive mother value was found. If no birth mother is found the alleged mother is used if present.</p> <p>There is additional logic to retrieve the birth parent's year of birth from the client record. If no birth date is found the field is set to blank.</p> <p>The logic for this element should be simplified. The program code should report the date of birth of the person entered as the child's mother. The current parent is the one whose parental rights were terminated so it should not matter if it was a birth or adoptive parent.</p> <p>If the parents were a same-sex couple, this logic would not necessarily identify one of the individual's date of birth.</p>	2
<p>17. Father's Year of Birth</p> <p><u>Requirements</u> Enter the year of birth for father, if known. If the child was abandoned and no information was available, leave blank.</p>	<p><u>Data Quality</u> 2014B Frequency Report (n=2,850): There is one record with a year of 2014.</p> <p><u>Program Code</u> The father's year of birth is selected from the parental rights termination record associated with the client where the relationship code is "daughter/father (adoptive)"</p>	2

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
<p><u>Checklist</u> If the parent was a legal or adoptive parent, is the parent's birth year reported for this element?</p> <p>If the legal parents of the child were of the same sex, then use both elements #16 and #17 to reflect the legal parent's year of birth regardless of gender.</p>	<p>(188), "daughter/father" (alleged)" (0189), "daughter/father (birth)" (0190), "daughter/father (presumed)" (0192), "father/daughter (adoptive)" (0203), "father/daughter (alleged)" (0204), "father/daughter (birth)" (0205), "father/daughter (presumed)" (0207), "father/son (adoptive)" (0209), "father/son (alleged)" (0210), "father/son (birth)" (0211), "father/son (presumed)" (0213), "son/father (adoptive)" (0283), "son/father (alleged)" (0284), "son/father (birth)" (0285) or "son/father (presumed)" (0287). These are prioritized so that the selection is based on this order, the year of birth of an adoptive father, if found, is used. The birth father is used if no adoptive father value was found. If no birth father is found the presumed father is used if present. If no presumed father is found the alleged father is used.</p> <p>There is additional logic to retrieve the birth parent's year of birth from the client record. If no birth date is found the field is set to blank.</p> <p>See the notes in AD16 to simplify the extraction code.</p> <p>If the parents were a same-sex couple, this logic would not necessarily identify one of the individual's date of birth.</p>	
<p>18. Was the Mother married at the time of the child's birth? 1=Yes 2=No 3=Unable to determine</p> <p><u>Requirements</u> Indicate whether the mother was married at the time of the child's birth; include common law marriage if legal in the State or Tribe. If the child was abandoned and no information was available on the mother, enter "Unable to Determine."</p> <p><u>Checklist</u> This question always applies to the birth mother.</p>	<p><u>Screen:</u> Client Services: Adoption Information There is a section "Birth Parents" that includes a dropdown field for "Mother Married at Birth." It is not clear if this screen can be accessed at any time or only if there is goal of adoption or a finalized adoption. This information is to be documented at the beginning of the case and not at the time of adoption.</p> <p>There also is a screen "Family Information Notebook, Cohabitation tab." The "cohabitation" screen has a "start date" field and this date represents the date the marriage occurred. According to the state staff the code is not extracting from the "cohabitation" screen.</p> <p><u>Data Quality</u> 2014B Frequency Report (n=2,850): Yes = 1,241 (44%); No = 1,381 (49%); Unable to determine = 183 (6%); Not Reported = 45</p> <p>Case File Review Findings (n=24): 9 (38%) of the records analyzed did not match what was reported in AFCARS. In eight error cases, the response should have been "no" instead of "yes." In one error case, the response should have been "no" instead of "unable to determine."</p> <p>The state needs to ensure that workers understand this should reflect the biological</p>	<p>2 3</p>

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
	<p>mother's marital status at the time of the child's birth and not the current marital status.</p> <p><u>Program Code</u> The program selects the "birth mother married" code from the adoptive child client table and maps it as "y" is "yes," "n" is "no" and "u" is "unable to determine." Any other value is mapped to blank.</p> <p>This element is rated a "3" unless it is determined that the screen cannot be accessed at the opening of a case.</p>	
<p>19. Date of Mother's Termination of Parental Rights</p> <p><u>Requirements</u> Enter the month, day and year that the court terminated mother's parental rights. If the mother is known to be deceased, enter the date of death.</p> <p><u>Checklist</u> This element must be prior to or equal to adoption element #21 (Date adoption legalized).al Is the extraction code checking for a legal parent, if applicable?</p> <p>If the legal parents of the child were of the same sex, then use both elements #19 and #20 to reflect the termination of parental rights of the legal parent regardless of gender.</p> <p>Does the title IV-E agency's case management or tracking system use the same screen for this element that is used for foster care element #47?</p>	<p><u>Program Code</u> The TPR dates are selected in the same logic that selects all demographic data for the child's parents. The hierarchy of adoptive/birth/alleged values established for the year of the mother's birth is used to determine the client id of the person whose TPR date is required. It doesn't appear that the logic is selecting the most recent TPR date. If no TPR date is found the value is set equal to the legally free date obtained when the adoption population was selected. If no TPR date is found the field is set to blank.</p> <p>There is no check for a deceased date.</p> <p>The last TPR date on the TPR table should be reported.</p> <p><u>System</u> While the system labels for these fields are not gender neutral, the discussion around entering TPR dates on a same sex couple focused on training workers to use either field. The program code needs to extract one of the TPR dates for FC47 and the other for FC48.</p>	2
<p>20. Date of Father's Termination of Parental Rights</p> <p><u>Requirements</u> Enter the month, day and year that the court terminated father's parental rights. If the father is known to be deceased, enter the date of death.</p> <p><u>Checklist</u> If there are multiple fathers, the one who represented the last barrier to the child's adoption should be used. This element must be prior to or equal to adoption element #21 (Date adoption legalized).</p>	<p><u>Program Code</u> The TPR dates are selected in the same logic that selects all demographic data for the child's parents. The hierarchy of adoptive/birth/presumed/alleged values established for the year of the father's birth is used to determine the client id of the person whose TPR date is required. It doesn't appear that the logic is selecting the most recent TPR date. If no TPR date is found the value is set equal to the legally free date obtained when the adoption population was selected. If no TPR date is found the field is set to blank.</p> <p>There is no check for a deceased date.</p>	2

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
<p>Is the extraction code checking for a legal parent, if applicable?</p> <p>If the legal parents of the child were of the same sex, then use both elements #19 and #20 to reflect the termination of parental rights of the legal parent regardless of gender.</p> <p>Does the title IV-E agency's case management or tracking system use the same screen for this element that is used for foster care element #48?</p>	<p>The last TPR date on the TPR table should be reported.</p>	
<p>21. Date Adoption Legalized <u>Requirements</u> Enter the date the court issued the final adoption decree.</p> <p><u>Checklist</u> Is this date and the date of discharge in foster care element #56 the same?</p> <p>Does the title IV-E agency's case management or tracking system use the same field for this element that is used for foster care element #56?</p>	<p><i>Case File Review Findings (n=20):</i> 2 (10%) of the records analyzed did not match what was reported in AFCARS. In one error case, the reviewer noted a date that was five days later than the one reported to AFCARS. In one error case, the reviewer noted a date that was three weeks later than the one reported to AFCARS.</p> <p><u>Program Code: LNs 95 - 135</u> The program selects this date from the child's adoptive placement record's "final date." The date selected must be within the reporting period.</p>	4
<p>Adoptive Parent Information (Elements #22 – 28)</p> <p><u>Checklist</u> Does the title IV-E agency's case management or tracking system use the same screen for these elements that is used for foster care elements #49 - 55?</p>	<p><u>System</u> See prior notes related to same sex couples and entry of information.</p> <p><u>Program Code</u> The program selects all adoptive parent information in one routine that reads the adoption home study table, adoptive client table and the substitute care provider tables related to the child's adoption.</p>	
<p>22. Adoptive Parents' Family Structure 1=Married couple 2=Unmarried couple 3=Single female 4=Single male</p> <p><u>Requirements</u> Select the category which best describes the nature of the adoptive parent(s) family structure.</p> <p>If the adoptive family structure is "single male" the adoptive mother's Hispanic ethnicity is set to "not applicable" but this is later incorrectly changed to blank. The adoptive mother's Hispanic origin is mapped from the Hispanic origin code on the ethnicity field from her client substitute care provider record. The mapping logic is the same as foster care element #9.</p>	<p><u>Screens:</u> Resource Management, Substitute Care Provider, Client Services: Adoptive Placement, Identification</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> Married = 1,742 (61%); Unmarried Couple = 142 (5%); Single female = 810 (28%); Single Male = 109 (4%); Not Reported = 47 (2%)</p> <p><u>Program Code</u> The program code has two approaches to mapping the adoptive family structure. If there are two adoptive parents the marital status codes for provider one and provider two are checked. If either parent has codes of "married" (1308) or "legally separated" (1307), the family structure is set to "married couple." If either has a marital status code of "divorced" (1306), "never married" (1309) or "widowed" (1310) the family structure is "unmarried couple."</p>	3

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
	<p>If there is only one adoptive parent the program uses the provider's gender code to map the family structure. An "f" is mapped to "single female" and an "m" is mapped to "single male." Any other value is mapped to blank.</p> <p>While it possible the logic is mostly correctly, there should be a field on the client screen that indicates a marital status and the code should check that field. This element is rated a 3 but the agency needs to re-evaluate and determine if the approach is correct. Note that for several report periods there has been missing data as well as a significant number of records failing the consistency check. The state and federal team need to discuss and the rating for this element may be changed to a "2."</p>	
<p>23. Adoptive Mother's Year of Birth</p> <p><u>Requirements</u> Enter year of birth.</p> <p>If the response to element #22, Family Structure was 1 or 2, enter data for two parents.</p> <p>If the response to element #22 was 3 or 4, enter data only for the appropriate parent. If the exact year of birth is unknown, enter an estimated year of birth.</p> <p>If element #22 is 1, 2 or 3, adoption element #23 must be completed.</p> <p><u>Checklist</u> Do the number of records reported in element #22 as a married, unmarried couple, single male, and single female equal the number of records with a reported a year of birth in element #23?</p> <p>If the State or Tribe allows same sex couples to adopt a child, then use both elements #23 and #24 to reflect the adoptive parent's year of birth regardless of gender.</p>	<p><u>Data Quality</u> 2014B Frequency Report (n=2,850): Not Reported = 154 (5%) Number of records reported as Single Male (AD22) = 109; Number of records reported as blank in AD22 = 47; Total = 156</p> <p><u>Program Code</u> If the adoptive family structure is "single male" the program maps the adoptive mother's year of birth to blank. Otherwise, the program selects the adoptive mother's year of birth from her substitute care provider record.</p> <p>For same sex marriages both provider one and provider two are treated essentially the same as mother and father.</p> <p>If no date of birth is found the field is left blank.</p>	3
<p>24. Adoptive Father's Year of Birth</p> <p><u>Requirements</u> Enter year of birth.</p> <p>If the response to data element #22 was 1 or 2, enter data for two parents.</p> <p>If the response to element #22 was 3 or 4, enter data only for the appropriate parent. If the exact year of birth is unknown, enter an estimated year of birth.</p>	<p><u>Data Quality</u> 2014B Frequency Report (n=2,850): Not Reported = 858 (30%) Number of records reported as Single Female (AD22) = 810; Number of records reported as blank in AD22 = 47; Total = 857</p> <p><u>Program Code</u> If the adoptive family structure is "single female" the program sets the adoptive</p>	3

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
<p>If element #22 ( is 1, 2 or 4, adoption element #24 must be completed.</p> <p><u>Checklist</u> Do the number of records reported in element #22 as a married and unmarried couple equal the number of records with a reported year of birth in element #24?</p> <p>If the State or Tribe allows same sex couples to adopt a child, then use both elements #23 and #24 to reflect the adoptive parent's year of birth regardless of gender.</p>	<p>father's year of birth to blank. Otherwise, it selects the adoptive father's year of birth from his substitute care provider record. For same sex marriages both provider one and provider two are treated essentially the same as mother and father. If no date of birth is found the field is left blank.</p>	
<p>25. Adoptive Mother's Race</p> <p>a. American Indian or Alaska Native b. Asian c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine</p> <p><u>Requirements</u> Indicate the race for the adoptive mother. See instructions and definitions for the race categories under element #7, child's race.</p> <p>Use "f. Unable to Determine" only when an adoptive parent is unwilling to identify his or her race.</p> <p><u>Checklist</u> If the child was adopted by a single male, then these elements are to be reported as blanks.</p> <p>If the State or Tribe allows same sex couples to adopt a child, then use both race elements #25 and #27 to reflect the adoptive parent's race regardless of gender.</p>	<p><u>Screen:</u> Substitute Care Provider</p> <p><u>Data Quality</u> 2014B Frequency Report (n=2,850): Not Reported = 223 (8%) Number of records reported as Single Male (AD22) = 109; Number of records reported as blank in AD22 = 47; Total = 156 Number of records incorrectly reported with a race plus unable to determine = 14.</p> <p>Case File Review Findings (n=22): 3 (14%) of the records analyzed did not match what was reported in AFCARS. In one error case, the race fields were reported as blank. The reviewer found information to indicate the adoptive mother was "white." In one error case, the race "white" should have been reported as "yes." The value reported as "yes" was "unable to determine." One case was in error because the wrong family structure was reported in AD22; single male instead of single female.</p> <p><u>Program Code</u> If the adoptive family structure is "single male" the program sets the adoptive mother's race values to blank. Otherwise, it selects the adoptive mother's race of birth from her substitute care provider record.</p> <p>For same sex marriages both provider one and provider two are treated essentially the same as mother and father.</p> <p><u>Post-Site Visit Program Code Modifications</u> The state modified the code and set this element to blank instead of "unable to determine" if only Hispanic or "client doesn't know" is selected.</p>	<p>2 3</p>
<p>26. Adoptive Mother's Hispanic Origin 0=Not Applicable 1=Yes</p>	<p><u>Data Quality</u> 2014B Frequency Report (n=2,850): Not Applicable = 0; Yes = 1,002 (35%); No = 1,623 (57%); Unable to determine = 95 (3%); Not Reported = 130</p>	<p>2</p>

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
<p>2=No 3=Unable to determine</p> <p><u>Requirements</u> Indicate the ethnicity for the adoptive mother. See instructions and definitions under element #8, child's Hispanic or Latino Ethnicity.</p> <p><u>Checklist</u> Use "Unable to Determine" only when a foster parent is unwilling to identify his or her ethnicity.</p> <p>If the child was adopted by a single male, then this element is to be reported as "not applicable."</p> <p>If the State or Tribe allows same sex couples to adopt a child, then use both Hispanic Origin elements #26 and #28 to reflect the adoptive parent's Hispanic Origin regardless of gender.</p>	<p>Number of records reported as Single Male (AD22) = 109; Number of records reported as blank in AD22 = 47</p> <p><i>Case File Review Findings (n=22):</i> 4 (18%) of the records analyzed did not match what was reported in AFCARS. In one error case, the field was blank but the reviewer noted the response should have been "yes." One case was in error because the wrong family structure was reported in AD22; single male instead of single female. In two error cases, the response should have been "not applicable" instead of being blank.</p> <p><u>Program Code</u> If the adoptive family structure is "single male" the adoptive mother's Hispanic ethnicity is set to "not applicable" but this is later incorrectly changed to blank. The adoptive mother's Hispanic origin is mapped from the Hispanic origin code on the ethnicity field from her client substitute care provider record.</p> <p><u>Post-Site Visit Program Code Modifications</u> The program code was modified and no longer map the value "undetermined" and "K, client does not know" when setting "unable to determine." The code now maps "z, unable to determine" or "d, decline" to "unable to determine."</p> <p>The program code was not corrected to set this element to "not applicable" if the adoptive parent is a single male.</p>	
<p>27. Adoptive Father's Race</p> <p>a. American Indian or Alaska Native b. Asian c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine</p> <p><u>Requirements</u> Indicate the race for the adoptive father. See instructions and definitions for the race categories under element #7, child's race.</p> <p>Use "Unable to Determine" only when an adoptive parent is unwilling to identify his or her race.</p> <p><u>Checklist</u></p>	<p><u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> Not Reported = 894 (31%); Number of records incorrectly reported with a race plus unable to determine = 23</p> <p>Number of records reported as Single Female (AD22) = 810; Number of records reported as blank in AD22 = 47; Total = 857</p> <p><i>Case File Review Findings (n=23):</i> 2 (9%) of the records analyzed did not match what was reported in AFCARS. In one error case, the race fields were reported as blank. The reviewer found information to indicate the adoptive father was "white." In the other error case, the fields should have been blank. The wrong family structure was reported in AD22.</p> <p><u>Program Code</u> If the adoptive family structure is "single female" the program sets the adoptive father's race values to blank. Otherwise it selects the adoptive father's year of birth</p>	<p>2 3</p>

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
<p>If the child was adopted by a single female, then these elements are to be reported as blanks. If the State or Tribe allows same sex couples to adopt a child, then use both race elements #25 and #27 to reflect the adoptive parent's race regardless of gender.</p>	<p>from his substitute care provider record. For same sex marriages both provider one and provider two are treated essentially the same as mother and father. If the primary ethnicity selected is "Hispanic" the code incorrectly defaults race to "unable to determine."  <u>Post-Site Visit Program Code Modifications</u> The state modified the code and set this element to blank instead of "unable to determine" if only Hispanic or "client doesn't know" is selected.</p>	
<p>28. Adoptive Father's Hispanic Origin</p> <p>0=Not Applicable 1=Yes 2=No 3=Unable to determine</p> <p><u>Requirements</u> Indicate the ethnicity for the adoptive father. See instructions and definitions under element #8, child's Hispanic or Latino Ethnicity.</p> <p>Use "Unable to Determine" only when a foster parent is unwilling to identify his or her ethnicity.</p> <p><u>Checklist</u> If the child was adopted by a single female, then this element is to be reported as "not applicable."  If the State or Tribe allows same sex couples to adopt a child, then use both Hispanic Origin elements #26 and #28 to reflect the adoptive parent's Hispanic Origin regardless of gender.</p>	<p><u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> Not applicable = 0; Yes = 707 (25%); No = 1,247 (44%); Unable to determine = 75 (3%); Not Reported = 821</p> <p>Number of records reported as Single Female (AD22) = 810; Number of records reported as blank in AD22 = 47</p> <p><i>Case File Review Findings (n=23):</i> 9 (39%) of the records analyzed did not match what was reported in AFCARS. In eight error case, the field was blank instead of "not applicable." The child was adopted by a single female. In one error case, the response should have been "not applicable" instead of "yes."</p> <p><u>Program Code</u> If the adoptive family structure is "single female" the adoptive father's Hispanic ethnicity is set to "not applicable" but this is later incorrectly changed to blank. The adoptive father's Hispanic origin is mapped from the Hispanic origin code on the ethnicity field from his client substitute care provider record. The mapping logic is the same as foster care element #9.</p> <p><u>Post-Site Visit Program Code Modifications</u> The program code was modified and no longer map the value "undetermined" and "K, client does not know" when setting "unable to determine." The code now maps "z, unable to determine" or "d, decline" to "unable to determine."  The program code was not corrected to set this element to "not applicable" if the adoptive parent is a single female.</p>	2
<p>Elements #29 –32 0 = Does not Apply 1 = Applies</p> <p><u>Requirements</u></p>	<p><u>Screen: Adoptive Placement</u> There is a section "Adoptive Parents' Previous Relationship to Child (Check all that apply to either parent). The options are: Stepparent; Foster Parent - Relative; Foster Parent - NREFM; Foster Parent - Non-Relative; Other Relative; Other NREFM; Other Non-Relative.</p>	

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
<p>Indicate the prior Relationship(s) the child had with the adoptive parent(s). Indicate with a "1" all that apply.</p> <p><u>Checklist</u> Does the data collection methodology include each of the relationship types for the caseworker to select or record more than one? Does the extraction code check for and report all applicable relationships?</p>	<p><u>Data Quality</u> 2014B Frequency Report (n=2,850): Not reported = 2 There appears to be multiple relationships reported. However, note findings for AD31.</p> <p><u>Program Code</u> Elements #29 – 32 are mapped from indicator fields retrieved at the time the adoption population is selected. There is a separate field for each value so all applicable values can be reported.</p>	
<p>29. Relationship to Adoptive Parent-Stepparent</p> <p><u>Requirements</u> Indicate the prior relationship(s) the child had with the adoptive parent(s): Spouse of the child's birth mother or birth father.</p>	<p><u>Data Quality</u> 2014B Frequency Report (n=2,850): Applies = 12</p> <p><u>Program Code</u> If the adoption step-parent indicator is "y" "relationship to adoptive parent-stepparent" is set to "yes, applies." Otherwise it is set to "does not apply."</p>	4
<p>30. Relationship to Adoptive Parent -Other Relative</p> <p><u>Requirements</u> Indicate the prior relationship(s) the child had with the adoptive parent(s): A relative through the birth parents by blood or marriage.</p>	<p><u>Data Quality</u> 2014B Frequency Report (n=2,850): Applies = 1,245</p> <p><i>Case File Review Findings (n=24): 4 (17%) of the records analyzed did not match what was reported in AFCARS. In the error cases, not all relationships were selected. The response to this element should have been "yes, applies" in addition to the reported relationship of "foster parent."</i></p> <p><u>Program Code</u> If the adoption other relative indicator is "y" or if the other relative indicator is selected, this element is set to "yes, applies." Otherwise it is set to "does not apply." The element is rated a "3" based on the errors being due to data entry. The values from the screen that should be/are mapped to this element are Foster Parent - Relative and Other Relative.</p>	2 3
<p>31. Relationship to Adoptive Parent - Foster Parent</p> <p><u>Requirements</u> Indicate the prior relationship(s) the child had with the adoptive parent(s): Child was placed in a non-relative foster family home with a family which later adopted him or her. The initial placement could have been for the purpose of adoption or for the purpose of foster care.</p>	<p><u>Data Quality</u> 2014B Frequency Report (n=2,850): Applies = 1,504 The number of records reported for AD29, 30, and 32 equal 1,373. There appears to be records with a relationship of foster parent in which it is not identified whether they are a relative or non-relative of the child.</p> <p><i>Case File Review Findings (n=24): 13 (54%) of the records analyzed did not match what was reported in AFCARS. In the error cases, not all relationships were selected. The response to this element should have been "yes, applies."</i></p>	2 3

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
	<p><u>Program Code</u> If the adoption foster parent indicator is “y” or if foster non-relative is selected, this element is set to “yes, applies.” Otherwise it is set to “does not apply.”</p> <p>One of the foster parent options from the screen is not mapped to this element.</p> <p><u>Post-Site Visit Program Code Modifications</u> The program code was modified and now includes “adprel” (foster parent - relative?).</p>	
<p>32. Relationship to Adoptive Parent -Other Non-relative</p> <p><u>Requirements</u> Indicate the prior relationship(s) the child had with the adoptive parent(s): Adoptive parent does not fit into any of the categories above.</p>	<p><u>Data Quality</u> 2014B Frequency Report (n=2,850): Applies = 116</p> <p><i>Case File Review Findings (n=24):</i> 6 (25%) of the records analyzed did not match what was reported in AFCARS. In the error cases, not all relationships were selected. The response to this element should have been “yes, applies.”</p> <p><u>Program Code</u> If the adoption non-relative indicator is “y” or foster parent non-relative is selected, this element is set to “yes, applies.” Otherwise it is set to “does not apply.”</p> <p>There are four options on the screen that are to map to this value but there are only two in the program code.</p> <p><u>Post-Site Visit Program Code Modifications</u> The program code was modified and now includes “fosnr” (foster parent - nonrelative?) and “adpfos” (?).</p> <p>The numbers in the 2015B adoption file significantly increased so this element is also rated a “3.”</p>	<p>2</p> <p>3</p>
<p>33. Child was placed from 1=Within State or Tribal Service Area 2=Another State or Tribal Service Area 3=Another Country</p> <p><u>Requirements</u> Indicate the location of the individual or agency that had custody or responsibility for the child at the time of initiation of adoption proceedings.</p> <p>Within State or Tribal service area—Responsibility for the child resided with an individual or agency within the State or Tribal service area of the title IV-E</p>	<p><u>Screen:</u> Client Services/Case/Adoption Info Tab There is a section “Location” with the choices of Within State, Another State, and Another Country.</p> <p><u>Data Quality</u> 2014B Frequency Report (n=2,850): Within State = 2,688 (94%); Another State = 46 (2%); Another Country = 5 (.18%); Not Reported = 111 (4%)</p> <p><i>Case File Review Findings (n=24):</i> 1 (4%) of the records analyzed did not match what was reported in AFCARS. In the error case, the field was blank. The reviewer found that the child had been adopted from the State foster care system.</p>	3

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
<p>agency filing the report.</p> <p>Another State or Tribal service area—Responsibility for the child resided with an individual or agency in another State, Tribal service area, or territory of the United States.</p> <p>Another Country - Immediately prior to the adoptive placement, the child was residing in another country and was not a citizen of the United States.</p> <p><u>Checklist</u> Does the data collection methodology include all of the locations?</p> <p>Are adoptions that occur within the jurisdiction of the title IV-E agency but the private adoption placement agency is outside of the IV-E agency's jurisdiction get included and recorded as "another State or Tribal Service area?" (This relates to General Requirements item #12.)</p>	<p><u>Program Code</u> The "placed from" code is selected with the initial adoption population logic and mapped as "w" is "within State or Tribal service area," "s" is "another State of Tribal service area," "c" is "another country," and any other value is blank.</p>	
<p>34. Child was placed by</p> <p>1=Public agency 2=Private agency 3=Tribal Agency 4=Independent person 5=Birth parent</p> <p><u>Requirements</u> Indicate the individual or agency which placed the child for adoption.</p> <p>Public Agency—A unit of State or local government.</p> <p>Private Agency—A for-profit or non-profit agency or institution.</p> <p>Tribal Agency—A unit within one of the Federally recognized Indian Tribes, Indian Tribal Organizations, or Indian Tribal consortia.</p> <p>Independent Person—A doctor, a lawyer or some other individual.</p> <p>Birth Parent—The parent(s) placed the child directly with the Adoptive parent(s).</p>	<p><u>Screen:</u> Client Services/Case/Adoption Info Tab There is a section "Agency or Individual with Custody" and the options are Public Agency, Private Agency, Tribal Agency, and Birth Parent (Independent Adoption). Below this is a field with a dropdown list to identify the agency.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> Public Agency = 2,704 (95%); Private Agency = 60 (2%); Tribal Agency = 1 (.04%); Not Reported = 85 (3%)</p> <p><i>Case File Review Findings (n=24):</i> 1 (4%) of the records analyzed did not match what was reported in AFCARS. In the error case, the field was blank. The reviewer found that the child had been adopted from the State foster care system.</p> <p><u>Program Code</u> The "custody with" coded is retrieved when the initial adoption population is selected. "Adoption agency (public)" (p) and "CWS office (public)" (o) are mapped to "public agency." "Adoption agency (private)" (a) is mapped to "private agency." "Tribal agency" (t) is mapped to "tribal agency." "Parent-independent" (i) is mapped to "birth parent." There is no mapping for independent person."</p>	3

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
<p>If the "Child Was Placed By" (element #34) is answered with a 1, "Public Agency," then the question, "Did the title IV-E Agency Have any Involvement in this Adoption" (adoption element #4) must be "1."</p> <p><u>Checklist</u> Private agencies under contract to the title IV-E agency are considered "public" agencies.</p> <p>Title IV-E Tribal agencies are to report "public agency" for adoptions in which the child was in the title IV-E Tribal foster care system or on whose behalf the title IV-E Tribal agency was involved due to an adoption agreement for subsidy or services.</p>		
<p>35. Is the Child Receiving a Monthly Subsidy?</p> <p>1=Yes 2=No</p> <p><u>Requirements</u> Enter "yes" if this child was adopted with an adoption assistance agreement under which regular subsidies (Federal, State, or Tribal) are paid.</p> <p><u>Checklist</u> This element is to indicate "yes" if the only subsidy is Medicaid.</p>	<p><u>Screen:</u> Adoptive Placement/AAP Agreement Has a check box for "Medi-Cal only."</p> <p><u>Data Quality</u> 2014B Frequency Report (n=2,850): Yes = 2,690 (94%); No = 160 (6%); Not Reported = 0</p> <p><i>Case File Review Findings (n=24):</i> 1 (4%) of the records analyzed did not match what was reported in AFCARS. The response should have been "yes" instead of "no."</p> <p><u>Program Code</u> The program code determines whether or not the child is receiving a monthly subsidy by linking the most recent adoption assistance agreement, adoption assistance benefit record, and adoption assistance payment basis.</p> <p>The monthly subsidy is set to "yes" if the assistance end date is blank or after the adoption agreement date, <u>the payment basis code is "historical"</u> and the <u>basic care amount plus benefit amount</u> is greater than zero or the basis code is not "historical" and the basic care amount is greater than zero.</p> <p>If these conditions are not met the element is set to "no." If it is "no" the medi_Cal indicator is checked and if it is "yes" this element is set to "yes."</p> <p>The program code should not be checking the most recent or for historical payments. While there may not be any at the time the adoption record is sent for the time frame the adoption occurred (a Regular submission) if the state has to resubmit the</p>	2

AFCARS Assessment Review Findings: Adoption Elements  
State: California

Data Element/Requirements Checklist	Findings/Notes	Rating Factor
	AFCARS files the program code will most likely pull the wrong information for this element. Also, there may be situations where the adoption agreement is renegotiated shortly after the adoption and before the end of the report period. If this occurs, the program code will most likely pick up the wrong amount due to the linking logic. The State also needs to provide information on the basic care amount plus the benefit amount.	
<p>36. Monthly Amount</p> <p><u>Requirements</u> Indicate the monthly amount of the subsidy. The amount of the subsidy should be rounded to the nearest dollar. Indicate "0" if the subsidy includes only benefits under titles XIX or XX of the Social Security Act.</p> <p><u>Checklist</u> If adoption element #35 (Monthly subsidy) equals 2 (No), then adoption element #36 (Monthly amount) must equal 00000.</p> <p>The response to this element must be padded with zeros if the amount is less than five digits.</p>	<p><u>Screen:</u> Adoptive Placement/AAP Agreement</p> <p><u>Data Quality</u> There were errors noted in the case file review but it is not clear if the reviewer was checking the adoption agreement or a more recent negotiated amount.</p> <p><u>Program Code</u> If element #35 is "no" then the monthly amount is zero, otherwise it is mapped from the benefit amount in the adoption assistance benefit record.</p>	4
<p>37. Is the Child receiving a title IV-E adoption subsidy? 1=Yes 2=No</p> <p><u>Requirements</u> If element #35 is "1, yes," indicate whether the subsidy is claimed by the title IV-E agency for reimbursement under title IV-E. Do not include title IV-E non-recurring costs in this item.</p>	<p><u>Data Quality</u> <i>2014B Frequency Report (n=2,850): Yes = 2,245 (79%); No = 605 (21%); Not Reported = 0</i></p> <p>There were errors noted in the case file review but it is not clear if the errors are related to the findings in AD36.</p> <p><u>Program Code: LNs 1256 - 1299</u> If element #35 is "no" then this element is "no." If the IV-E adoption assistance indicator from the adoption child record is "yes" then element #37 is "yes."</p>	4

## **Section 3**

### **Case File Review**

**AFCARS Assessment Review Case File Findings: Foster Care Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
5. Date of Most Recent Periodic Review (if applicable)	<p style="text-align: center;">54</p> <p style="text-align: center;"><u>Probation Cases</u></p> <p style="text-align: center;">1</p>	<p style="text-align: center;">14</p> <p style="text-align: center;"><u>Probation Cases</u></p> <p style="text-align: center;">8</p>	0	0	<p>There were cases in which the dispositional hearing was used. Check if this is accurate.</p> <p>One error case was due the wrong hearing type used for this element.</p> <p>In three error cases, the reviewer found that the date was a later date than what was reported.</p> <p>In three error cases, the date reported was not the latest review date; the date reported was a year earlier.</p> <p>In six error cases, a date was not reported but there should have been a review date.</p> <p>In one error case, the date reported occurred prior to the child's date of removal from home.</p> <p><u>Probation Cases</u></p> <p>In one error case, the field was blank. The case had been incorrectly extracted; the case actually had a discharge in the period. The "new" episode was one that as of the end of the reporting period was a locked facility.</p> <p>In one error case, the field was blank but the reviewer found a periodic review date. The child had been in foster care for a year.</p> <p>In one error case, the field was blank but the reviewer found a periodic review date.</p>

**AFCARS Assessment Review Case File Findings: Foster Care Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					In one error case, the date reported for this element was the date of removal.  In four error cases, the reviewer found a later date than the one reported. It reflected the permanency hearing.
6. Date of Birth	68 <u>Probation Cases</u> 9	0 <u>Probation Cases</u> 0	0	0	
7. Sex  1 = Male 2 = Female	68 <u>Probation Cases</u> 9	0	0	0	
8. Child's Race  a. American Indian or Alaska Native b. Asian c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine	62 <u>Probation Cases</u> 9	6 <u>Probation Cases</u> 0	0	0	In one error case, the response to "American Indian or Alaska Native" was "no" instead of "yes."  In two error cases, the response for "White" was reported as "no" and it should have been "yes."  In one error case, the response for "Black or African American" was reported as "no" instead of "yes."  In two error cases, the response for "unable to determine" was reported as "yes" and it should have been "no."
9. Child's Hispanic or Latino Ethnicity  1 = Yes 2 = No	64 <u>Probation Cases</u> 9	4 <u>Probation Cases</u> 0	0	0	In two error cases, the response should have been "no" instead of "yes."  In one error case, the response should have been "yes" instead of "no."

**AFCARS Assessment Review Case File Findings: Foster Care Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
3 = Unable to Determine					In one error case, the response should have been "no" instead of "unable to determine."
10. Has the Child Been Clinically Diagnosed with a Disability(ies)?  1 = Yes 2 = No 3 = Not Yet Determined	43  <u>Probation Cases</u> 6	25  <u>Probation Cases</u> 3	0	0	In seven error cases, the response should have been "yes" instead of "no."  In eight error cases, the response should have been "no" instead of "yes."  In five error cases, the response should have been "no" instead of blank.  In three error cases, the response should have been "no" instead of "not yet determined."  In one error case, the response should have been "not yet determined" instead of blank.  In one error case, the response should have been "yes" instead of blank.  <u>Probation Cases</u> In two error cases, the field was blank but the reviewer found health information. The response should have been "yes."  In one error case, the field was blank but the reviewer found health information. The response should have been "no."
11. Mental Retardation  0 = Condition Does Not Apply 1 = Condition Applies	67  <u>Probation Cases</u> 9	1	0	0	In one error case, the response should have been "condition applies" instead of "condition does not apply."

**AFCARS Assessment Review Case File Findings: Foster Care Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
12. Visually or Hearing Impaired  0 = Condition Does Not Apply 1 = Condition Applies	64  <u>Probation Cases</u> 9	4  <u>Probation Cases</u> 1	0	0	In four error cases, the response should have been "condition does not apply" instead of "condition applies."  <u>Probation Cases</u> In one error case, the response should have been "condition does not apply" instead of "condition applies."
13. Physically Disabled (Child)  0 = Condition Does Not Apply 1 = Condition Applies	67  <u>Probation Cases</u> 9	1	0	0	In one error case, the response should have been "condition applies" instead of "condition does not apply."
14. Emotionally Disturbed (DSM- IV)	58  <u>Probation Cases</u> 9	10  <u>Probation Cases</u> 2	0	0	In nine error cases, the response should have been "condition applies" instead of "condition does not apply."  In one error case, the response should have been "condition does not apply" instead of "condition applies."  <u>Probation Cases</u> In two error cases, the response should have been "condition applies" instead of "condition does not apply."
15. Other Medically Diagnosed Conditions Requiring Special Care  0 = Condition Does Not Apply 1 = Condition Applies	54  <u>Probation Cases</u> 6	14  <u>Probation Cases</u> 3	0	0	In four error cases, the response should have been "condition applies" instead of "condition does not apply."  In 11 error cases, the response should have been "condition does not apply" instead of "condition applies."

**AFCARS Assessment Review Case File Findings: Foster Care Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					<p><u>Probation Cases</u>            In 2 error cases, the response should have been "condition does not apply" instead of "condition applies."</p> <p>In one error case, the response should have been "condition applies" instead of "condition does not apply."</p>
16. Has this Child Ever Been Adopted?  1 = Yes 2 = No 3 = Unable to Determine	48  <u>Probation Cases</u> 5	20  <u>Probation Cases</u> 4	0	0	<p>There were eight records reported as blank. In each case, the reviewers indicated the child had never been adopted.</p> <p>There were 12 records reported as "unable to determine." However, the children were not Safe Haven infants and the reviewers were able to identify that the children had never been adopted.</p> <p><u>Probation Cases</u>            In three error cases, the response should have been "no" instead of "unable to determine."</p> <p>In one error case, the response should have been "yes" instead of "no."</p>
17. If Yes, How Old was the Child when Adoption was Legalized?  0 = Not Applicable 1=less than 2 years old 2=2-5 years old 3=6 to 12 years old 4=13 years or older	48  <u>Probation Cases</u> 5	20  <u>Probation Cases</u> 4	0	0	<p>See notes in FC16.</p> <p><u>Probation Cases</u>            In three error cases, the response should have been "not applicable" instead of "unable to determine."</p> <p>In one error case, there should have been an age category reported instead of "not applicable."</p>

**AFCARS Assessment Review Case File Findings: Foster Care Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
5 = Unable to Determine					
18. Date of First Removal from Home	63  <u>Probation Cases</u> 2	2  <u>Probation Cases</u> 7	1	2	<p>In one error case, the date reported was a day earlier than the actual removal date.</p> <p>In one error case, the initial placement in the removal episode was a hospital.</p> <p><u>Probation Cases</u> In one error case, the date reported for this element reflects when the child was in the Child Welfare agency's care and placement responsibility.</p> <p>In one error case, the date reported for this element means the child was removed from him when he was three years old. It is most likely that this date reflects an entry into the Child Welfare agency's responsibility for placement and care.</p> <p>In four error cases, the date was incorrect because the first placement was a locked facility. The date should have been the date the child was placed in a group home.</p> <p>In one error case, the date of removal should have been reported as two days earlier.</p>
19. Total Number of Removals from Home To Date	68  <u>Probation Cases</u> 6	0  <u>Probation Cases</u> 3	0	0	<p><u>Probation Cases</u> In one error case the count was incorrect and should have been one less than what was reported. The case had been incorrectly extracted; the case actually had a discharge in the period. The "new" episode was one that as of the end of</p>

**AFCARS Assessment Review Case File Findings: Foster Care Elements**

**State: California**

**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					<p>the reporting period was a locked facility. Therefore, this episode should not have been included.</p> <p>In two error cases, the removal count was incorrect. The number included both Child Welfare and Probation removals.</p>
20. Date Child was Discharged from Last Foster Care Episode	<p align="center">66</p> <p align="center"><u>Probation Cases</u> 5</p>	<p align="center">1</p> <p align="center"><u>Probation Cases</u> 3</p>	<p align="center">1</p> <p align="center"><u>Probation Cases</u> 1</p>	0	<p>The actual date in the error case was later than the one reported.</p> <p><u>Probation Cases</u> In one error case, the date was incorrect. The case actually had a discharge in the period. The “new” episode was one that as of the end of the reporting period was a locked facility.</p> <p>In two error cases, the date reported for this element reflects when the child was in the Child Welfare agency’s care and placement responsibility.</p>
21. Date of Latest Removal from Home	<p align="center">63</p> <p align="center"><u>Probation Cases</u> 2</p>	<p align="center">4</p> <p align="center"><u>Probation Cases</u> 7</p>	0	1	<p>In one error case, the date reported was a day earlier than the actual removal date.</p> <p>In one error case, the initial placement in the removal episode was a hospital.</p> <p>In one error case, the date of removal was actually five days earlier.</p> <p>In one error case, the initial placement in the removal episode was detention.</p>

**AFCARS Assessment Review Case File Findings: Foster Care Elements**

**State: California**

**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					<p><u>Probation Cases</u>                      In one error case, the date was incorrect. The case had been incorrectly extracted; the case actually had a discharge in the period. The “new” episode was one that as of the end of the reporting period was a locked facility. Therefore, this episode should not have been included.</p> <p>In five error cases, the date was incorrect because the child’s first placement setting was detention. The date should have been the date the child entered a foster care setting.</p> <p>In one error case, the date of removal should have been reported as two days earlier.</p>
23. Date of Placement in Current Foster Care Setting	57  <u>Probation Cases</u> 5	7  <u>Probation Cases</u> 4	0	4	<p>In three error cases, the date was later than the removal date but there was only one placement. The date should have been the same date as the removal date.</p> <p>In one error case, the date was incorrect as there was an additional placement that occurred after the one reported.</p> <p>In one error case, the date was wrong because it was not the date the child ran away from the placement.</p> <p>One date was incorrect because the initial placement was detention.</p> <p>In three error cases, the placement date reported was prior to the reported removal date. In two</p>

Number of cases in sample: 87  
 Number of cases reviewed: 81; Child Welfare 70, Probation 11  
 Number of cases analyzed: 77 - 68 Child Welfare, 9 Probation

**AFCARS Assessment Review Case File Findings: Foster Care Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					<p>cases, the date reported as the removal date was correct.</p> <p>In three cases, the reviewers did not note if the group homes with same name were on the same campus or were different locations.            In one case, could not determine the actual placement date due to errors in the removal date.</p> <p><u>Probation Cases</u>            In one error case, the date was incorrect. The case had been incorrectly extracted; the case actually had a discharge in the period. The “new” episode was one that as of the end of the reporting period was a locked facility. Therefore, the date should have reflected the prior episode and the last placement date in that episode.</p> <p>In one error case, another placement occurred after the one reported to AFCARS and was prior to the end of the report period.</p>
24. Number of Previous Placement Settings During this Removal Episode	<p style="text-align: center;">54</p> <p style="text-align: center;"><u>Probation Cases</u> 7</p>	<p style="text-align: center;">12</p> <p style="text-align: center;"><u>Probation Cases</u> 2</p>	0	2	<p>In 10 error cases it appears there were actually fewer placements than what was reported. In one case, it was due to the counting of the initial placement in a hospital. In one case, a short-term hospital stay appears to have been included in the count.</p> <p>In two error cases, the number of placements found by the reviewer was more than what was reported.</p> <p><u>Probation Cases</u></p>

**AFCARS Assessment Review Case File Findings: Foster Care Elements**  
**State: California**  
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Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					In one error case, the number of placements was less than what was reported.  In one error case, the number of placement was greater than the number reported to AFCARS.
25. Manner of Removal from Home for Current Removal Episode  1 = Voluntary 2 = Court Ordered 3 = Not Yet Determined	67  <u>Probation Cases</u> 8	1  <u>Probation Cases</u> 1	0	0	The error case should have been "court order" instead of "not yet determined."  <u>Probation Cases</u> The error case should have been "court order" instead of "not yet determined."
26. Physical Abuse (alleged/reported)	61  <u>Probation Cases</u> 9	7	0	0	The responses should have been "applies" instead of "does not apply."
27. Sexual Abuse (alleged/reported)	67  <u>Probation Cases</u> 9	1	0	0	The response should have been "applies" instead of "does not apply."
28. Neglect (alleged/reported)	59  <u>Probation Cases</u> 9	9	0	0	The responses should have been "applies" instead of "does not apply."
29. Alcohol Abuse (parent)	61  <u>Probation Cases</u> 9	7	0	0	The responses should have been "applies" instead of "does not apply."
30. Drug Abuse (parent)	37  <u>Probation Cases</u> 9	31	0	0	The responses should have been "applies" instead of "does not apply."

**AFCARS Assessment Review Case File Findings: Foster Care Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
31. Alcohol Abuse (child)	67 <u>Probation Cases</u> 8	1 <u>Probation Cases</u> 1	0	0	The response should have been "applies" instead of "does not apply."  <u>Probation Cases</u> The response should have been "applies" instead of "does not apply."
32. Drug Abuse (child)	64 <u>Probation Cases</u> 7	4 <u>Probation Cases</u> 2	0	0	The responses should have been "applies" instead of "does not apply."  <u>Probation Cases</u> The response should have been "applies" instead of "does not apply."
33. Child's Disability	68 <u>Probation Cases</u> 9	0	0	0	
34. Child's Behavior Problem	65 <u>Probation Cases</u> 9	3	0	0	The responses should have been "applies" instead of "does not apply."
35. Death of Parent(s)	68 <u>Probation Cases</u> 9	0	0	0	
36. Incarceration of Parent(s)	60 <u>Probation Cases</u> 9	8	0	0	The responses should have been "applies" instead of "does not apply."
37. Caretaker's Inability to Cope Due to Illness or Other Reason	52 <u>Probation Cases</u> 9	16	0	0	The responses in 15 cases should have been "does not apply" instead of "applies."  In one error case, the response should have been

**AFCARS Assessment Review Case File Findings: Foster Care Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					"applies" instead of "does not apply."
38. Abandonment	66 <u>Probation Cases</u> 9	2	0	0	The responses should have been "applies" instead of "does not apply."
39. Relinquishment	68 <u>Probation Cases</u> 9	0	0	0	
40. Inadequate Housing	62 <u>Probation Cases</u> 9	6	0	0	The responses should have been "applies" instead of "does not apply."
41. Current Placement Setting 1 = Pre-Adoptive Home 2 = Foster Family Home (Relative) 3 = Foster Family Home (Non-Relative) 4 = Group Home 5 = Institution 6 = Supervised Independent Living 7 = Runaway 8 = Trial Home Visit	65 <u>Probation Cases</u> 6	3 <u>Probation Cases</u> 3	0	0	In one error case, the response should have been "runaway" instead of Foster Family Home (Relative).  In one error case, the response should have been "Pre-Adoptive Home" instead of "Foster Family Home (Non-Relative)."  In one error case, the response should have been "trial home visit" instead of "Foster Family Home (Relative)."  <u>Probation Cases</u> In one error case, the response should have been "group home" instead of "foster family home (non-relative)."  In one error case, the response should have been "group home" instead of "institution."

**AFCARS Assessment Review Case File Findings: Foster Care Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					In one error case, the response should have been "institution" instead of "group home."
42. Is Current Placement Setting Outside of the State or Tribal Service Area?  1 = yes 2 = no	68  <u>Probation Cases</u> 9	0	0	0	
43. Most Recent Case Plan Goal  1 = Reunify with Parent(s) or Principal caretaker(s) 2 = Live with Other Relative(s) 3 = Adoption 4 = Long-term Foster Care 5 = Emancipation 6 = Guardianship 7 = Case Plan Goal Not Yet Established	59  <u>Probation Cases</u> 2	8  <u>Probation Cases</u> 6	1  <u>Probation Cases</u> 0	0  <u>Probation Cases</u> 1	<p>In two error cases, the element was blank and the child had been in foster care for a year.</p> <p>In one error case, the element was blank and the child had been in care for less than 60 days. It should have been set by the extraction code to "not yet determined."</p> <p>In one error case, the response was "not yet established" and the child had been in foster care for a year.</p> <p>In one error case, the goal should have been "live with relative" instead of "guardianship."</p> <p>In three error cases, the response should have been "emancipation" instead of "long-term foster care."</p> <p><u>Probation Cases</u> In one case, the field was reported as blank and the reviewer wrote "less restrictive foster setting."</p> <p>In one error case, the goal should have been</p>

**AFCARS Assessment Review Case File Findings: Foster Care Elements**

**State: California**

**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					<p>“emancipation” instead of “reunify.”</p> <p>In four cases, the field was reported as blank and the reviewer found a goal of “reunify.”</p> <p>In one error case, the field was blank. It is not clear what the goal was from the reviewer’s notes. The case was incorrectly reported reflecting a current episode that only included a placement in a detention facility.</p>
<p>44. Caretaker Family Structure</p> <p>1 = Married Couple 2 = Unmarried Couple 3 = Single Female 4 = Single Male 5 = Unable to Determine</p>	<p align="center">48</p> <p align="center"><u>Probation Cases</u> 5</p>	<p align="center">19</p> <p align="center"><u>Probation Cases</u> 4</p>	<p align="center">1</p>	<p align="center">0</p>	<p>In one error case, the response was blank but the reviewer found “single female.”</p> <p>In one error case, the response was “unable to determine” but the reviewer found “single male.”</p> <p>In three error cases, the response was “unable to determine” but the reviewer found “unmarried couple.”</p> <p>In two error cases, the response was “unable to determine” but the reviewer found “married couple.”</p> <p>In eight error cases, the response was “single female” but the reviewer found “unmarried couple.”</p> <p>In three error cases, the response was “single female” but the reviewer found “married couple.”</p> <p>In one error case, the response was “single female” but the reviewer found “single male.”</p>

Number of cases in sample: 87  
 Number of cases reviewed: 81; Child Welfare 70, Probation 11  
 Number of cases analyzed: 77 - 68 Child Welfare, 9 Probation

**AFCARS Assessment Review Case File Findings: Foster Care Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					<p><u>Probation Cases</u>            In two error cases, the field was blank and the reviewer found the caretaker family structure as "single female."</p> <p>In one error case, the field was blank and the reviewer found the caretaker family structure as "married couple."</p> <p>In one error case, the response should have been "unmarried couple" instead of "single female."</p>
45. Year of Birth (1 <sup>st</sup> Principal Caretaker)	60 <u>Probation Cases</u> 6	8 <u>Probation Cases</u> 3	0	0	<p>In one error case, the wrong person's date of birth was reported.</p> <p>In seven error cases, the field was blank but the reviewer found a year of birth.</p> <p><u>Probation Cases</u>            The field was blank but the reviewer found a date of birth.</p>
46. Year of Birth (2 <sup>nd</sup> Principal Caretaker - if applicable)	50 <u>Probation Cases</u> 7	16 <u>Probation Cases</u> 2	2	0	<p>In 16 error cases, the field was blank but the reviewer found a year of birth.</p> <p><u>Probation Cases</u>            The field was blank but the reviewer found a date of birth. One case should have been reported as "unmarried couple" in FC44. In another case, the family structure was "married couple."</p>
47. Date of Mother's Parental Rights Termination (if applicable)	68 <u>Probation Cases</u> 9	0	0	0	

**AFCARS Assessment Review Case File Findings: Foster Care Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
48. Date of Legal or Putative Father's Parental Rights Termination (if applicable)	68 <u>Probation Cases</u> 9	0	0	0	
49. Foster Family Structure  0=Not Applicable 1 = Married Couple 2 = Unmarried Couple 3 = Single Female 4 = Single Male	50 <u>Probation Cases</u> 7	8 <u>Probation Cases</u> 2	10	0	In one error case, the response was "unmarried couple" instead of "married couple."  In four error cases, the response was "unmarried couple" instead of "single female."  In one error case, the response was "married couple" instead of "not applicable."  In one error case, the response was "unmarried couple" instead of "single male."  In one error case, the response was "single male" instead of "unmarried couple."  <u>Probation Cases</u> In one error case, response should have been "not applicable" instead of a blank.  In one error case, the response should have been "married couple" instead of "single male."
50. Year of Birth (1 <sup>st</sup> Foster Caretaker)	43 <u>Probation Cases</u> 8	6 <u>Probation Cases</u> 1	19	0	In one error case, a date was reported but it should have been blank.  In five error cases, the field was blank but the reviewer found a date.

**AFCARS Assessment Review Case File Findings: Foster Care Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					<u>Probation Cases</u> In the error case, the field was blank and there should have been a year of birth.
51. Year of Birth (2 <sup>nd</sup> Foster Caretaker)	43  <u>Probation Cases</u> 8	6  <u>Probation Cases</u> 1	19	0	In five error cases, the field was blank but the reviewers found a date.  In one error case, a date was reported but the reviewer found that the response in FC49 was a single male. The field should have been blank.  <u>Probation Cases</u> In the error case, the field was blank and there should have been a year of birth.
52. Race of 1 <sup>st</sup> Foster Caretaker  a. American Indian or Alaska Native b. Asian c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine	44  <u>Probation Cases</u> 8	6  <u>Probation Cases</u> 1	18	0	In six error cases, the fields were blank but there should have been a race reported. In four cases of the cases, the race should have been "white" and in one case, the race should have been "Black or African American."  <u>Probation Cases</u> In the error case, the fields were blank and there should have been race information.
53. Hispanic or Latino Ethnicity of 1 <sup>st</sup> Foster Caretaker  0 = Not Applicable 1 = Yes 2 = No 3 = Unable to Determine	46  <u>Probation Cases</u> 7	19  <u>Probation Cases</u> 2	12	0	In seven error cases, the response should have been "no" instead of "unable to determine."  In two error cases, the field was blank but the reviewer found "yes" to be the correct response.  In one error case, the field was blank but the reviewer found "no" to be the correct response.

**AFCARS Assessment Review Case File Findings: Foster Care Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					<u>Probation Cases</u> In one error case, the response should have been “not applicable” instead of blank.  In one error case, the response was “unable to determine.” It should have been either “yes” or “no.”
54. Race of 2 <sup>nd</sup> Foster Caretaker (if applicable)  a. American Indian or Alaska Native b. Asian c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine	50  <u>Probation Cases</u> 8	3  <u>Probation Cases</u> 1	15	0	In two error cases, the fields were blank but the reviewers found race information.  In one error case, information was reported and the fields should have been blank.  <u>Probation Cases</u> In the error case, the fields were blank and there should have been race information.
55. Hispanic or Latino Ethnicity of 2 <sup>nd</sup> Foster Caretaker (if applicable)  0 = Not Applicable 1 = Yes 2 = No 3 = Unable to Determine	35  <u>Probation Cases</u> 7	15  <u>Probation Cases</u> 2	18	0	In 12 error cases, the response should have been “not applicable” instead of being left blank.  In two error cases, the response should have been “yes” instead of a blank.  In one error case, the response should have been “not applicable” instead of “no.”  <u>Probation Cases</u> In one error case, the response should have been “not applicable” instead of blank.  In one error case, the response was “unable to

**AFCARS Assessment Review Case File Findings: Foster Care Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					determine." It should have been either "yes" or "no."
56. Date of Discharge from Foster Care	64 <u>Probation Cases</u> 8	3 <u>Probation Cases</u> 1	1	0	In two error cases, a date was reported but should have been blank. The child was still in care and the current living arrangement was "trial home visit."  In one error case, the date should have been the child's 18 <sup>th</sup> birthday.  <u>Probation Cases</u> The date reported was the start date of a new episode that began with a detention placement. The date should have been the end of the prior episode.
58. Reason for Discharge  0 = Not Applicable 1 = Reunification with Parent(s) or Primary Caretaker(s) 2 = Living with Other Relative(s) 3 = Adoption 4 = Emancipation 5 = Guardianship 6 = Transfer to Another Agency 7 = Runaway 8 = Death of Child	63	4 <u>Probation Cases</u> 9	1	0	In two error cases, a reason was given but the response should have been "not applicable." The child was still in care and the current living arrangement was "trial home visit."  In one error case, the outcome should have been "live with other relatives" instead of "reunification."  In one error case, a date was reported in FC56 but this field was blank. It should have been "emancipation."  <u>Probation Cases</u> In one error case, the discharge reason appears to have been "reunification."  In eight error cases, the field was blank instead of

**AFCARS Assessment Review Case File Findings: Foster Care Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					"not applicable."
59. Title IV-E (Foster Care) 0-Does not apply 1-Applies	46 <u>Probation Cases</u> 9	8	13	1	In the error cases, the response should have been "applies" instead of "does not apply."
60. Title IV-E (Adoption Assistance) 0-Does not apply 1-Applies	59 <u>Probation Cases</u> 9	0	9	0	
61. Title IV-A 0-Does not apply 1-Applies	56 <u>Probation Cases</u> 9	1	10	1	In the error case, the response should have been "applies" instead of "does not apply."
62. Title IV-D (Child Support) 0-Does not apply 1-Applies	54 <u>Probation Cases</u> 9	0	12	0	
63. Title XIX (Medicaid) 0-Does not apply 1-Applies	54 <u>Probation Cases</u> 9	0	14	0	
64. SSI or Other Social Security Benefits 0-Does not apply 1-Applies	57 <u>Probation Cases</u> 9	3	8	0	In the error cases, the response should have been "applies" instead of "does not apply."
65. None of the Above 0-Does not apply 1-Applies	60 <u>Probation Cases</u> 9	0	8	0	
66. Amount of Monthly Foster Care Payment	50	3	15	0	In the error cases, a wrong amount was reported.

**AFCARS Assessment Review Case File Findings: Foster Care Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
	<u>Probation Cases</u> 7	<u>Probation Cases</u> 1	<u>Probation Cases</u> 1		<u>Probation Cases</u> In one error case, no amount was reported but the reviewer found one.

**AFCARS Assessment Review Case File Findings: Adoption Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
5. Child's Date of Birth	24	0	0	0	
6. Sex 1=Male 2=Female	24	0	0	0	
7. Child's Race 0=No 1=Yes a. American Indian or Alaska Native b. Asian c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine	22	2	0	0	In two error cases, the response for race should have been "white" instead of "unable to determine."
8. Child's Hispanic or Latino Ethnicity 1=Yes 2=No 3=Unable to determine	20	4	0	0	In the error cases, the response should have been "yes" instead of "no."
9. Has the title IV-E agency determined that the child has special needs? 1=Yes 2=No	24	0	0	0	
10. Primary Factor or Condition for Special Needs	15	9	0	0	In two error cases, the response reported was "Racial/Ethnic Background." In one, the reviewer noted the primary basis should have been "sibling

**AFCARS Assessment Review Case File Findings: Adoption Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
0=Not applicable 1=Racial/Ethnic Background 2=Age 3=Membership in a Sibling Group 4=Medical conditions or Mental, Physical or Emotional Disabilities 5=Other					<p>group.” In the other case, the response should have been “other.”</p> <p>In one error case, the response should have been “sibling group” instead of “other.”</p> <p>In one error case, the response should have been “sibling group” instead of “age.”</p> <p>In three error cases, the response should have been medical, etc. instead of “other.”</p> <p>In one case, “age” was reported to AFCARS but the child was two years old. The reviewer noted that the ethnicity and exposure to drugs were factors and indicated the primary basis was “racial/ethnic background.”</p> <p>In one error case, the response reported in the AFCARS file was “other.” However, based on reviewer notes, this was not the primary basis and most likely it was either age or sibling group.</p>
11. Type of Disability-Mental Retardation	24	0	0	0	
12. Type of Disability-Visually or Hearing Impaired	24	0	0	0	
13. Type of Disability-Physically Disabled	23	1	0	0	In one error case, the response should have been “applies” instead of “does not apply.”
14. Type of Disability-Emotionally Disturbed	23	1	0	0	In the error case, the response should have been “does not apply” instead of “applies.” The response in AD10 was not medical, etc.
15. Type of Disability-Other	13	11	0	0	In 10 of the error cases, the response should have

**AFCARS Assessment Review Case File Findings: Adoption Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
Medically Diagnosed Condition Requiring Special Care					been "does not apply" instead of "applies." In each case, the response in AD10 was not medical, etc.  In one error case, the response should have been "does not apply" instead of "applies."
16. Mother's Year of Birth	24	0	0	0	
17. Father's Year of Birth	22	2			In two error cases, the field was reported as blank but the reviewer found a year of birth.
18. Was the Mother married at the time of the child's birth?  1=Yes 2=No 3=Unable to determine	14	9	1	0	In eight error cases, the response should have been "no" instead of "yes."  In one error case, the response should have been "no" instead of "unable to determine."
19. Date of Mother's Termination of Parental Rights	24	0	0	0	See Case File Findings Summary Report.
20. Date of Father's Termination of Parental Rights	24	0	0	0	See Case File Findings Summary Report.
21. Date Adoption Legalized	18	2	4	0	In one error case, the reviewer noted a date that was five days later than the one reported to AFCARS.  In one error case, the reviewer noted a date that was three weeks later than the one reported to AFCARS.
22. Adoptive Parents' Family Structure  1=Married couple 2=Unmarried couple 3=Single female	22	1	1	0	In one error case, the response should have been "single female" instead of "single male."

**AFCARS Assessment Review Case File Findings: Adoption Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
4=Single male					
23. Adoptive Mother's Year of Birth	22	1	1	0	One case was in error because the wrong family structure was reported in AD22; single male instead of single female.
24. Adoptive Father's Year of Birth	22	1	1	0	One case was in error because the wrong family structure was reported in AD22; single male instead of single female.
25. Adoptive Mother's Race a. American Indian or Alaska Native b. Asian c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine	19	3	2	0	In one error case, the race fields were reported as blank. The reviewer found information to indicate the adoptive mother was "white."  In one error case, the race "white" should have been reported as "yes." The value reported as "yes" was "unable to determine."  One case was in error because the wrong family structure was reported in AD22; single male instead of single female.
26. Adoptive Mother's Hispanic Origin  0=Not Applicable 1=Yes 2=No 3=Unable to determine	18	4	2	0	In one error case, the field was blank but the reviewer noted the response should have been "yes."  One case was in error because the wrong family structure was reported in AD22; single male instead of single female.  In two error cases, the response should have been "not applicable" instead of being blank.
27. Adoptive Father's Race a. American Indian or Alaska Native b. Asian	21	2	1	0	In one error case, the race fields were reported as blank. The reviewer found information to indicate the adoptive father was "white."

**AFCARS Assessment Review Case File Findings: Adoption Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine					In one error case, the fields should have been blank. The wrong family structure was reported in AD22.
28. Adoptive Father's Hispanic Origin  0=Not Applicable 1=Yes 2=No 3=Unable to determine	14	9	1	0	In eight error case, the field was blank instead of "not applicable." The child was adopted by a single female.  In one error case, the response should have been "not applicable" instead of "yes."
29. Relationship to Adoptive Parent-Stepparent  0=Does not apply 1=Yes, Applies	24	0	0	0	
30. Relationship to Adoptive Parent - Other Relative  0=Does not apply 1=Yes, Applies	20	4	0	0	In the error cases, not all relationships were selected. The response to this element should have been "yes, applies" in addition to the reported relationship of "foster parent."
31. Relationship to Adoptive Parent - Foster Parent  0=Does not apply 1=Yes, Applies	11	13	0	0	In the error cases, not all relationships were selected. The response to this element should have been "yes, applies."
32. Relationship to Adoptive Parent - Other Non-relative  0=Does not apply 1=Yes, Applies	18	6	0	0	In the error cases, not all relationships were selected. The response to this element should have been "yes, applies."

**AFCARS Assessment Review Case File Findings: Adoption Elements**  
**State: California**  
**Report Period Reviewed: April 1 - September 30, 2014**

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
33. Child was placed from 1=Within State or Tribal Service Area 2=Another State or Tribal Service Area 3=Another Country	23	1	0	0	In the error case, the field was blank. The reviewer found that the child had been adopted from the State foster care system.
34. Child was placed by 1=Public agency 2=Private agency 3=Tribal Agency 4=Independent person 5=Birth parent	23	1	0	0	In the error case, the field was blank. The reviewer found that the child had been adopted from the State foster care system.
35. Is the Child Receiving a Monthly Subsidy? 1=Yes 2=No	21	1	2	0	The response should have been "yes" instead of "no."
36. Monthly Amount	19	3	2	0	In two error cases, the amount found by the reviewer was different than the amount reported in the AFCARS file.  In one error case, an amount should have been reported instead of "00000.")
37. Is the Child receiving a title IV-E adoption subsidy? 1=Yes 2=No	20	2	2	0	In one error case, the response should have been "yes" instead of "no."  In one error case, the response should have been "no" instead of "yes."

## **Tab B**

### **AFCARS Improvement Plan**

**Section 1: General Requirements**

**Section 2: Foster Care and Adoption Elements**

## IMPROVEMENT PLAN INSTRUCTIONS

The Improvement Plan is the working document for recording progress on each task by the State, comments, and the Children's Bureau's response. It is to reflect the history of the improvement plan phase with all related notes, approvals, questions, etc. An electronic copy of the document will be e-mailed to the State once it has received the hard copy of the report.

The State is to provide its initial estimated completion dates for each task within 30 days of receiving the report. The document is then to be emailed to the Federal review team.

In the foster care and adoption data element matrices, the data elements that received a "4" are not included on the corrective action work plans. However, the State should review the findings document (see Tab A). The data element may contain notes that the State may want to consider in order to more efficiently collect the AFCARS data.

The AIP Updates includes the matrices, the extraction code, screen prints if changes were made (including the relevant drop-down lists), as well as any other supporting documents relevant to the current update.

**Each task is numbered. Dates and any comments are to be numbered according to the corresponding task.** If a date changes, do not delete it. Instead, use the strike-through function and type in the new date.

The Improvement Plan contains five columns:

**Element/Requirement:** This column lists every AFCARS adoption and foster care data element, and general requirement with a rating factor of a 1, 2, or 3.

**Rating Factor:** This is the final rating factor based on the findings for the data element/general requirements.

**Findings:** This column includes the findings that need corrections.

**Tasks:** This column includes the actions that must be taken in order to bring the data element/general requirement into compliance with the AFCARS requirements. Some task items may include suggestions for changes and are, therefore, optional items for the State to consider implementing. Each task is numbered.

**Date:** This column is to be used by the State to list the benchmark dates by which it intends to complete each action item, and is updated by the State to reflect the actual completion date. The corresponding task number should be included with the date. The State should use "strikethrough" of the old dates when updating information. Once the Children's Bureau has reviewed changes made by the State, it will list the approval date in this column. Only use black font in this column. The Children's Bureau will use red font for the sign-off.

**Notes:** This column may be used either by the State or the Federal staff to record follow-up notes, etc. This column may also contain follow-up questions of the Federal review team based on post-site visit analysis. The corresponding task number should be included with the note.

**Sample**

Data Element	Rating Factor	Findings	Tasks	Date	Notes
#, element	2	1) Finding	1) Task	1) m/day/yr	1) <u>CB, m/yr</u> : This is a blank example. <u>ST, m/yr</u> : The State made the modifications to the program code at line/section number.

**File names.** When submitting the update, each document should be named following this convention:

Item AIP\_ST CCYY\_MM

Examples: Element AIP\_PA 2015\_12

Screen AIP\_PA 2015\_13

## **Section 1**

### **General Requirements**

AFCARS Assessment Review Improvement Plan: General Requirements  
State: California

No.	Requirement	Rating Factor	Findings	Tasks	Date	Notes
1	<p>For the purpose of foster care reporting, each data transmission must include all children in foster care for whom the title IV-E agency has responsibility for placement, care, or supervision. (45 CFR 1355.40(a)(2)).</p> <p>The [foster care] population to be included in this reporting system includes all children in foster care under the responsibility of the title IV-E agency administering or supervising the administration of the title IV-B Child and Family Services State plan and the title IV-E plan; that is, all children who are required to be provided the assurances of section 422(b)(8) of the Social Security Act. (Appendix A to Part 1355--Foster Care Data Elements, Section II--Definitions).</p>	2	<p>1) <i>Children who are under the joint placement and care responsibility of the juvenile justice and child welfare systems are reported to AFCARS</i> - There are judges in some counties that will order dual custody between child welfare and probation. While other county judges do not and will dismiss one agency and give the other custody.</p> <p>2) <i>Children whose only placement is a locked facility or a hospital are to be excluded</i> - There was one test case in which the child's only placement in the removal episode was a locked facility and the agency incorrectly included the case in the test reporting population. There are several errors and/or inconsistencies in the reporting of these settings as either the first or the only placement. The program code adds all out-of-home placements for the selected removal records by matching on the episode id (third id) (removal ID code). The facility type is added to these records and the first placement is flagged.</p> <p>3) <i>Children whose only placement during the report period is "runaway"</i> There was one case testing this condition and the agency did not include the record in the test population. The state's case management system does not have a</p>	<p>1) Ensure that the program code correctly reports records of children who are in dual custody, as well as, those who are in the custody of CW and are then transferred to Juvenile Justice (and vice versa). See findings document for additional guidance. Additional tasks noted in foster care elements # 23, 24, 41, 56 and 58 and General Requirements (GR) 4.</p> <p>2) Determine what the exact issue is with both this requirement and the elements.</p> <p>3) Modify the case management system to allow the entry of a removal and placement location of runaway when it is the only location of the child.</p> <p>3b) Modify the program code to</p>		

AFCARS Assessment Review Improvement Plan: General Requirements  
State: California

No.	Requirement	Rating Factor	Findings	Tasks	Date	Notes
			<p>placement status of runaway. Instead if a child runs away from a setting, then "runaway" is entered as a placement ending reason; never as the child's current living arrangement.</p> <p>4) <i>Children of minor parents:</i> There were two cases testing this condition. In one the child remained with his mother after birth and in the other case, the child was placed in a separate foster care setting. The agency did not include the record of the child that remained with his mother. However, this is because the agency did not enter any information about the child into the system. The agency also did not include the other test case in the reporting population. The agency provided screen shots on the case of the child who was placed away from his mother and information was entered into the system. However, it appears as if the first placement setting was not entered into the system. It was not possible to fully evaluate whether the extraction code would report these types of cases correctly or not since data for both examples were not entered. If a child/youth in foster care is a parent, and their child lives with them, their child is to be excluded from the foster care reporting population.</p> <p>5) There are codes referenced in logic for the non-foster care placement file</p>	<p>include children whose first and only location as of the end of the report period is "runaway."</p> <p>4) Evaluate and provide explanation how these situations are entered into the system. Tasks will be added based on the state's evaluation and response.</p> <p>5) Provide a complete code dictionary that the federal team can</p>		

AFCARS Assessment Review Improvement Plan: General Requirements  
State: California

No.	Requirement	Rating Factor	Findings	Tasks	Date	Notes
			<p>that the federal team has not received their translation (6363, 6364, 6365, 6366 and 6367).</p> <p>6) There are three locations that are listed on the non-foster care placement tab that if this were the child's only placement, the record would be excluded from the reporting population (Juvenile Hall, Medical Facility, and Psychiatric Facility).</p> <p>7) The approach for selecting the foster care reporting population is complicated and cumbersome. If there is an error in data entry regarding non depended/dependent cases, this becomes a cascade effect and a record can be incorrectly included.</p>	<p>review.</p> <p>6) The state will need to provide additional information for the others options listed.</p> <p>7) Re-evaluate how the population logic is written and make changes in order to correctly identify the reporting population.</p>		
4	[The foster care] population includes all children supervised by or under the responsibility of another public agency with which the title IV-E agency has an agreement under title IV-E and on whose behalf the title IV-E agency makes title IV-E foster care maintenance payments. (Appendix A to Part 1355--Foster Care Data Elements, Section II--Definitions).	2	<p><u>Extraction Code</u> The extraction code does identify and report the Probation and Tribal cases. However, the agency is incorrectly including all probation records.</p>	<p><u>Code</u> 1) Modify the program code to only select the records of probation youth who are receiving title IV-E funds. Additional tasks are included in the foster care element matrix.  2) Only tribal children who are not in the agency's responsibility for placement and care and receiving title IV-E funds are to be included.</p>		
5	The reporting system includes all children who have or had been in foster care at least 24 hours. (Appendix A to Part 1355--Foster Care Data	2	<p><u>System</u> 1) It was noted during the 2004 AFCARS Review that records of children whose removal episode is 24 hours or less in duration are not</p>	<p><u>System</u> 1) Modify the system to enable the determination of the length of time a child has been in foster care.</p>		

AFCARS Assessment Review Improvement Plan: General Requirements  
State: California

No.	Requirement	Rating Factor	Findings	Tasks	Date	Notes
	Elements, Section II—Definitions).		<p>included in the AFCARS reporting population. It was determined during the onsite phase that the reason the test case used to test this condition was not reported was because the episode was not entered into the system. All cases in which the agency has involvement/responsibility for and/or the child has been placed in an out-of-home setting are to be entered into the system. If a child is in the agency's responsibility for placement and care regardless of how long they have been in an out-of-home episode or what the living arrangement is while in out-of-home care, are to be recorded in the system.</p> <p>During the post site phase, the agency submitted a proposed approach to address whether a removal episode is 24 hours or less in duration. The agency indicates: The Placement Notebook&gt;ID Page shall carry a control to indicate that a Placement Start Date and End Date is less than a 24 hour period." The agency used the term "placement" clarify whether this references the child's living arrangement or the removal episode. If placements are being used to determine whether the episode is 24 hours or less, then there should be only one placement location.</p> <p>2) The agency utilizes "23-hour Assessment Centers." In general,</p>	<p><u>Code</u> 1) Modify the program code to exclude records in which the removal episode is less than 24 hours in duration.</p> <p>2) Ensure the program code is not excluding a location of "Assessment</p>		

AFCARS Assessment Review Improvement Plan: General Requirements  
State: California

No.	Requirement	Rating Factor	Findings	Tasks	Date	Notes
			<p>these centers are used to assess a child to determine the most suitable placement location. While these are not intended to be a placement, it is possible the child may spend the night. If this is the case, and if the child is in out-of-home care for more than 24 hours, the initial removal from home date is to be reported as the child's removal date (FC18 and 21) and the assessment center is considered the child's first placement and is to be included in the count reported in FC24.</p>	<p>Center." If the child is the Assessment Center for more than 24 hours this is to be included as a removal episode.</p>		
11	<p>For the purposes of adoption reporting, data are required to be transmitted by the title IV-E agency ... on all adopted children for whom the agency is providing adoption assistance (either ongoing or for nonrecurring expenses), care or services directly or by contract or agreement with other private or public agencies. (45 CFR 1355.40(a)(3)).</p> <p>The title IV-E agency must report on all children who are adopted in the State or Tribal service area during the reporting period and in whose adoption the title IV-E agency has had any involvement. ...reports on the following are mandated:</p>	3	<p><u>Policy</u> The State staff confirmed they will enter into an AAP agreement with families adopting a child through a private agency who is determined to be special needs.</p> <p>The agency noted in the prior AFCARS improvement plan functionality was added to capture four types of adoptions: Public Agency, Private Agency, Tribal Agency and Birth Parent. However, an additional note made by state team indicated "Adoptions of non-foster care children are not reported to the system."</p> <p>As part of this review, there were three test cases of non-foster care adoptions. The agency included all three in the adoption reporting population. During the onsite phase, the federal team did observe the information for one of the</p>	<p>Ensure all adoptions in which the agency has involvement are entered into the system and reported in AFCARS.</p>		

AFCARS Assessment Review Improvement Plan: General Requirements  
State: California

No.	Requirement	Rating Factor	Findings	Tasks	Date	Notes
	<p>(b) All special needs children who were adopted in the State or Tribal service area, whether or not they were in the public foster care system prior to their adoption and for whom non-recurring expenses were reimbursed; and</p> <p>(c) All children adopted for whom an adoption assistance payment or service is being provided based on arrangements made by or through the title IV-E agency. (Appendix B to Part 1355--Adoption Data Elements, Section I).</p>		<p>cases. Demonstrating the system has the capacity to allow private AAP cases to be entered.</p>			
13	<p>The data must be extracted from the data system as of the last day of the reporting period (45 CFR 1355.40(b)(1)):</p> <p><u>For foster care information [subsequent files]</u>, the child-specific data to be transmitted must reflect the data in the information system when the data are extracted. (45 CFR 1355.40(b)(2)).</p> <p>Report the status of all children in foster care as of the last day of the reporting period. (AFCARS Technical Bulletin #6, Data Extraction)</p>	3	<p><u>Subsequent files - Foster Care</u> There were errors in the test case results indicating data are not reflective of the report period extracted.</p>	<p><u>Subsequent files - Foster Care</u> The agency needs to ensure that each foster care data element has logic to check against the report period being extracted.</p>		
14	<p>The data must be extracted from the data system as of the</p>	2	<p><b>Adoption Regular Files</b> <u>Extraction Code</u></p>	<p><u>Extraction Code</u> 1) Adoption Regular Files:</p>		

AFCARS Assessment Review Improvement Plan: General Requirements  
State: California

No.	Requirement	Rating Factor	Findings	Tasks	Date	Notes
	<p>last day of the reporting period. (45 CFR 1355.40(b)(1)):</p> <p><u>Adoption data [regular or subsequent]</u> are to be reported during the reporting period in which the adoption is legalized or, at the title IV-E agency's option, in the following reporting period if the adoption is legalized within the last 60 days of the reporting period. For a semi-annual period in which no adoptions have been legalized, the title IV-E agency must report such an occurrence.(45 CFR 1355.40(b)(3)).</p>		<p>The adoption population is selected as all cases on the adoption placement table with a finalization date within the reporting period. While this may identify nearly all the adoptions, there may be adoptions that are entered late and after the agency has extracted its adoption file. These will never be reported.</p>	<p>Implement a method to identify unreported adoptions and include them in the next regular report period.</p>		
15	<p>The title IV-E agency extracts all records based on the transaction date of discharge (foster care element #57) or the date of latest removal (foster care element #21), if the child has not been discharged. (ACYF-PI-CB-95-09, Reissued May 23, 1995 and Technical Bulletin #6, AFCARS Data Extraction)</p>	2	<p>In the agency's first AFCARS Review and improvement plan, the agency was not using the transaction date as a criteria in selecting the foster care reporting population. The agency made the correction to the extraction code and the Children's Bureau signed off on it (2008). As a result of this AAR, the agency's extraction code was found to no longer use the transaction date in the selection criteria.</p>	<p>Modify the selection logic to include the transaction date as part of the selection criteria.</p>		
21	<p><b>General Data Quality</b></p> <p>For data to be considered "quality" it must be accurate, complete, timely, and consistent in definition and usage across the entire IV-E agency and State/Tribal service</p>		<p>For many of the data elements there is a need for improved oversight to ensure that all applicable information is entered into the system in a timely manner.</p> <p>The system and extraction code's technical issues may be masking</p>	<p>1) Describe, develop, and implement a method to ensure the accurate and timely entry of the AFCARS data; including but not limited to supervisory oversight and management reports.</p> <p>1a) In the above plan, address how</p>		

AFCARS Assessment Review Improvement Plan: General Requirements  
State: California

No.	Requirement	Rating Factor	Findings	Tasks	Date	Notes
	<p>area. The quality of the AFCARS data is assessed by the agency on a regular and continuous basis in order to sustain a high level of quality data. The agency incorporates AFCARS data into its quality assurance/continuous quality improvement plan. The agency involves staff from every level of the organization, and other stakeholders from outside of the agency.</p>		<p>further data quality issues related to data entry. Once technical corrections are made, the state will need to evaluate the data to determine the need for any additional training needs and monitoring of the data.</p> <p>Corrections needed for the foster care and adoption data elements require the state to resubmit AFCARS data for past report periods. The state and the Children's Bureau will discuss which reports will be required for resubmission.</p>	<p>supervisors ensure accurate data entry.</p> <p>2) Describe how the agency will monitor the accuracy of AFCARS data, including completeness of the data and timely entry of the data, over time.</p> <p>3) Describe how the title IV-E agency utilizes management reports and the data in its analyses. Provide brief examples.</p> <p>4) Describe how the agency will incorporate the information collected in AFCARS as part of its monitoring and quality assurance process in order to ensure accuracy of the data.</p> <p>5) Include system and importance of data quality training in the agency's training for staff and include in the State's training plan (in the State's title IV-B, Child and Family Services Plan and Annual Progress and Services Report).</p> <p>5a) What ongoing training exists for caseworkers regarding the information system?</p>		

## **Section 2**

### **Foster Care and Adoption Elements**

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
5. Date of Most Recent Periodic Review (if applicable)	3	<p><u>Data Quality</u> 2014B Frequency Report (n=72,514): 3% of the records have a date older than 2014. There are 23% of the records with no date (did not verify the date of removal for these cases). Case File Review Findings: (n=77) 22 (29%) cases were found to not match what was reported in AFCARS. Eight of the cases were probation.</p>	Address tasks in GR21 that outline the agency's overall data quality plan.		
<p>8. Child's Race</p> <p>0=No 1=Yes</p> <p>a. American Indian or Alaska Native b. Asian c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine</p>	2	<p><u>Program Code</u> If the "infant safely surrendered" indicator is "y," the program code sets "unable to determine" to "yes."</p> <p><u>Screen</u> CB has a copy of the screen showing the other ethnicity field options but not the options for the primary race field. Also, the other ethnicity field includes Samoan but it appears to be disabled.</p> <p><u>Recommendation: Screen</u> The state's information system includes "Hispanic" and other Hispanic/Latino ethnicities in the dropdown list for the primary ethnicity (e.g. race). When Hispanic, or one of the other Hispanic/Latino options, is selected there is no prompt to have the worker enter a race in the other ethnicity field. If a person identifies as being Hispanic and declines to give a race, then the caseworker should select "decline" in the race field and check the Hispanic indicator as "yes." If the person does not decline to provide a race, then the worker must inquire and enter the race category identified by the client.</p>	<p><u>Program Code</u> Modify the program code to check if there is both a race and the Safe Haven indicator selected. If this is the case, report the race only.</p> <p><u>Screen</u> The State needs to provide a copy of the screen showing the options for primary ethnicity. Also, respond if Samoan is an active option.</p> <p><u>Recommendation: Screen</u> Implement a system edit to prompt worker to enter a race when a Hispanic option is selected in the primary ethnicity field.</p> <p><u>Data Quality</u> As part of ongoing training, the State needs to make clear that "Hispanic" is not a race. Workers must also ask individuals that identify themselves as "Hispanic" or other Latino origin, which race they consider themselves to be. Address tasks in GR21 that outline the agency's overall data quality</p>	<p><u>Code</u></p> <p><u>Screen</u></p>	<u>Program Code</u>

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		<p><u>Data Quality</u>  <i>2014B Frequency Report (n=72,514):</i>            There are 27,294 (38%) reported as “unable to determine.” There also are 49 records reported with a race plus unable to determine.  <i>Case File Findings (n=77):</i> 6 (8%) of the records analyzed did not match what was reported in AFCARS.</p>	plan.		
9. Child’s Hispanic or Latino Ethnicity  1 = Yes 2 = No 3 = Unable to Determine	3	<p><u>Data Quality</u>  <i>2014B Frequency Report (n=72,514):</i> Yes = 38,410 (53%); No = 29,272 (40%); Unable to determine = 2,662 (4%); Not reported = 2,170 (3%)  <i>Case File Findings (n=77):</i> 4 (5%) of the records analyzed did not match what was reported in AFCARS.</p>	Address tasks in GR21 that outline the agency’s overall data quality plan.		
10. Has the Child Been Clinically Diagnosed with a Disability(ies)? 1 = Yes 2 = No 3 = Not Yet Determined	3	<p><u>Screen: Health Notebook Recommendations</u>            There is no connection between the fields for the disability diagnosed question and the diagnosed condition tab; it is not required to enter a diagnosed condition when the diagnosed condition indicator is set to “yes”.             3) There a field “Has this child been clinically diagnosed with a disability?” The response options are “yes,” “no,” and “not yet determined.”</p> <p><u>Recommendations</u>  <u>Program Code</u>            The program code first sets this element based on whether any of elements #11 – 15</p>	<p><u>Screen</u>            1) Given the errors found in the case file review, the agency should consider modifying the system so that if “yes” is selected as the child having a diagnosis, that a diagnosed condition must be entered.             2) Consider modifying the system that a diagnosis can’t be entered unless “yes” was selected on the summary screen.             3) The agency should change the wording of the question to diagnosed conditions as more than determined disabilities are recorded.</p> <p><u>Recommendations</u>  <u>Program Code</u></p>		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		<p>are set to "yes." If there is any, then element #10 is set to yes. Then the logic checks the question.</p> <p><u>Post-Site Visit Program Code Modifications</u> The program code was modified regarding the value "no condition." It appears the modification is an attempt to deal with the confusion introduced by mapping "diagnosed condition" both from the "diagnosis indicator" (set from the disability code from the client record) and the presence or absence of a particular disability. The new logic checks to see if the disability code from the system indicates the presence of a diagnosis active during the report period (base on condition beginning and ending dates) and if so the "nocond flag" (mapped from the disabilities) is ignored and element #10 is mapped to "yes." Previously a "nocond flag" of "y" would have trumped the system's "diagnosed disability code." The logic would seem much cleaner if the logic used only the code from the system for the diagnosed disability value and did not also try to derive it from the conditions.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> Yes = 35,414 (49%); No = 28,187 (39%); Not Yet determined = 2,226 (3%); Not reported = 6,687 (9%) <i>Test Cases:</i> There were several errors for this element; some may be data entry errors. Also, there were cases that have inconsistent information in relation to other elements. <i>Case File Review Findings (n=77):</i> 28 (36%) of the records analyzed did not match</p>	<p>1) Review the logic used to extract the response and consider first checking the question on the summary screen. Map responses to the applicable AFCARS value.</p> <p>2) If there is a response of yes, then the logic would make sure there is a reportable condition entered and that it is still active as of the end of the report period being transmitted.</p>		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		what was reported in AFCARS. Three of the error cases were Probation.			
Screen Findings for FC11-15	2	<p><u>Screen</u>: Client Services/Health Notebook/Diagnosed Condition Tab</p> <p>1) In the field "health problem," there are several items listed that are not diagnoses. Since this tab is for "Diagnosed Conditions," actual diagnoses and not characteristics should be listed.</p> <p>2) The system only lists developmental delay but does not distinguish cognitive from motor or if both are present.</p> <p>3) There is no diagnosis of depression on the list.</p> <p>4) There were conditions not found on the lists. Review the health records to determine if any of the following should be added to the system:  - microcephalus  - Asperger's Syndrome,  - HIV/AIDS</p>	<p><u>Screen</u></p> <p>1) Consider reviewing the system and streamline the Health section by removing observed conditions or behaviors.</p> <p>2a) The agency needs to add a value that will distinguish a developmental delay that is cognitive.</p> <p>2b) The agency needs to add a value that will distinguish a developmental delay that is motor.</p> <p>3) The agency needs to add a diagnosis of depression to the list of diagnosed conditions.</p> <p>4) These items should be included on the screen.</p>		
<p>11. Mental Retardation</p> <p><u>Requirements</u>  Significantly subaverage general cognitive and motor functioning existing concurrently with deficits in adaptive behavior manifested during the development period that adversely affect a</p>	2	<p><u>Data Quality</u>  <i>Case File Review Findings (n=77):</i> One error case. The child was diagnosed with a cognitive developmental delay.</p>	<p><u>Program Code</u></p> <p>1) Map cognitive developmental delays to this element.</p> <p>2) Map the condition "Other Developmental/Functional Limitation" that are cognitive to this element.</p> <p>3) If it is determined that</p>		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
child's/youth's socialization and learning.			microcephalus is to be added to the system, map it to this element.		
12. Visually or Hearing Impaired  <u>Requirements</u> Having a visual impairment that may significantly affect educational performance or development; or a hearing impairment, whether permanent or fluctuating, that adversely affects educational performance.	3	<u>Data Quality</u> Case File Review Findings (n=77): 5 (7%) of the records analyzed did not match what was reported in AFCARS. One record was Probation. In one the child wore glasses.			
13. Physically Disabled (Child)  <u>Requirements</u> A physical condition that adversely affects the child's day-to-day motor functioning, such as cerebral palsy, spina bifida, multiple sclerosis, orthopedic impairments, and other physical disabilities.	2	<u>Program Code</u> 1) Orthopedically handicapped is incorrectly included in this element.  2) Physiologically disordered is incorrectly included in this element.  <u>Data Quality</u> Case File Review Findings (n=77): One record analyzed did not match what was reported in AFCARS.	<u>Program Code</u> 1) Remove orthopedically handicapped from the extraction code.  2) Remove physiologically disordered from the extraction code.  3) Map new value for "developmental delay - motor" to this element.  4) If "Other Developmental/ Functional Limitation" includes motor limitation, map it to this element.		
14. Emotionally Disturbed (DSM- IV)  <u>Requirements</u> A condition exhibiting one or more of the following characteristics over a long period of time and to a marked	2	The values listed below are incorrectly mapped to this element and should not be included.  359 = Suicidal (discusses plans) 360 = Suicidal (has attempted) 361 = Suicidal (Self-Destructive Behavior)	1) Modify the program code to not include the values for "suicide."  2) Identify what "380, SED & requiring out of home placement" means.		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
degree: An inability to build or maintain satisfactory interpersonal relationships; inappropriate types of behavior or feelings under normal circumstances; a general pervasive mood of unhappiness or depression; or a tendency to develop physical symptoms or fears associated with personal problems. The term includes persons who are schizophrenic or autistic. The term does not include persons who are socially maladjusted, unless it is determined that they are also seriously emotionally disturbed.		<u>Data Quality</u> <i>Case File Review Findings (n=77):</i> 12 (16%) of the records analyzed did not match what was reported in AFCARS. Two of the records were Probation. Most of the responses should have been “applies.” In several of the cases, FC15 was incorrectly reported as “applies.”			
15. Other Medically Diagnosed Conditions Requiring Special Care  <u>Requirements</u> Conditions other than those noted above which require special medical care such as chronic illnesses. Included are children diagnosed as HIV positive or with AIDS.	2	<u>Program Code</u> The screen contains the option “autism” but it is not currently mapped to any category. Also, if there are children with the diagnosis of Asperger’s Syndrome, it too would be mapped to this category.  <u>Data Quality</u> <i>Case File Review Findings (n=77):</i> 17 (9%) of the records analyzed did not match what was reported in AFCARS. Three of the error cases were Probation. In most of the cases the response should have been “does not apply.”	1) Map autism to this element.  1a) If Asperger’s Syndrome is added, map to this element.  2) How is HIV/AIDS recorded in the system?  2a) Map HIV and/or AIDs to this element.		
16. Has this Child Ever Been Adopted?  1 = Yes 2 = No 3 = Unable to Determine	3	<u>Data Quality</u> The State needs to ensure that workers answer this question for all types of adoptions, whether they are private or public, or within State or not. <i>2014B Frequency Report (n=72,514):</i> Yes = 1,089 (2%); No = 55,402 (76%); Unable to determine = 10,224 (14%); Not reported =	Address tasks in GR21 that outline the agency’s overall data quality plan.		



AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		<p>removal episode.</p> <p>4) The program code only includes logic to check if the first placement in the episode is a locked facility or hospital for the current removal (FC21).</p> <p>5) If a child exits foster care as a result of an adoption but re-enters foster care at a later time, the agency is not including the prior removal history of the child.</p> <p>6) The removal history for DSS cases is to only include the involvement DSS had with the child. The probation cases are to include the probation agency's involvement with the child; the two are not to be mixed. A child in the joint custody of DSS and probation is to be reported under the responsibility of the child welfare agency.</p> <p>The federal team has questions regarding the test cases.</p> <p><u>Data Quality</u>  <i>2014B Frequency Report (n=72,514):</i>                      There are five records with years between 1988 and 1992.</p> <p><i>Case File Review Findings (n=77):</i> 9 (12%) of the records analyzed did not match what was reported in AFCARS. See the case file review findings.</p>	<p>4) Modify the program code to the applicable first removal episode to determine if the first placement in that episode is a hospital or locked placement. If there is, then set this element to the date of the first foster care setting that is within the scope of title IV-E following the hospital/locked placement.</p> <p>5) Modify the program code to check a child's full removal history that occurred prior to an adoption from the agency's foster care system and report the child's first removal episode.</p> <p>6a) Identify first removal dates of a youth who is the reporting population per the requirements of GR4, receiving title IV-E based on the youth's history with the Probation agency and not the child welfare agency.</p> <p>6b) For children in the child welfare agency's reporting population, the date the child first entered foster care is to be reported for this element. If the child's first out-of-home experience was with probation, that episode is not to be included.</p> <p>7) Depending on the results of discussions with the state regarding GR1, children of minor parents who are in foster care,</p>		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
			additional tasks may need to be added to this element.		
19. Total Number of Removals from Home To Date	2	<p><u>Program Code</u></p> <p>1) The agency is incorrectly identifying removal episodes that are 24 hours or less (see GR5).</p> <p>2) If a child exits foster care as a result of an adoption but re-enters foster care at a later time, the extraction code must identify the prior removal history and report the total number of removals; both before and after the adoption.</p> <p>3) Issue with probation removal episodes and child welfare agency cases being combined (see previous notes).</p> <p>4) If there is a removal episode in which the only placement was a detention facility or a hospital, the program code for both child and probation cases.</p> <p>5) There is logic in the program while it is building the file of all out of home placements to "bridge" records that start and end on the same day. These may very well be cases that are to be treated as two</p>	<p><u>Program Code</u></p> <p>1) Modify the program code to exclude all removal episodes that are 24 hours or less in duration from the number of removals. Also, see notes for FC18, task 3.</p> <p>2) Modify the program code to count all applicable removal episodes prior to and after an adoption.</p> <p>3a) Identify removal episodes of a youth who is the reporting population per the requirements of GR4, receiving title IV-E, based on the youth's history with the Probation agency and not the child welfare agency.</p> <p>3b) For children in the child welfare agency's reporting population, only include child welfare removal episodes in the count.</p> <p>4) For title IV-E probation cases and all child welfare cases, the removal count is never to include episodes in which the only setting in the episode is a locked facility or a hospital.</p> <p>5) The program code should not automatically bridge these cases as they may be two separate removal episodes and be counted as such.</p>		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		<p>separate removal episodes.</p> <p><u>Data Quality</u>  <i>2014B Frequency Report (n=72,514):</i>            There are 55,275 records with only 1 removal episode. However, FC20 has 55,279 records as blank. The agency needs to investigate what is the cause of this error.</p> <p><i>Case File Review Findings (n=77):</i> 3 (4%) of the records analyzed did not match what was reported in AFCARS.</p>	<p>6) Depending on the results of discussions with the state regarding GR1, children of minor parents who are in foster care, additional tasks may need to be added to this element.</p> <p>7) See GR1 - additional findings may affect tasks needed for this element.</p>		
20. Date Child was Discharged from Last Foster Care Episode	2	<p><u>Program Code</u></p> <p>1) Removal episodes in which the only placement is a locked facility or a hospital are not to be included in the determination of the date for this element.</p> <p>2) The agency is not correctly identifying removal episodes that are 24 hours or less (see GR5).</p> <p>3) The agency is not correctly identifying removal episodes of children adopted from the CA foster care system who re-enter foster care after the adoption.</p> <p>4) There may be an issue of probation removal episodes and child welfare agency cases being combined (see previous notes).</p>	<p><u>Program Code</u></p> <p>1) Once corrections are made for GR1 review the program code make sure all changes are carried through to ignore a prior episode in which the only placement is a locked facility or a hospital.</p> <p>2) Once corrections are made for GR5 review the program code to make sure all changes are carried through to check if the prior episode was one that was 24 hours or less in duration, if so, check the next previous removal episode.</p> <p>3) The extraction code must identify the prior date of discharge, even if it is the episode that ended with an outcome of adoption.</p> <p>4) If a child/youth enters the AFCARS reporting population from the probation agency, this element is to reflect the last title IV-E episode the child experienced with</p>	<u>Code</u> 1)	

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		<p>5) There is logic earlier in the program while it is building the file of all out of home placements to “bridge” records that start and end on the same day.</p> <p><u>Data Quality</u>  <i>Case File Review Findings (n=77):</i> 4 (5%) of the records analyzed did not match what was reported in AFCARS. Three of the cases were Probation.</p>	<p>the probation agency; not child welfare.</p> <p>4b) For children in the child welfare agency’s reporting population, the date the child last exited foster care is to be reported for this element. If the child’s last out-of-home experience was with probation, that episode is not to be included.</p> <p>5) The program code should not automatically bridge these cases as they may be two separate removal episodes and be treated as such.</p> <p>6) The date that is reported for element 56 is to be the same date reported for FC20.</p> <p>7) Depending on the results of discussions with the state regarding GR1, children of minor parents who are in foster care, additional tasks may need to be added to this element.</p> <p>8) See GR1 - additional findings may affect tasks needed for this element.</p>		
21. Date of Latest Removal from Home	2	<p><u>Program Code</u>            1) The agency is not correctly identifying and reporting the date of removal for children whose initial placement location is runaway.</p>	<p><u>Program Code</u>            1) Modify the program code to report the removal or court order date (whichever is applicable) for the date of removal of children who are on runaway status as the only living arrangement.</p>	<p><u>Code</u>            1)</p>	

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		<p>2) If the child's first placement was a detention (locked) facility or a hospital and then the child enters a foster care setting within the scope of title IV-E, the date of removal is the start date of this placement.</p> <p>3) There is logic in the program while it is building the file of all out-of-home placements to "bridge" records that start and end on the same day.</p> <p><u>Data Quality</u> Case file review findings: 11 (15%) of the records analyzed did not match what was reported in AFCARS.</p>	<p>2) Modify the program code to report the date the child entered a foster care setting as the date of removal.</p> <p>3) The program code should not automatically bridge these cases as they may be two separate removal episodes and be treated as such.</p> <p>4) If a child is removed from home placed initially in a "23-hour Assessment Center" and is there overnight and then enters another setting, the date the child was removed from home is to be reported as the date of removal. If the child returns home from the Assessment Center within 24 hours, then this is not a removal episode.</p> <p>5) Depending on the results of discussions with the state regarding GR1, children of minor parents who are in foster care, additional tasks may need to be added to this element.</p> <p>6) See GR1 - additional findings may affect tasks needed for this element.</p>		
23. Date of Placement in Current Foster Care Setting	2	<p><u>Program Code</u></p> <p>1) The state's case management system does not have a placement status of runaway; "runaway" is entered as a placement ending reason not as the child's</p>	<p><u>Program Code</u></p> <p>1) Develop a method, either in the system or in the program code, to correctly report the placement date of children whose only living</p>		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		<p>current living arrangement. The extraction code cannot report this element correctly for records of children who begin the removal from a status of "runaway" and who are still on a runaway status as of the end of the report period.</p> <p>2) Institutions with several cottages on the campus - the agency is not to change the date when a child moves from one cottage to another.</p> <p>3) If the child is placed in a hospital as of the end of the report period for a non-acute period of time, then the start date of the hospitalization is to be reported.</p> <p>4) In the cases reviewed, there were records in which the date of placement preceded the date of removal.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> There are 117 records reported with invalid information.</p> <p><i>Case file review findings:</i> 11 (15%) of the records analyzed did not match what was reported in AFCARS.</p>	<p>arrangement is "runaway."</p> <p>2) Modify the program code to check the location and if the setting is a campus, then the date is not to change.</p> <p>3a) State and Federal team to finalize number of days for hospital stay.</p> <p>3b) Modify the program code to report the start date of a non-acute care hospital stay.</p> <p>4) The agency needs to determine if this is a result of the bridging logic or some other cause. Provide the federal team with the state's finding.</p> <p>5) Verify the program code sets this element to the date a placement in the home of removal begins (placement value in FC41 of "trial home visit") while the agency still has placement and care responsibility.</p>		
24. Number of Previous Placement Settings During this Removal Episode	2	<p><u>Program Code</u></p> <p>1) The program code is using the number from the system/screen counter and then adjusting it.</p>	<p><u>Program Code</u></p> <p>1) Modify the program code to identify the locations the child has been living in during the current removal episode and determine per the AFCARS requirements to</p>	<p><u>Code</u></p> <p>1)</p>	

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		<p>2) The counter has been adjusted to not count placements that begin and end on the same day.</p> <p>3) Hospital stays that are not for acute stay (short periods of time) are to be counted in the number of placements.</p> <p>4) The program code is counting the initial placement in a hospital or locked facility.</p> <p>5) Placement moves from one cottage to another on the same campus may be incorrectly included in the placement count.</p> <p>6) The program code is not reporting a status of "runaway" when it is the only placement (see GR1). placement count must be zero.</p>	<p>report the number of placements for this element.</p> <p>2) Modify the program code to count a placement regardless of how long it lasts.</p> <p>3) The program code must be modified to exclude hospital stays that are for the determined length of stay as discussed by the Federal team and the agency.</p> <p>4) Once corrections are made to exclude the initial placement of locked facilities by Probation, verify that these are being excluded in the number of placements if the child does enter foster care.</p> <p>4a) Verify that the program code is excluding from the placement count initial placement in a hospital or locked facility for all children entering from that location to foster care.</p> <p>5) Verify/modify the program code to not count moves from one cottage to another on the same campus.</p> <p>6a) Initialize this element to blank.</p> <p>6b) Modify the program code to set this element to zero only when the placement location in the removal episode is "runaway."</p>		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		<p>7) "23-hour Assessment Centers." See previous notes in the findings document for FC18 and 23.</p> <p><u>Data Quality</u> 2014B Frequency Report (n=72,514): There are 137 records reported with invalid information. There is one record with zero placement count. The range of number of placements is from 1 to 48. Case File Review Findings (n=77): 14 (19%) of the records analyzed did not match what was reported in AFCARS. Two of the error cases were Probation.</p>	7) Verify/modify the program code to count these settings if the child has been in out-of-home care for more than 24 hours.		
<p>Actions or Conditions Associated With Child's Removal 26 - 40</p> <p>0=Does not Apply 1=Applies</p>	3	<p><u>Screen:</u> Client Services, Placement Notebook, Identification The agency did not provide a copy of the screen displaying all the options.</p> <p><u>Data Quality</u> Case File Review Findings (n=87): There were errors throughout these elements. In many instances only one was selected but there were multiple conditions associated with a child's removal from home. The majority of error cases were child welfare cases. See the case file review findings.</p>	<p><u>Screen:</u> Please provide the screen shot(s) in the agency's first Improvement Plan Update.</p>		
<p>41. Current Placement Setting</p> <p>1 = Pre-Adoptive Home 2 = Foster Family Home (Relative) 3 = Foster Family Home (Non-Relative) 4 = Group Home 5 = Institution 6 = Supervised Independent Living 7 = Runaway</p>	2	<p><u>System</u> 1) The state's case management system does not have a placement status of runaway; it is an end reason. The extraction code cannot identify records of children who begin the removal episode with a status of "runaway."</p> <p><u>Program Code</u> 1) If the adopt_place variable is "1" (there is a signed adoption agreement) the current placement setting is set to "pre-adoptive</p>	<p><u>System</u> 1) Modify the living arrangements options to include "runaway."</p> <p><u>Program Code</u> 1) The federal and state team needs to further discuss the use of the signed adoption agreement for</p>		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
8 = Trial Home Visit		<p>home.”</p> <p>2) If the placement facility type is 1418 or 1420 the setting is mapped to “institution.” If the placement facility type is 9999 or the setting is “institution” and the license cap is less than 12, then this element is set to “group home.”</p> <p>3) The agency utilizes “23-hour Assessment Centers” (see previous notes in FC18 and 23).</p> <p>4) It is not clear that all the locations listed on the non-foster care placement tab are being accounted for in this element (Drug Rehabilitation Center, Juvenile Camp/Ranch, Juvenile Hall, Medical Facility, Psychiatric Facility, Regional Center, Runaway Shelter, School Housing (Dormitory), and Other).</p> <p><u>Data Quality</u> <i>Postsite Program Code Modification:</i> The program code was modified by adding checks for a release reason code of “child ran away from home” (1584) or a placement change reason code of “child ran away from home” (1431) where the removal end date does not equal the placement end date. <i>This excludes as a “runaway” placement setting if the placement and episode end on the same day.</i></p> <p>The program code was also modified for “trial home visit” by adding checks for a</p>	<p>this element.</p> <p>2) The federal team will re-assess after receiving the complete values dictionary.</p> <p>3) If the child is in out-of-home care for more than 24 hours, this is considered the child’s first placement and if applicable reported in this element (if it is the setting as of the end of the report period).</p> <p>4) Clarify how these settings are mapped.</p> <p>5) Provide an explanation of the effect of the changes made during the postsite phase.</p>		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		<p>placement change reason code of “trial home visit” (1440) where the removal end date does not equal the placement end date. This excludes “trial home visit” placement and episode ending on the same day.</p> <p><i>2014B Frequency Report (n=72,514):</i> Pre-adopt home = 4,224 (6%); foster family home/relative = 22,228 (31%); foster family home/non-relative = 314239 (43%); group home = 4,310 (6%); institution = 3,559 (5%); supervised independent living = 2,505 (4%); runaway = 1,779 (3%); trial home visit = 2,486 (3%); not reported = 0</p> <p><i>Case File Review Findings (n=77):</i> 6 (8%) of the records analyzed did not match what was reported in AFCARS. Three were Probation cases.</p>			
<p>43. Most Recent Case Plan Goal</p> <p>1 = Reunify with Parent(s) or Principal caretaker(s)</p> <p>2 = Live with Other Relative(s)</p> <p>3 = Adoption</p> <p>4 = Long-term Foster Care</p> <p>5 = Emancipation</p> <p>6 = Guardianship</p> <p>7 = Case Plan Goal Not Yet Established</p>	<p style="text-align: center;">3</p>	<p><u>Data Quality</u></p> <p><i>2014B Frequency Report (n=72,514):</i> 28,031 (39%); Live with other relative = 1,531 (2%); Adoption = 16,469 (23%); Long-term foster care = 6,143 (9%); Emancipation = 4,654 (6%); Guardianship = 5,803 (8%); Case plan goal not yet established = 1,533 (2%); Not Reported = 8,350 (12%)</p> <p><i>Case File Review Findings (n=77):</i> 14 (19%) of the records analyzed did not match what was reported in AFCARS. Six of the error cases were Probation.</p> <p><u>Post-Site Visit Program Code Modifications</u></p> <p>The logic to set this element to “not yet established” was modified by checking if the child was in care less than or equal to 60</p>	<p>Address tasks in GR21 that outline the agency’s overall data quality plan.</p>		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		days. It should only be less than 60. The title IV-E requirement is that a goal is to be established by 60 days.			
44. Caretaker Family Structure  1 = Married Couple 2 = Unmarried Couple 3 = Single Female 4 = Single Male 5 = Unable to Determine	2	<p><u>Post-Site Visit Program Code Modifications</u> 1) "Widowed" (1310) is incorrectly mapped to "not married," which is mapped to "unmarried couple." It is to be mapped to either "single male" or "single female." The program does not check the gender code for this condition as it needs to.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> Married couple = 6,009 (8%); Unmarried couple = 11,382 (16%); Single female = 40,501 (56%); Single male = 3,895 (5%); Unable to determine = 7,257 (10%); Not Reported = 3,470 (5%) The number of records reported as "unable to determine" seems high for the number of infants who enter under Safe Haven. As noted in the first AAR, the State needs to have an option for workers to select when a child is abandoned and the parents are unknown. This option would be the only appropriate use of "unable to determine." <i>Case File Review Findings (n=76) 23</i> (30%) of the records analyzed did not match what was reported in AFCARS. Four were Probation cases.</p>	<p><u>Program Code</u> 1) Modify the program code to check the gender of the caretaker and map widowed to single female or single male as applicable.</p>		
45. Year of Birth (1 <sup>st</sup> Principal Caretaker)	3	<p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> Not Reported = 10,892 In FC44 there are 10,727 records reported as "unable to determine" and blank. There are 2 records with the year 1901 and 97 records with years between 2003 and 2014 (age 10 to a few months). <i>Case File Review Findings (n=77):</i> 11</p>	Address tasks in GR21 that outline the agency's overall data quality plan.		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		(14%) of the records analyzed did not match what was reported in AFCARS. Eight of the error cases were child welfare. There were dates found for the caretakers but the AFCARS field was blank.			
46. Year of Birth (2 <sup>nd</sup> Principal Caretaker - if applicable)	3	<p><u>Data Quality</u>            2014B Frequency Report (n=72,514):            Reported = 17,101; Not Reported = 55,413            Number of records reported in FC44 as married and unmarried couple = 17,391.            There are 51 records with a year of birth between 2003 and 2014.            Case File Review Findings (n=75): 18 (24%) of the records analyzed did not match what was reported in AFCARS. 16 of the error cases were child welfare. There were dates found for the caretakers but the AFCARS field was blank.</p>	Address tasks in GR21 that outline the agency's overall data quality plan.		
47. Date of Mother's Parental Rights Termination (if applicable)  48. Date of Legal or Putative Father's Parental Rights Termination (if applicable)	2	<p><u>Program Code</u>            The program code uses the parental rights termination table where the relationship code indicates an adoptive, birth or alleged mother or the relationship code is adoptive, birth, alleged or presumed mother. The father's parental rights termination date is selected as the termination date from the parental rights termination table where the relationship code indicates an adoptive, birth or alleged mother or the relationship code is adoptive, birth, alleged or presumed father (the complete description of parental relationship codes and values can be found in the notes for adoption elements #16 and 17).</p> <p><u>Data Quality</u>            Screen: Client Services/Family Information Notebook/Parental Rights tab            The caseworker enters the information on</p>	<p>1) The program code should look for a TPR date that is the last one (regardless of who) that is prior to the end of the report period being extracted.</p> <p>2) Consider simplifying the logic for determining TPR dates.</p> <p><u>Data Quality</u>            The agency needs to ensure that the same date is being used by all workers across the state; the</p>		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		<p>this screen after the TPR hearing. The date is also entered on the court screen representing the hearing and the results of the hearing. There appears to be an issue with the caseworkers not documenting court actions in the legal section of the system. The agency needs to address this as training and ensure that legal actions are being documented in the court section. Also, there will need to be QA to ensure that the date entered in the court screen and the Parental Rights tab is the same. The system should not require the caseworker to do duplicative data entry. The date in the parental rights tab should be populated by the information entered on the court section.</p> <p>In the postsite analysis of the case file review finding, no records were marked in error for either the foster care or adoption file. However, as discussed onsite with the case file review team and the state AAR team, there does appear to be an issue related to consistent use of the "effective date."</p>	<p>bench hearing date, the signed date, or the filed date. If possible, the bench hearing date should be used.</p> <p>Incorporate in the agency's QA process that the date entered in the court screen and the Parental Rights tab is the same.</p>		
<p>49. Foster Family Structure</p> <p>0=Not Applicable 1 = Married Couple 2 = Unmarried Couple 3 = Single Female 4 = Single Male</p>	<p style="text-align: center;">3</p>	<p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> Not Applicable = 14,639 (20%); Married couple = 28,367 (39%); Unmarried couple = 14,342 (20%); Single female = 9,227 (13%); Single male = 2,371 (3%); Not Reported = 3,568 (5%) There are 14,639 records reported in FC41 for non-foster home settings.</p> <p><i>Case File Review Findings (n=67):</i> 10 (15%) of the records analyzed did not match what was reported in AFCARS.</p>	<p>Address tasks in GR21 that outline the agency's overall data quality plan.</p>		
<p>50. Year of Birth (1<sup>st</sup> Foster</p>	<p style="text-align: center;">3</p>	<p><u>Data Quality</u></p>	<p>Address tasks in GR21 that outline</p>		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
Caretaker)		<p><i>2014B Frequency Report (n=72,514):</i> There are four records with the year 1900. There are four records with the year 2013. There are 27,810 records reported as blank. There are 14,639 records reported in FC41 for non-foster home settings and 3,568 records reported in FC49 as blank. This equals 18,207.</p> <p><i>Case File Review Findings (n=58):</i> 7 (12%) of the records analyzed did not match what was reported in AFCARS. Six of the error cases were child welfare. There were instances in which the child was placed with a relative and the information was not entered into the system.</p>	the agency's overall data quality plan.		
51. Year of Birth (2 <sup>nd</sup> Foster Caretaker)	3	<p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> There are three records with the year 1900. There are three records with invalid information. Number of records reported with a year equals 21,588. There are 50,926 records reported as blank. There are three records with invalid years.</p> <p>There are 29,709 records reported in FC49 as married and unmarried couple. There are 14,639 records reported in FC41 for non-foster home settings and 3,568 records reported in FC49 as blank. This equals 18,207.</p> <p><i>Case File Review Findings (n=58):</i> 7 (12%) of the records analyzed did not match what was reported in AFCARS. Six of the error cases were child welfare. There were instances in which the child was placed with a relative and the information was not entered into the system.</p>	Address tasks in GR21 that outline the agency's overall data quality plan.		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
52. Race of 1 <sup>st</sup> Foster Caretaker a. American Indian or Alaska Native b. Asian c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine	3	<p>It does not appear that there are changes to address the issue of “unable to determine” plus a race being reported. This element was rated a “3” but if it is determined that the corrections made during the postsite phase doesn’t address this problem, the rating will be changed during the improvement plan phase.</p> <p><u>Data Quality</u>                      2014B Frequency Report (n=72,514):                      There are 31,530 (44%) records reported as blank. There are 953 records reported with a race plus unable to determine.</p> <p>There are 14,639 records reported in FC41 for non-foster home settings and 3,568 records reported in FC49 as blank. This equals 18,207.</p> <p><i>Case File Review Findings (n=59):</i> 7 (12%) of the records analyzed did not match what was reported in AFCARS. Six of the error cases were child welfare. In the child welfare cases the fields were blank but the reviewers found information on the foster parent. In some of these cases, the child was placed with a relative and the information was not entered into the system. There were additional errors due to the reviewer finding that there was more than one race identified and not entered into the system.</p>	Address tasks in GR21 that outline the agency’s overall data quality plan.		
53. Hispanic or Latino Ethnicity of 1 <sup>st</sup> Foster Caretaker 0 = Not Applicable 1 = Yes 2 = No 3 = Unable to Determine	3	<p><u>Data Quality</u>                      2014B Frequency Report (n=72,514): Not applicable = 14,639 (20%); Yes = 21,338 (29%); No = 25,695 (35%); Unable to determine = 8,101 (11%); Not Reported = 2,741 (4%)</p>	Address tasks in GR21 that outline the agency’s overall data quality plan.		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		<p>There are 14,639 records reported in FC41 for non-foster home settings and 3,568 records reported in FC49 as blank. This equals 18,207.</p> <p><i>Case File Review Findings (n=65):</i> 21 (32%) of the records analyzed did not match what was reported in AFCARS. 19 of the error cases were child welfare.</p>			
<p>54. Race of 2<sup>nd</sup> Foster Caretaker (if applicable)</p> <p>a. American Indian or Alaska Native b. Asian c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine</p>	3	<p>It does not appear that there are changes to address the issue of “unable to determine” plus a race being reported. This element was rated a “3” but if it is determined that the corrections made during the postsite phase doesn’t address this problem, the rating will be changed during the improvement plan phase.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> There are 51,432 (71%) records reported as blank. There are 535 records reported with a race plus unable to determine.</p> <p>There are 14,639 records reported in FC41 for non-foster home settings and 3,568 records reported in FC49 as blank. This equals 18,207. There are 11,598 records reported in FC49 as single female and male. 18,207 + 11,598 = 29,805</p> <p><i>Case File Review Findings (n=62):</i> 4 (7%) of the records analyzed did not match what was reported in AFCARS. Three of the error cases were child welfare.</p>	Address tasks in GR21 that outline the agency’s overall data quality plan.		
55. Hispanic or Latino Ethnicity of 2 <sup>nd</sup> Foster Caretaker (if applicable)	2	<p><u>Program Code</u> 1) The program code is not setting this element based on whether FC49 is either a</p>	<p><u>Program Code</u> 1) If the foster parent is single, this element is to be set to “not</p>		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
<p>0 = Not Applicable 1 = Yes 2 = No 3 = Unable to Determine</p>		<p>single male or female.</p> <p><u>Data Quality</u> 2014B Frequency Report (n=72,514): Not applicable = 14,639 (20%); Yes = 11,225 (16%); No = 12,268 (17%); Unable to determine = 2,454 (3%); Not Reported = 31,928 (44%)</p> <p>There are 14,639 records reported in FC41 for non-foster home settings. There are 11,598 records reported in FC49 as single female and male. Total: 26,237 that is to be reported as Not applicable. There are 3,568 records reported in FC49 as blank.</p> <p><u>Case File Review Findings (n=59):</u> 17 (29%) of the records analyzed did not match what was reported in AFCARS. There were 15 child welfare error cases. The majority of errors were due to this element reported as blank instead of "not applicable." In two other child welfare cases, the response should have been "yes."</p>	<p>applicable."</p>		
<p>56. Date of Discharge from Foster Care</p>	<p>2</p>	<p><u>Program Code</u> 1) There were errors in how probation cases are being reported when the child is not receiving title IV-E. Additionally, there may be issues related to incorrectly reporting child welfare cases as discharged when the child is placed in a locked facility. If child welfare still has care and placement of the child, then the case is not to be reported as discharged, same if there is dual custody. Some counties have dual custody and others do not.</p>	<p><u>Program Code</u> 1) The agency needs to recheck the test cases and the extraction logic and let the Federal team know of its findings. The rating will be re-evaluated at that time.</p>		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		<p>2) The agency submitted a proposed approach to address whether a removal episode is 24 hours or less in duration. The agency indicates: The Placement Notebook&gt;ID Page shall carry a control to indicate that a Placement Start Date and End Date is less than a 24 hour period.”</p> <p><u>Data Quality</u> 2014B Frequency Report (n=72,514): Records with the year 2014 = 15,608 There are 56,906 records reported as blank (child still in foster care). Case File Review Findings (n=76): 4 (5%) of the records analyzed did not match what was reported in AFCARS. One of the error cases was Probation. In two of the child welfare cases, a discharge date was reported but the child was still in foster care. In one child welfare error case, the date should have been the youth’s 18<sup>th</sup> birthday.</p>	<p>2) The agency indicates “placement” clarify that what is being referenced is a removal episode and not a placement. If placements are being used to determine whether the episode is 24 hours or less, then there should be only one placement location.</p> <p>3) Based on findings in GR1 there may be additional issues in how this element is set that will need to be evaluated by the state.</p>		
<p>58. Reason for Discharge 0 = Not Applicable 1 = Reunification with Parent(s) or Primary Caretaker(s) 2 = Living with Other Relative(s) 3 = Adoption 4 = Emancipation 5 = Guardianship 6 = Transfer to Another Agency 7 = Runaway 8 = Death of Child</p>	<p style="text-align: center;">2</p>	<p><u>Program Code</u> 1) It may possible that within the initial 72 hours of a removal, before the agency goes to court, the child may be placed with a relative. In this situation the case would be discharged for AFCARS purposes since the agency never obtained a court order for placement and care.</p> <p><u>Data Quality</u> 2014B Frequency Report (n=72,514): Not applicable = 0; Reunify = 8,582 (12%); Living with other relatives = 0; Adoption = 2,847 (4%); Emancipation = 2,071 (2%); Guardianship = 1,370 (2%); Transfer to another agency = 457 (1%); Runaway = 0; Death of child = 15 (.02%); Not reported = 57,172</p>	<p><u>Program Code</u> 1a) Address if this in fact would occur. 1b) If 1a is true, then an option needs to be added to the system to allow the worker to select it as a discharge reason. 1c) Add mapping to set the discharge reason to “live with other relatives.”</p>		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		<p><i>Case File Review Findings (n=76):</i> 13 (17%) of the records analyzed did not match what was reported in AFCARS. Nine of the error cases were Probation. In two of the child welfare cases, a discharge reason was reported but the child was still in foster care. In one child welfare error case, the outcome should have been "live with other relatives" instead of "reunification." In another child welfare error case, a date was reported in FC56 but this field was blank. It should have been "emancipation." In one of the probation cases, the discharge reason should have been "reunification." The other eight probation cases were reported blank instead of "not applicable."</p>			
<p>59. Title IV-E (Foster Care)</p> <p><u>Requirements</u> Title IV-E foster care maintenance payments are being paid on behalf of the child.</p> <p><u>Checklist</u></p>	<p style="text-align: center;">3</p>	<p>This element is rated as a three due to it being manually entered. This element will be continuously re-evaluated as to its accuracy.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=72,514):</i> Applies = 29,902 (41%) <i>Case File Review Findings (n=63):</i> 8 (8%) of the child welfare records analyzed did not match what was reported in AFCARS. In the error cases, the response should have been "applies" instead of "does not apply." While the nine Probation cases were correct, they were all reported as "does not apply." As noted previously, if the probation child is not receiving title IV-E they are not to be included in the AFCARS reporting population.</p>	<p>Address tasks in GR21 that outline the agency's overall data quality plan.</p>		
<p>65. None of the Above</p>	<p style="text-align: center;">2</p>	<p><u>Program Code</u> 1) This element is not including other sources of income the child might have. The program code needs to have logic added to</p>	<p><u>Program Code</u> 1) Modify the program code to include any additional sources of assets the child has and set this</p>		

AFCARS Assessment Review Improvement Plan: Foster Care Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		<p>look for additional sources of income.</p> <p><u>Data Quality</u> 2014B Frequency Report (n=72,514): Applies = 948 (1%)</p>	<p>element to “applies.”</p>		
66. Amount of Monthly Foster Care Payment	2	<p><u>Program Code</u> 1) The program determines the amount from the basic rate amount in the most recent out of home placement record and the specialized care incremental rate amount from the ongoing payment request table.</p> <p><i>Case File Review Findings (n=61): 4 (7%)</i> of the records analyzed did not match what was reported in AFCARS. In three of the child welfare cases, the reviewers noted a different amount than what was reported to AFCARS. In one Probation error case, the field was blank but the reviewer found an amount.</p>	<p><u>Program Code</u> 1) Explain what the specialized care payment represents.  2) Explain how the amount reported for this element reflects the current living arrangement.</p>		

AFCARS Assessment Review Improvement Plan: Adoption Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
<p>7. Child's Race 0=No 1=Yes</p> <p>a. American Indian or Alaska Native b. Asian c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine</p>	2	<p><u>Program Code</u> See the logic for foster care element #8.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> No records reported as blank. Eight records incorrectly reported as a race plus unable to determine.</p> <p><i>Case File Review Findings (n=24):</i> 2 (8%) of the records analyzed did not match what was reported in AFCARS. In two of the error cases, the response should have been "white" instead of "unable to determine."</p> <p><u>Post-Site Visit Program Code Modifications</u> The state modified the code and set this element to blank instead of "unable to determine" if child is only Hispanic or "client doesn't know" is selected.</p>	<p><u>Program Code</u> Modify the program code to differentiate when there is or is not a race for a Safe Haven infant. If a race was entered, report the race.</p>		
<p>8. Child's Hispanic or Latino Ethnicity 1=Yes 2=No 3=Unable to determine</p>	3	<p><u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> Yes = 1,448 (51%); No = 1,290 (45%); Unable to determine = 60 (2%); Not Reported = 52 (2%)</p> <p><i>Case File Review Findings (n=24):</i> 4 (17%) of the records analyzed did not match what was reported in AFCARS. The responses should have been "yes" instead of "no."</p> <p><u>Post-Site Visit Program Code Modifications</u> The program code was modified and no longer checks for the value "undetermined" and "K, client does not know" when setting "unable to determine." The code now checks if "z, unable to determine" or "d, decline" and the "ethnicity unable to determine reason" is "child abandoned" (a), "incapacitated" (i). Or if the response is</p>	<p>Address tasks in GR21 that outline the agency's overall data quality plan.</p>		

AFCARS Assessment Review Improvement Plan: Adoption Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		neither “yes” or “no” and the “safe haven” indicator is “yes,” then the element will be set to “unable to determine.” The value for “client doesn’t know” was also removed in the second routine that sets this element to “unable to determine.”			
10. Primary Factor or Condition for Special Needs 0=Not applicable 1=Racial/Ethnic Background 2=Age 3=Membership in a Sibling Group 4=Medical conditions or Mental, Physical or Emotional Disabilities 5=Other	3	<p><u>Data Quality</u> 2014B Frequency Report (n=2,850): Not Applicable = 6 (.21%); Racial/Origin Background = 654 (22.95%); Age = 292 (10.25%); Sibling Group = 478 (16.77%); Medical, Mental, Physical or Emotional Disabilities = 149 (5.23%); Other State Defined Special Need = 1,271 (44.6%)</p> <p>Case File Review Findings (n=24): 9 (38%) of the records analyzed did not match what was reported in AFCARS. The reviewers noted that the basis reported to AFCARS is not what appeared to be the primary factor preventing the child being placed for adoption. There appears to be a need for training.</p>	Address tasks in GR21 that outline the agency’s overall data quality plan.		
Finding applicable to all Elements #11 – 15		<p><u>Screen</u> There were findings made in the foster care file regarding changes to the screen.</p> <p><u>Program Code</u> Note that while some conditions would not be mapped for the foster care elements, if the eligibility and case workers determine the child’s basis for special needs is one of those conditions, then it would apply for the adoption file.</p> <p>Conditions are mapped as “yes, applies” if the associated begin and end dates show the condition to be active at any time within the reporting period.</p>	<p><u>Screen</u> Tasks for screen is noted in FC11-15. Since it is the same screen, no tasks are noted in the adoption elements.</p> <p><u>Program Code</u> 1) The agency may want to re-evaluate the conditions. If the program staff determine they may use a condition that is not mapped for foster care elements 11 - 15 for determining special needs, then include it in the mapping for adoption elements 11 - 15.</p>		

AFCARS Assessment Review Improvement Plan: Adoption Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		<p><u>Post-Site Visit Program Code Modifications</u> The date logic was modified by removing the check for the end date of the diagnosis.</p> <p><u>Post-Site Visit Program Code Modifications</u> Modifications have been made to set AD 11 - 15 to “does not apply” if the primary basis for special needs is anything other than medical.</p>	<p>Note that for the adoption file this logic as it is not relevant. If the child was determined eligible for special needs assistance and the primary factor that may make adoptive homes more difficult to find was medical, then the condition must be present. The post-site change does not exactly address the finding that in order for a diagnosed health condition to be applicable it has to be active in order for the eligibility worker to determine special needs based on diagnosed health conditions. Also, this section of logic looks the same as what is in foster care. It is not clear why it is being used in the adoption file.</p>		
11. Type of Disability-Mental Retardation	2		<p><u>Program Code</u> 1) Map cognitive developmental delays to this element.</p> <p>2) Map the condition “Other Developmental/Functional Limitation” that are cognitive to this element.</p> <p>3) If it is determined that microcephalus is to be added to the system, map it to this element.</p>		
12. Type of Disability-Visually or Hearing Impaired	3		ACF will continue to evaluate the data for one to two report periods.		
13. Type of Disability-Physically Disabled	2	<p><u>Program Code</u> The following should not be mapped to AFCARS: orthopedically handicapped, and physiologically disordered.</p> <p>The agency needs to add a value that will</p>	<p><u>Program Code</u> 1) Remove orthopedically handicapped from the extraction code.</p> <p>2) Remove physiologically</p>		

AFCARS Assessment Review Improvement Plan: Adoption Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		<p>distinguish a developmental delay that is motor. There also is the condition “Other Developmental/Functional Limitation” that needs to be mapped to this element if the limitation is motor.</p> <p><i>Case File Review Findings (n=24): 1 (4%) of the records analyzed did not match what was reported in AFCARS. The response should have been “applies” instead of “does not apply.”</i></p>	<p>disordered from the extraction code.</p> <p>3) Map new value for “developmental delay - motor” to this element.</p> <p>4) If “Other Developmental/Functional Limitation” includes motor limitation, map it to this element.</p>		
14. Type of Disability-Emotionally Disturbed	2	<p><u>Program Code</u> There are several conditions mapped to this element. The ones listed below are incorrectly mapped to this element and should not be included.</p> <p>359 = Suicidal (discusses plans) 360 = Suicidal (has attempted) 361 = Suicidal (Self-Destructive Behavior)</p> <p><i>Case File Review Findings (n=24): 1 (4%) of the records analyzed did not match what was reported in AFCARS. The response should have been “does not apply” instead of “applies.” The response in AD10 was not medical, etc.</i></p>	<p><u>Program Code</u> 1) Modify the program code to not include the values for “suicidal.”</p>		
15. Type of Disability-Other Medically Diagnosed Condition Requiring Special Care	2	<p><u>Program Code</u> The screen contains the option “autism” but it is not currently mapped to any category. Also, if there are children with the diagnosis of Asperger’s Syndrome, it too would be mapped to this category.</p> <p><i>Case File Review Findings (n=24): 11 (46%) of the records analyzed did not match what was reported in AFCARS. In 10 cases, the response should have been “does not apply” instead of “applies.” The</i></p>	<p>1) Map autism to this element.</p> <p>1a) If Asperger’s Syndrome is added, map to this element.</p> <p>2) How is HIV/AIDS recorded in the system?</p> <p>2a) Map HIV and/or AIDs to this element.</p>		

AFCARS Assessment Review Improvement Plan: Adoption Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
<p>16. Mother's Year of Birth</p> <p><u>Requirements</u> Enter the year of birth for mother, if known. If the child was abandoned and no information was available, leave blank.</p> <p><u>Checklist</u> If the parent was a legal or adoptive parent, is the parent's birth year reported for this element?</p> <p>If the legal parents of the child were of the same sex, then use both elements #16 and #17 to reflect the legal parent's year of birth regardless of gender.</p> <p>Does the title IV-E agency's case management or tracking system use the same screen for collecting this information that is used for all persons?</p>	2	<p>response in AD10 was not medical, etc.</p> <p><u>Program Code</u> The mother's year of birth is selected from the parental rights termination record associated with the client where the relationship code is "daughter/mother (adoptive)" (0194), "daughter/mother (birth)" (0195), "daughter/mother (alleged)" (0195), "mother/daughter (adoptive)" (0245), "mother/daughter (birth)" (0247), "mother/daughter (alleged)" (0246), "mother/son (adoptive)" (0250), "mother/son (birth)" (0252), "mother/son (alleged)" (0251), "son/mother (adoptive)" (0289), "son/mother (birth)" (0289) or "son/mother (alleged)" (0290). These are prioritized so that the selection is based on this order, the year of birth of an adoptive mother, if found, is used. The birth mother is used if no adoptive mother value was found. If no birth mother is found the alleged mother is used if present. There is additional logic to retrieve the birth parent's year of birth from the client record. If no birth date is found the field is set to blank.</p> <p>The program code should report the date of birth of the person entered as the child's mother. The current parent is the one whose parental rights were terminated so it should not matter if it was a birth or adoptive parent.</p> <p>If the parents were a same-sex couple, the logic would not necessarily identify one of the individual's date of birth.</p>	<p><u>Program Code</u> 1) Simply the logic for this element by checking for the current person who was the child's "mother." The values being checked need to be reduced.</p> <p>2) If the child's prior legal parents are a same-sex couple, map one of the individuals to this field.</p>		
<p>17. Father's Year of Birth</p> <p><u>Requirements</u></p>	2	<p><u>Program Code</u> The father's year of birth is selected from the parental rights termination record</p>	<p><u>Program Code</u> 1) Simply the logic for this element by checking for the current person</p>		

AFCARS Assessment Review Improvement Plan: Adoption Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
<p>Enter the year of birth for father, if known. If the child was abandoned and no information was available, leave blank.</p> <p><u>Checklist</u> If the parent was a legal or adoptive parent, is the parent's birth year reported for this element?</p> <p>If the legal parents of the child were of the same sex, then use both elements #16 and #17 to reflect the legal parent's year of birth regardless of gender.</p>		<p>associated with the client where the relationship code is "daughter/father (adoptive)" (188), "daughter/father (alleged)" (0189), "daughter/father (birth)" (0190), "daughter/father (presumed)" (0192), "father/daughter (adoptive)" (0203), "father/daughter (alleged)" (0204), "father/daughter (birth)" (0205), "father/daughter (presumed)" (0207), "father/son (adoptive)" (0209), "father/son (alleged)" (0210), "father/son (birth)" (0211), "father/son (presumed)" (0213), "son/father (adoptive)" (0283), "son/father (alleged)" (0284), "son/father (birth)" (0285) or "son/father (presumed)" (0287). These are prioritized so that the selection is based on this order, the year of birth of an adoptive father, if found, is used. The birth father is used if no adoptive father value was found. If no birth father is found the presumed father is used if present. If no presumed father is found the alleged father is used. There is additional logic to retrieve the birth parent's year of birth from the client record. If no birth date is found the field is set to blank.</p> <p>If the parents were a same-sex couple, the logic would not necessarily identify one of the individual's date of birth.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> There is one record with a year of 2014.</p>	<p>who was the child's "father." The values being checked need to be reduced.</p> <p>2) If the child's prior legal parents are a same-sex couple, map one of the individuals to this field.</p>		
<p>18. Was the Mother married at the time of the child's birth? 1=Yes 2=No 3=Unable to determine</p>	<p style="text-align: center;">3</p>	<p>This element is rated a "3" unless it is determined that the screen cannot be accessed at the opening of a case.</p> <p><u>Screen:</u> Client Services: Adoption</p>	<p>Address tasks in GR21 that outline the agency's overall data quality plan.</p>		

AFCARS Assessment Review Improvement Plan: Adoption Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
<p><u>Requirements</u> Indicate whether the mother was married at the time of the child's birth; include common law marriage if legal in the State or Tribe. If the child was abandoned and no information was available on the mother, enter "Unable to Determine."</p> <p><u>Checklist</u> This question always applies to the birth mother.</p>		<p><u>Information</u> There is a section "Birth Parents" that includes a dropdown field for "Mother Married at Birth." It is not clear if this screen can be accessed at any time or only if there is goal of adoption or a finalized adoption. This information is to be documented at the beginning of the case and not at the time of adoption.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> Yes = 1,241 (44%); No = 1,381 (49%); Unable to determine = 183 (6%); Not Reported = 45 <i>Case File Review Findings (n=24):</i> 9 (38%) of the records analyzed did not match what was reported in AFCARS. In eight error cases, the response should have been "no" instead of "yes." In one error case, the response should have been "no" instead of "unable to determine."</p> <p>The state needs to ensure that workers understand this should reflect the biological mother's marital status at the time of the child's birth and not the current marital status.</p>			
<p>19. Date of Mother's Termination of Parental Rights</p> <p><u>Requirements</u> Enter the month, day and year that the court terminated mother's parental rights. If the mother is known to be deceased, enter the date of death.</p> <p><u>Checklist</u></p>	2	<p><u>Program Code</u> 1) The TPR dates are selected in the same logic that selects all demographic data for the child's parents. The hierarchy of adoptive/birth/alleged values established for the year of the mother's birth is used to determine the client number of the person whose TPR date is required. It doesn't appear that the logic is selecting the most recent TPR date.</p> <p>2) There is no check for a deceased date.</p>	<p><u>Program Code</u> 1) Modify the program code to report the last TPR date.</p> <p>2) Add logic to check for a deceased date.</p>		

AFCARS Assessment Review Improvement Plan: Adoption Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
If the legal parents of the child were of the same sex, then use both elements #19 and #20 to reflect the termination of parental rights of the legal parent regardless of gender.		<u>System</u> While the system labels for these fields are not gender neutral, the discussion around entering TPR dates on a same sex couple focused on training workers to use either field. The program code needs to extract one of the TPR dates for FC47 and the other for FC48.	3) Consider simplifying the logic for determining TPR dates.		
20. Date of Father's Termination of Parental Rights Requirements Enter the month, day and year that the court terminated father's parental rights. If the father is known to be deceased, enter the date of death.  <u>Checklist</u> If the legal parents of the child were of the same sex, then use both elements #19 and #20 to reflect the termination of parental rights of the legal parent regardless of gender.	2	<u>Program Code</u> The TPR dates are selected in the same logic that selects all demographic data for the child's parents. The hierarchy of adoptive/birth/presumed/alleged values established for the year of the father's birth is used to determine the client id of the person whose TPR date is required. It doesn't appear that the logic is selecting the most recent TPR date. If no TPR date is found the value is set equal to the legally free date obtained when the adoption population was selected. If no TPR date is found the field is set to blank.  2) There is no check for a deceased date.	<u>Program Code</u> 1) Modify the program code to report the last TPR date.  2) Add logic to check for a deceased date.  3) Consider simplifying the logic for determining TPR dates.		
21. Date Adoption Legalized	4	<i>Case File Review Findings (n=20): 2 (10%) of the records analyzed did not match what was reported in AFCARS. In one error case, the reviewer noted a date that was five days later than the one reported to AFCARS. In one error case, the reviewer noted a date that was three weeks later than the one reported to AFCARS.</i>	Does the agency have any information as to the cause of the finding?		
22. Adoptive Parents' Family Structure 1=Married couple 2=Unmarried couple 3=Single female	3	<u>Program Code</u> While it possible the logic is mostly correct, there should be a field on the client screen that indicates a marital status and the code should check that field. This	The state and federal team need to discuss and the rating for this element may be changed to a "2."		

AFCARS Assessment Review Improvement Plan: Adoption Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
<p>4=Single male</p> <p><u>Requirements</u> Select the category which best describes the nature of the adoptive parent(s) family structure.</p>		<p>element is rated a 3 but the agency needs to re-evaluate and determine if the approach is correct. Note that for several report periods there has been missing data as well as a significant number of records failing the consistency check.</p> <p><u>System</u> See prior notes related to same sex couples and entry of information.</p>			
<p>23. Adoptive Mother's Year of Birth</p> <p><u>Requirements</u> Enter year of birth.</p> <p>If the response to element #22, Family Structure was 1 or 2, enter data for two parents.</p> <p>If the response to element #22 was 3 or 4, enter data only for the appropriate parent. If the exact year of birth is unknown, enter an estimated year of birth.</p> <p>If element #22 is 1, 2 or 3, adoption element #23 must be completed.</p>	3	<p><u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> Not Reported = 154 (5%) Number of records reported as Single Male (AD22) = 109; Number of records reported as blank in AD22 = 47; Total = 156</p>	Address tasks in GR21 that outline the agency's overall data quality plan.		
<p>24. Adoptive Father's Year of Birth</p> <p><u>Requirements</u> Enter year of birth. If the response to data element #22 was 1 or 2, enter data for two parents. If the response to element #22 was 3 or 4, enter data only for</p>	3	<p><u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> Not Reported = 858 (30%) Number of records reported as Single Female (AD22) = 810; Number of records reported as blank in AD22 = 47; Total = 857</p>	Address tasks in GR21 that outline the agency's overall data quality plan.		

AFCARS Assessment Review Improvement Plan: Adoption Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
the appropriate parent. If the exact year of birth is unknown, enter an estimated year of birth.  If element #22 ( is 1, 2 or 4, adoption element #24 must be completed.					
25. Adoptive Mother's Race  a. American Indian or Alaska Native b. Asian c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine	3	As noted for the foster parent's race and for the adoptive parent family structure, if it is determined there still are technical issues, this element will be rated a "2."  <u>Data Quality</u> 2014B Frequency Report (n=2,850): Not Reported = 223 (8%) Number of records reported as Single Male (AD22) = 109; Number of records reported as blank in AD22 = 47; Total = 156 Number of records incorrectly reported with a race plus unable to determine = 14.  Case File Review Findings (n=22): 3 (14%) of the records analyzed did not match what was reported in AFCARS.	Address tasks in GR21 that outline the agency's overall data quality plan.		
26. Adoptive Mother's Hispanic Origin  0=Not Applicable 1=Yes 2=No 3=Unable to determine	2	<u>Program Code</u> The program code was not corrected to set this element to "not applicable" if the adoptive parent is a single male.  <u>Data Quality</u> 2014B Frequency Report (n=2,850): Not Applicable = 0; Yes = 1,002 (35%); No = 1,623 (57%); Unable to determine = 95 (3%); Not Reported = 130 Number of records reported as Single Male (AD22) = 109; Number of records reported as blank in AD22 = 47  Case File Review Findings (n=22): 4 (18%)	<u>Program Code</u> 1) Modify the program code to set this element to "not applicable" when the adoptive parent is a single male.		

AFCARS Assessment Review Improvement Plan: Adoption Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		of the records analyzed did not match what was reported in AFCARS.			
27. Adoptive Father's Race  a. American Indian or Alaska Native b. Asian c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine	3	As noted for the foster parent's race and for the adoptive parent family structure, if it is determined there still are technical issues, this element will be rated a "2."  <u>Data Quality</u> 2014B Frequency Report (n=2,850): Not Reported = 894 (31%); Number of records incorrectly reported with a race plus unable to determine = 23  Number of records reported as Single Female (AD22) = 810; Number of records reported as blank in AD22 = 47; Total = 857  Case File Review Findings (n=23): 2 (9%) of the records analyzed did not match what was reported in AFCARS.	Address tasks in GR21 that outline the agency's overall data quality plan.		
28. Adoptive Father's Hispanic Origin  0=Not Applicable 1=Yes 2=No 3=Unable to determine	2	<u>Program Code</u> The program code was not corrected to set this element to "not applicable" if the adoptive parent is a single female.	<u>Program Code</u> 1) Modify the program code to set this element to "not applicable" when the adoptive parent is a single female.		
Elements #29 -32  0 = Does not Apply 1 = Applies <u>Requirements</u> Indicate the prior Relationship(s) the child had with the adoptive parent(s). Indicate with a "1" all that apply. <u>Checklist</u> Does the data collection methodology include each of		<u>Screen: Adoptive Placement</u> There is a section "Adoptive Parents' Previous Relationship to Child (Check all that apply to either parent).  <u>Data Quality</u> 2014B Frequency Report (n=2,850): Not reported = 2 There appears to be multiple relationships reported. However, note findings for AD31.  <u>Program Code: LNs 1173 - 1190</u>			

AFCARS Assessment Review Improvement Plan: Adoption Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
the relationship types for the caseworker to select or record more than one? Does the extraction code check for and report all applicable relationships?		Elements #29 – 32 are mapped from indicator fields retrieved at the time the adoption population is selected. There is a separate field for each value so all applicable values can be reported.			
29. Relationship to Adoptive Parent-Stepparent  <u>Requirements</u> Indicate the prior relationship(s) the child had with the adoptive parent(s): Spouse of the child's birth mother or birth father.	4	<u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> Applies = 12	Does the agency believe the 12 records reported as applies is correct? There were three records reported for this element in the 2015B file.  How are these being set since "stepparent" is not an option on the screen?		
30. Relationship to Adoptive Parent -Other Relative  0=Does not apply 1=Yes, Applies  <u>Requirements</u> Indicate the prior relationship(s) the child had with the adoptive parent(s): A relative through the birth parents by blood or marriage.	3	<u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> Applies = 1,245  <i>Case File Review Findings (n=24):</i> 4 (17%) of the records analyzed did not match what was reported in AFCARS. In the error cases, not all relationships were selected. The response to this element should have been "yes, applies" in addition to the reported relationship of "foster parent."	Address tasks in GR21 that outline the agency's overall data quality plan.		
31. Relationship to Adoptive Parent -Foster Parent  0=Does not apply 1=Yes, Applies	3	<u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> Applies = 1,504 The number of records reported for AD29, 30, and 32 equal 1,373. There appears to be records with a relationship of foster parent in which it is not identified whether they are a relative or non-relative of the child.  <i>Case File Review Findings (n=24):</i> 13 (54%) of the records analyzed did not match	Address tasks in GR21 that outline the agency's overall data quality plan.		

AFCARS Assessment Review Improvement Plan: Adoption Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		what was reported in AFCARS. In the error cases, not all relationships were selected. The response to this element should have been "yes, applies."			
32. Relationship to Adoptive Parent -Other Non-relative  0=Does not apply 1=Yes, Applies	3	<u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> Applies = 116  <i>Case File Review Findings (n=24):</i> 6 (25%) of the records analyzed did not match what was reported in AFCARS. In the error cases, not all relationships were selected. The response to this element should have been "yes, applies."	Address tasks in GR21 that outline the agency's overall data quality plan.		
33. Child was placed from  1=Within State or Tribal Service Area 2=Another State or Tribal Service Area 3=Another Country	3	<u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> Within State = 2,688 (94%); Another State = 46 (2%); Another Country = 5 (.18%); Not Reported = 111 (4%)  <i>Case File Review Findings (n=24):</i> 1 (4%) of the records analyzed did not match what was reported in AFCARS. In the error case, the field was blank. The reviewer found that the child had been adopted from the State foster care system.	Address tasks in GR21 that outline the agency's overall data quality plan.		
34. Child was placed by  1=Public agency 2=Private agency 3=Tribal Agency 4=Independent person 5=Birth parent	3	<u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> Public Agency = 2,704 (95%); Private Agency = 60 (2%); Tribal Agency = 1 (.04%); Not Reported = 85 (3%)  <i>Case File Review Findings (n=24):</i> 1 (4%) of the records analyzed did not match what was reported in AFCARS. In the error case, the field was blank. The reviewer found that the child had been adopted from the State foster care system.	Address tasks in GR21 that outline the agency's overall data quality plan.		

AFCARS Assessment Review Improvement Plan: Adoption Elements  
State: California

Data Element	Rating Factor	Findings	Tasks	Date	Notes
<p>35. Is the Child Receiving a Monthly Subsidy?</p> <p>1=Yes 2=No</p> <p><u>Requirements</u> Enter "yes" if this child was adopted with an adoption assistance agreement under which regular subsidies (Federal, State, or Tribal) are paid.</p>	2	<p><u>Program Code</u> The monthly subsidy is set to "yes" if the assistance end date is blank or after the adoption agreement date, <u>the payment basis code is "historical"</u> and the <u>basic care amount plus benefit amount</u> is greater than zero or the basis code is not "historical" and the basic care amount is greater than zero.</p> <p><u>Data Quality</u> <i>2014B Frequency Report (n=2,850):</i> Yes = 2,690 (94%); No = 160 (6%); Not Reported = 0 <i>Case File Review Findings (n=24):</i> 1 (4%) of the records analyzed did not match what was reported in AFCARS.</p>	<p><u>Program Code</u> 1) Modify the program code to not check the most recent or historical payments. 2) The State also needs to provide information on the basic care amount plus the benefit amount.</p>		