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

September 19, 2013

Joette Katz
Commissioner
Connecticut Department of Children and Families
505 Hudson Street
Hartford, CT 06106

Dear Ms. Katz:

The Children's Bureau, in collaboration with the Connecticut Department of Children and Families, completed a review of Connecticut's Adoption and Foster Care Analysis and Reporting System (AFCARS) data during the week of September 10, 2012. 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. 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. The State team should carefully review all the findings in each document as there have been some changes from the onsite findings. 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	4	7	1
3	0	0	2	1
2	3	0	0	0
1	0	0	0	0

Data Elements (103)

Rating Factor	Foster Care (66)	Adoption (37)	Total (103)
4	10 (15%)	8 (22%)	18 (18%)
3	25 (38%)	14 (38%)	39 (38%)
2	31 (46%)	14 (38%)	45 (44%)
1	0	1 (.03%)	1

The enclosed report identifies the most substantial areas the State needs to address in order to meet the AFCARS requirements. The information provided by this AAR will enable the State to bring its data collection and AFCARS reporting into conformity with the AFCARS standards. Tab A of the Report, contains detailed findings for the general requirements, data elements, and the case file review. With respect to the General Requirements findings, the State is, in general, in compliance with the AFCARS standards. There were several elements, as noted in the chart above, that require technical corrections. Many involve revisions to the program code to extract the data from the correct field. 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). However, there are some areas in which the State's information system needs to be modified in order to accurately capture information to support case practice, the programs operated by the State, and reported to AFCARS. For instance, the system contains two separate locations for the caseworker to enter diagnosed conditions. The information should be entered in one location and reflect the actual health condition of the child. There are also other system modifications that need to be made, such as streamlining data entry to avoid duplicate data entry by the caseworkers. Thus, better reflecting the agency's practices and ensuring more accurate data for the State's use as well as for federal reporting.

The agency has made several modifications to LINK over the years. As a result, the extraction code has been modified several times. We strongly encourage the agency to write a new extraction code that better reflects the system architecture and incorporate the findings of the AAR.

Due to corrections that are needed for the foster care elements, the State will have to resubmit AFCARS data for past report periods. The State and the Children's Bureau will discuss which report periods require resubmission. The agency is encouraged 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 evaluations is reliable, consistent, and accurate.

Within 30 calendar days after the receipt of this report, the State staff must submit the AIP electronically to the Children's Bureau with estimated due dates for completing the tasks in the AIP. An electronic copy of the final matrices will be e-mailed to your staff. Once the Children's

Bureau and the State agree that the quality of the data has improved, and all tasks and revisions to the extraction code have been reviewed and approved, the State will receive a letter summarizing the final results of the review. 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).

The Regional Office will work with the State to determine if technical assistance is needed, and available, to implement the AIP. The State may obtain technical assistance from the Children's Bureau's Network of Training and Technical Assistance Centers.

In closing, I would again like to thank the staff who participated in the review for their hard work and their commitment to collecting accurate and reliable AFCARS data. If you have any questions regarding the report, please contact Angelina Palmiero at (202) 205-7240.

Sincerely,

/s/

Joseph J. Bock
Acting Associate Commissioner
Children's Bureau

Enclosures

cc: Robert Cavanaugh, Child Welfare Program Manger, Children's Bureau, Region I

Connecticut
AFCARS
Assessment Review
Report

September 2013

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 4
- General Requirements 5
- Data Elements 6

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 (i.e., are lacking in substantial conformity) with the requirements of the title IV-E Plan[1]. 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.

[1] 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	All of the AFCARS requirements have been met and the agency has sustained a high level of quality data. • The agency's methodology for collecting the AFCARS information meets the technical and definitional requirements. • The agency's information system contains the necessary fields to collect the AFCARS data. • The information is being accurately collected and extracted. • 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. • The agency has a process in place to identify and resolve data quality issues and makes necessary corrections in a timely manner.

3	There are data quality issues. For example:
	• The data are underreported due to inconsistent data entry.
	• The system/form is capable of collecting data but the data are not being entered into the system or recorded on a form.
	• Data entry is unreliable due to incorrect or ambiguous instructions, definitions, and/or data entry screens or forms.
	• There are no supervisory controls for ensuring timely data entry, or accurate data entry.
	• There is incorrect data entry due to training or design issues.
	• There is missing or incomplete data due to conversion errors.
	• There are inconsistencies in the numbers between related data elements.
	• Fundamental data elements have missing data. These include, but are not limited to:
	  o Dates of removal from home, placement, and discharge (if applicable).
	  o Placement location.
	  o Removal and placement counts

2	The technical requirements for AFCARS reporting are not fully met. For example: • 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. • The title IV-E agency uses defaults for blank information. • Information is coming from the wrong module or field in the system. • Information is located in the wrong place on the system, e.g., it should be in foster care screens, not adoption screens. • The information system needs modification to encompass more information and/or conditions, e.g., disability information along with start/end dates. • The extraction code for the AFCARS report selects and reports incorrect data.
1	An AFCARS requirement(s) has not been implemented in the methodology used to collect the data and/or in the information system. For example: • 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). • There is no program logic to extract the information. • There is 100% missing data according to the frequency report or DCU/DQU reports.
0	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.

FINDINGS

During the week of September 10, 2012, the Children's Bureau conducted an AAR of the Connecticut Department of Children and Families (DCF). This section contains a summary of the significant reporting and data quality issues that were found during the AAR. As part of the post-site visit analysis, the State's documents, modified extraction code data, the case file review findings, and the onsite notes were assessed to make the final determination of findings. The State should carefully review all the findings in each document as there have been some changes from the preliminary onsite findings. For additional information on specific issues for the general requirements and the data elements, please see the attached matrices. The charts below summarize the rating factors for the General Requirements and the Data Elements. Tab A contains the detailed findings for the general requirements, the data elements, and the case file review. If as a result of the post site-visit analysis of the State's information the rating factor changed from the preliminary on-site rating, the original is marked out and the new rating is included. The AFCARS report period used for the analysis of data was October 1, 2011 through March 31, 2012 (2012A).

General Requirements (22)

Rating Factor	Foster Care (8)	Adoption (3)	Technical (9)	Data Quality (2)
4	5	4	7	1
3	0	0	2	1
2	3	0	0	0
1	0	0	0	0

Data Elements (103)

Rating Factor	Foster Care (66)	Adoption (37)	Total (103)
4	10 (15%)	8 (22%)	18 (18%)
3	25 (38%)	14 (38%)	39 (38%)
2	31 (46%)	14 (38%)	45 (44%)
1	0	1 (.03%)	1

Information System

There were issues identified during the AFCARS review that are not directly related to the AFCARS requirements but are related to accurate data. One issue is the State's information system has been modified several times since its implementation and as a result, the extraction code has incorporated an unwieldy set of routines that are either not needed or are looking for information in the wrong part of the system. We strongly encourage the State to write a new extraction code that is more streamlined, reflects the current architecture, and accurately identifies the AFCARS information.

Duplicate data entry is also an issue. The State team indicated that most of the information entered on the screens for adoption cases is not pre-populated from the existing data in the case management record. Re-entering the data is not cost effective and introduces the opportunity to have incorrect and inconsistent data in the adoption file.

Another issue identified during the review is the way placements are displayed in the system. This is an important aspect of disaster preparedness. There is not a single screen that depicts all the locations a child has been placed/is placed. There should be a single screen in order to readily and quickly identify where a child was mostly recently residing in the event of a disaster, natural or man-made.

General Requirements

The General Requirements refers 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

Title IV-E agencies are to include the records of children who are in foster care under the agency's responsibility for placement and care, and who have been in foster care for more than 24 hours. Children who have not been in foster care for at least 24 hours are included in the State's foster care reporting population and should not be. The selection logic excludes records of children whose removal episode began and ended on the same day. The State's approach incorrectly includes records that started on one day, ended the next but the length of time in foster care is less than 24 hours. This has the potential for incorrectly identifying the number of removals a child has experienced. The State has added a field to the system to identify removal episodes that are for 24 hours or less but it refers to placements instead of removals. It should be made very clear that the field is for removal episodes. Also, the extraction code needs to be updated to check this field and then exclude those records. This will prevent over-reporting removal episodes.

Another issue related to the reporting population is the inclusion of records of children for whom the agency has responsibility for placement and care but the child's only living arrangement is a hospital or a locked facility (detention, etc.). These records are to be excluded from the current reporting population and all instances of these types of removal episodes are to be excluded from the number of removals (foster care elements #18 – 20).

The last situation relates to infants/children of a teen parent and the infant/child was not removed from his/her teen parent but lives with their parent in the same foster care setting. The State's population selection logic incorrectly includes the infant in the reporting population. Since the minor's child was not removed from its parent, the infant should not be included in the AFCARS reporting population.

Adoption Reporting Population

The State is correctly including the adoption reporting population per the AFCARS requirements.

Data Quality

The agency is encouraged 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 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 as the Children's Bureau considers how to revise the Child and Family Services Review (CFSR) process, 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. After the technical corrections are made to the system and the extraction code, the data will need to be further analyzed for accuracy and to assess the need for additional monitoring and training. 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 DCF's own use for program evaluation, individual case reviews, and for assuring successful outcomes for children.

Data Elements

There were several elements, as noted in the chart above, 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).

Race and Ethnicity (Foster Care Data Elements #8, 9, 53 – 55 and Adoption Data Elements #7, 8, 25 – 28)

There is an issue with the design of these fields on the Person Management Screen. The system has an "ethnicity" field that includes nationalities that are considered race for the purpose of Federal reporting. The extraction code that constructs the AFCARS data file does not check the ethnicity field for these races, creating the potential for underreporting a particular race or individuals who are multi-racial. Also, while the system does have a field for the caseworker to identify if the individual is of Hispanic/Latino origin, there also are nationalities listed in the

ancestry field that may be Hispanic/Latino. There is not an edit that identifies if the caseworker answered the Hispanic/Latino field as "no" but selected one of the Hispanic/Latino ethnicities.

Also, there are issues related to the options for these fields. If the race is not known because an individual declines to provide their race/ethnicity or that of their child, or because the child entered under Safe Haven, there is not an option that reflects these situations. The Federal team made several suggestions for possible options as noted in the enclosed findings documents. Also, the State needs to implement options that will map to the National Youth in Transition Database race and Hispanic/Latino fields. The State submitted proposed changes during the post site phase and these are incorporated into the AIP along with additional comments.

Diagnosed Disability Information (Foster Care Data Elements #10 – 15)

Connecticut's 2012A AFCARS data indicated an underreporting of disability information, and was evident in the case file review. The frequency distribution for the data reported in the 2012A report period indicates that there were 1,477 (26%) children with a health/mental health condition that is reportable to AFCARS. The case file review revealed that 45% (28 out of 64) of the records analyzed indicated the child did have a diagnosed condition, but the response in AFCARS indicated a response of "not yet determined." The AFCARS definition of this value means the child has not been seen by a health care professional.

A significant cause of the underreporting of this information relates to how the system is designed and where the extraction code checks for the information. There are two sections of the system that caseworkers are to complete related to the health of a child. There is a Behavioral Health Information module that documents Axis I and II Diagnoses and other medical information. This section contains comprehensive information related to the child's exams, medications, and health conditions. The other section is the Medical/General Medical/medical profile. Here the system contains the AFCARS question with the categories. The program code checks this field. While it is possible caseworkers are not updating the information system when medical reports are received, it is more likely they are entering the detailed information in the more comprehensive Behavioral Health and Child Health screens. Also, while there are fields to record the date of an exam, the exam date and the beginning and ending of a diagnosis is not linked. The diagnosed conditions need to include a start and end date. This will ensure that data reported to AFCARS reflects the child's actual characteristics in the current, as well as a resubmitted, AFCARS file.

Removal Episode Information (Foster Care Data Elements #18 – 21)

As noted above in the section on foster care reporting population, there are issues with who is reported to AFCARS. Related corrections must be made to the noted foster care data elements in order to ensure the correct start date for a child's removal episode if the first episode (element #18 and #20) was less than 24 hours. The program code must differentiate between when an infant is placed with his/her teen parent or is in a different foster care setting. Also, if the child enters the agency's responsibility for placement and care but the initial setting is a hospital or a locked facility, then the date reported to AFCARS as the child's removal date (element #21) is the start date of the foster care setting (i.e., a group home or a foster home).

Information related to the circumstances associated with a child's removal from home and placement into foster care (foster care elements 26 – 40)

The circumstances associated with removal are underreported. The case file review findings indicate there were generally more conditions present that contributed to the child's removal than what is being recorded in the system. Additional training and oversight is needed to ensure all conditions, alleged or substantiated, are entered into the case management record.

Information related to determination of special needs (adoption elements 9 and 10)

There are significant issues with how this information is identified and reported in the AFCARS adoption file. Based on the frequency report, there were only 43 records of 293 (15%) that the agency had identified as being a child with special needs. Yet, there were 207 records (71&) reported as the child receiving a monthly adoption subsidy (element #35). One of the issues is that the program code has several routines to identify this information from various locations in the system. It also determines what the child's primary basis for special needs is instead of this being determined by the caseworker. The State team indicated that one screen used to identify a child's special needs is not in alignment with the eligibility criteria in the Certification of Special Needs Screen. Also, neither screen contains a field to identify the greatest barrier to the child's adoption (criteria for adoption element #10). This is an area the State needs to resolve as soon as possible.

Adoptive Child was Placed from: Within State/Tribal Service area; Another State or Tribal Service Area; or Another Country

The system does not contain a field to collect this information and it also cannot be derived from other pieces of information in the system. This information needs to be added because the agency enters into adoption agreements for subsidies with families adopting a child with special needs through a private agency, even those in other States. Also, it is possible that the private agency is located in another State and the family adopting a child with special needs resides in Connecticut. These cases would need to be captured as these adoptions are required to be reported if the agency entered into an adoption agreement with the family.

Adoptive Child Was Placed by: Public Agency, Private Agency, Tribal Agency, Independent Person, or Birth Parent (Adoption Data Element #34)

While there is not a specific field in the system to collect this information (which would be optimal) the State's current approach generally gets to the information needed for this element. However, we encourage the State to re-evaluate its collection and reporting methodology to determine if there are needed modifications regarding the provider types being identified.

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 of its data, as well as, the accuracy of the 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 not to be in substantial compliance (i.e., are lacking in substantial conformity) with the requirements of the title IV-E Plan[2].

This report identifies the most significant areas the State needs to address in order to meet the AFCARS requirements. In addition to the ones noted in the previous section, several other areas need improvement. Please refer to Tab A, Detailed Findings, for information related to the General Requirements, the Data Elements, and the Case File Review for additional findings. The information provided by this AAR will enable the State to bring its data collection and AFCARS reporting into conformity with the AFCARS standards.

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 four 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.

The Children's Bureau is committed to assisting title IV-E agencies to develop child welfare information systems and to collect quality data. The Regional Office will work with the State to determine if technical assistance is needed and available, to implement the AFCARS Improvement Plan (AIP). The State may obtain technical assistance from the Children's Bureau's Network of Training and Technical Assistance Centers.

[2] 45 CFR 1355.40(e)

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

No.	Requirement	Findings	Rating Factor
		Foster Care Population	
1	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)). 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). Include 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) Include children in foster care who are under the joint placement and care responsibility of the juvenile justice and child welfare systems. (CWPM 1.3 #13) Include children in foster care who are under the joint placement and care responsibility of the mental health and child welfare systems. (CWPM 1.3 #13) Include children whose only placement during the report period is "runaway" in the reporting population. (CWPM, 1.2B.7 #24) Exclude children who are under the agency's responsibility for care, placement, or supervision and whose <u>only</u> placement is a locked facility or a hospital excluded. (CWPM 1.3 #12)	The Department of Children and Families (DCF) is the agency designated as the title IV-B/E agency. The Department has four Mandated Areas: • Child welfare • Children's behavioral health • Education • Juvenile Services • Prevention The State's case management information system is called LINK (not an acronym). The agency does include children in the AFCARS foster care population who are under the responsibility for placement, care, or supervision of the agency even if there are no foster care payments. Since the Department is the umbrella agency, children/youth who are in the Department's responsibility for placement and care, including youth in out-of-home placements under the Adolescent and Juvenile Services Unit, are included in the AFCARS population. *NRC-CWDT, TA Finding 8/2011* AFCARS also requires that children who have been placed in the custody of DCF but run away prior to being placed in the initial placement setting be included in the AFCARS population. When this situation occurs in Connecticut, the child may or may not have a placement "reserved" in LINK. This is because in LINK, a setting of runaway is considered a temporary absence from an established placement. If the placement has been reserved, the child would be included in the foster care population, and the number of previous placement settings reported for FC element #24 would be one. If the placement had not yet been reserved, the child would not be included in the foster care population. AFCARS requires that in these instances, the child be included in the Foster Care population, and FC element #24 be reported as zero. In order to address this, Connecticut will need to determine a way for an initial "placement" of runaway to be reported and ensure that caseworkers are entering this information in LINK.	2

No.	Requirement	Findings	Rating Factor
	Exclude children of minor parents if the infant/child lives with the teen parent in the same foster care setting.	Program Code LNs 38580 – 41650 and 64330 - 66380 The AFCARS foster care program code selects all children who have an out-of-home placement record (episode table) with a service type code of foster care that is active at any point during the current reporting period. The State did not provide a description of the service codes. These need to be submitted for evaluation against the extraction code. The program code does not have specific logic addressing the inclusion of records of children on runaway as of the beginning of a removal episode. Based on the State's approach to identifying records, and changes made to the system, children whose only placement as of the end of the report period is "runaway" should be getting identified and correctly included in the reporting population. Records of children who are under the agency's responsibility for care, placement, or supervision whose only placement as of the end of the report period is a locked facility or a hospital are not excluded from the reporting population. These must be excluded from the reporting population. There was one facility, the sub-acute treatment center associated with Riverview Hospital, where it was not clear if the placement should be classified as a hospital setting. The State will need to follow-up with the Federal team regarding this facility. As changes are made to account for initial placements in a hospital or locked facility (see foster care elements #18 – 21), the State will need to ensure that the changes don't affect the inclusion of the records with only a placement of "runaway." The State is incorrectly including infants/children of minor parents who are in foster care if the infant/child is living with the foster care teen mom/dad. If the child/youth is removed from the teen parent and placed in a separate foster home, then the infant/child is to be included in the reporting population. As noted in foster care elements #23, 24, 42, and 41 there are records reported as blank. Based on discussions with the State team it seems that the cause is related to subsidized guardianships and adoptions. These cases are being reported after	

No.	Requirement	Findings	Rating Factor
		they are closed and are reported as having this data missing. Since these cases have been discharged from foster care, and only have a payment open and not a foster care or placement episode open, then the program code should be able to identify these cases and exclude them from the reporting population. Based on discussions with the State regarding missing placement information, the State indicated there is an issue related to subsidized guardianships and adoptions. These cases are being reported after they are closed, or are closed during the report period. Cases that closed during the report period (i.e., were discharged from foster care) should have the date of the child's last placement. Since these cases have been discharged from foster care, and only have a payment open and not a foster care placement episode open, the program code should be able to identify these cases and exclude them initially from the reporting population. See elements #56 and 58 for additional information. The program code is using an intensive and complex set of service codes to determine if the child is in foster care. The system is designed with fields for entering a child who is in the custody of the agency and has been removed from his/her home. It is not clear why the program code is checking for the service codes when it does check for an "out-of-home" record. It seems that this along with checking if there is no end date/reason for an episode, and that the date of removal is prior to the report period end date and the episode end date (if present) is within the report period would identify the reporting population. The transaction dates would still be part of the selection logic and then the program code would use exclude statements to complete the identification of the AFCARS reporting population. AFCARS Technical Bulletin #6, Data Extraction (http://www.acf.hhs.gov/programs/cb/resource/afcars-tb6) provides details on how to extract the AFCARS reporting population for both a regular submission and a subsequent transmission.	
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)).		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		4

No.	Requirement	Findings	Rating Factor
	payment submits and continually updates the data (45 CFR 1355.40(a)(2)).		
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).	The Department includes both behavioral health and juvenile justice so there is no need for a title IV-E agreement. These children are part of the title IV-B/E agency already.	4
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 Elements, Section II--Definitions	The out-of-home placement screen has been modified by adding the field "Same Day Placement." This is a checkbox that caseworkers select if the child's removal is for 24 hours or less than. This same field appears on the discharge pop-up window. The State team indicated the field is to be used if the child enters foster care on one day and returns home the next day. The language on the screen gives the impression that it is only for same day placements and not a removal for less than 24 hours. Also, the language used is "placement" and not "removal." The check box needs to clearly indicate if the **removal** episode is for 24 hours or less. <u>Program Code LNs 40030 - 40210</u> The program code has not been updated to check the field that was added to the screen. Modify the program code to check this field.	2
6	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) 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	<u>Program Code LNs 38580 - 41650</u> The program code specifically selects children whose service codes match one of those identified as foster care services. This element is rated a four but could change depending on final analysis of the service codes. The State is correctly excluding children who are in the title IV-E agency's responsibility for placement and care who were removed from a custodial parent and placed with a non-custodial parent.	4

No.	Requirement	Findings	Rating Factor
	placement agreement which permits the child to remain in a substitute care setting (CWPM, 1.2B.3 Question #4).		
7	Includes youth over the age of 18 if a payment is being made on behalf of the child (Child Welfare Policy Manual, Section 1.3). 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)	The title IV-E agency's legal age of majority is 18. The definition of a child under the agency's title IV-E plan is a child who is 18 and is expected to graduate high school prior to the age of 19. The agency also provides education and support services up to age 23 through State funds. <u>Program Code</u> The program code needs to be modified to not include youth over the age of 18 who are not eligible for title IV-E foster care payments. If a young person turns 18 in the report period and is not receiving title IV-E, then the record would be reported as a discharge on the 18th birthday and the next report period this record would not be included in the selection logic. (See foster care elements #56 and 58.) For youth who are 18 and eligible for title IV-E foster care maintenance payments, the same logic applies but at the time they are no longer eligible.	2
8	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" (Child Welfare Policy Manual, Section 1.3).	The case file review showed that children on trial home visits were included in the AFCARS reporting population. The State needs to verify and monitor that caseworkers enter these cases correctly, including if the child were to re-enter foster care while still under the agency's responsibility for placement and care. There is a State policy that when the child returns home, there should be a termination of care and placement within 90 days. At that point, the agency will generally ask for protective supervision.	~~3~~ 4
		Adoption Population	
9	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) The title IV-E agency must report on all children who are adopted in the State or Tribal service area during the reporting	The State has private adoption agencies under contract with the Department. The State is correctly identifying records of children who were adopted from the State's foster care system.	4

No.	Requirement	Findings	Rating Factor
	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 in foster care 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)		
10	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).	The State only reports adoptions for which it has an adoption decree.	4
11	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) 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.	Program Code LNs 166960 – 168230 The program code does report private agency adoptions. The State is also including the records of children who were adopted and the State only paid the non-recurring fees. The State also includes adoptions by step-parents. The State team indicated the Department is required to validate the adoption of foreign adoptions and those decrees are also entered into the system. The program code is including some of these adoptions. It appears that the program code is correctly setting the adoption element "state agency involvement" to "no" for both of these situations. The State is not required to report these and may want to consider excluding them from the adoption selection logic. See adoption element #4 for additional information. Note that if the agency enters into an adoption agreement with family who resides in Connecticut and who adopted a child from a private adoption agency located in another State, this adoption is to be included in the State's report.	~~3~~ 4
	Technical Requirements		
12	The data must be extracted from the data system as of the	Program Code LNs 40830 - 41060	3

No.	Requirement	Findings	Rating Factor
	last day of the reporting period (45 CFR 1355.40(b)(1)): For foster care information, 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)). Report the status of all children in foster care as of the last day of the reporting period. 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 For Regular Files: The file should not include information or dates that occur after the end of a regular report period. The data must be reflective of the child's circumstances for the report period being submitted.	For many of the data elements, the information is extracted based on its occurrence prior or equal to the end of report period. See the foster care element findings for those that need to have the end of the report period date added to the logic. Post-Site Visit Corrections Corrections were made to some of the elements to ensure the information reported is prior or equal to the end of the report period.	
13	The data must be extracted from the data system as of the last day of the reporting period (45 CFR 1355.40(b)(1)): For foster care information, 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)). Report the status of all children in foster care as of the last day of the reporting period. AFCARS Technical Bulletin #6, Data Extraction For Subsequent Files: How does the title IV-E agency extract subsequent files?	Program Code There is some information recorded in the system without dates, for instance the agency's current method of collecting AFCARS elements #11 – 15, diagnosed disabilities. See the notes and findings for these elements for additional information. There are some elements as noted in GR 12 that are not compared against the end of the report period. The program code needs to be modified to ensure that a file that is a subsequent file has the correct report period parameter and is used for selection of the population as well as the elements. See the NRC-CWDT web site for technical assistance regarding historical information for subsequent files: http://www.nrccwdt.org/2011/12/afcars-data-element-history-for-subsequent-submissions.	3

No.	Requirement	Findings	Rating Factor
	The data must be reflective of the child's circumstances for the report period being submitted. Example: 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.		
14	The data must be extracted from the data system as of the last day of the reporting period. 45 CFR 1355.40(b)(1): Adoption data 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)	Program Code LNs 59980 – 60940 The program code selects the most recent adoption decree record found for the child within the specified reporting period. If one isn't found, it will check if there is a creation date within the specified reporting period for an adoption decree that occurred within the *prior* reporting period. The creation date is the date the decree was entered. In order to ensure that all adoptions are reported the use of the creation date prevents adoptions from not being reported.	4
15	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	Program Code LNs 40830 – 41060 The program code extracts all records using the removal transaction date and discharge transaction date (if present).	4
16	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) 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	Program Code The summary record is correctly produced and submitted along with the accompanying detail record.	4

No.	Requirement	Findings	Rating Factor
	the reporting period is to be used. Appendix D, 45 CFR 1355 Foster Care and Adoption Record Layouts Sections A.2 and B.2		
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	Program Code The State's AFCARS submissions are in the required format for processing by the Children's Bureau.	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	Program Code The coding of elements in the AFCARS file conforms to required numeric values.	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	Program Code The State submits fixed length records in the specified format.	4
20	The title IV-E agency must use correct file name for transmission. Technical Bulletin #2, File Format	The file names are formatted correctly at submission.	4
		Data Quality	
21	**General Data Quality** 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 data is assessed by the agency on a regular	There are many issues with the overall accuracy of the AFCARS data. These errors range from missing data, defaulted values, and inaccurate data based on mapping or system design. Also, see the document "Case File Summary Report." Some reports are generated to assess the completeness of the data but it does	3

No.	Requirement	Findings	Rating Factor
	and continuous basis. The agency identifies, describes, and implements how it will incorporate AFCARS data into its quality assurance plan/continuous quality improvement plan. The agency involves all staff from every level of the organization, and other stakeholders from outside of the agency.	not appear they are being used consistently statewide. The State needs to make better use of the frequency utility as well as the data quality utility and reports that it can create to determine how accurate the data are by local office as well as statewide. The State needs to incorporate the review of the data as part of its quality assurance and quality improvement processes and assess what the data are indicating in the way of services, etc. <u>Adoption Data</u> Much of the adoption data reported to AFCARS is re-entered into LINK on the Adoption Decree screen instead of being pre-populated from existing information in other source screens of LINK. This is contributing to missing data in the State's adoption file as well as possible incorrect data that may not match what is in the foster care case.	
22	**Conversion** The information system has the capability of recording historical information. This should apply to both open cases in which historical information must be entered, and for closed cases that re-open after conversion and must be entered into the system. The title IV-E agency transferred historical information on open cases. Specifically, it included 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 the number of placement settings was included.	While conversion of data to LINK occurred in the early 1990s, there were a few residual issues related to data conversion in the case file review. At this point, any child who was an infant or very young between 1993 and 1996 (the year the State converted to LINK) will have aged out of the system or are approximately 17 if they were an infant in 1996. As noted in the findings from the AFCARS Review in 2001 there were several issues related to conversion. Based on the case file review during the 2012 AAR, there were far fewer issues. The State has addressed the issue of being able to enter data on closed cases that re-open. While this item is rated a "4," the State is encouraged as part of the work noted for item #21, to ensure that the date of first removal from home, the removal count, and the discharge date of the prior removal episode are accurately entered into the system. That the history of the actual physical removal date of the child is entered as well as the dates of the appropriate court orders. Also, placement histories are also correctly entered for all removal episodes for children who entered foster care after October 1, 1995 (the date that AFCARS data collection began). Also, see the document "Case File Summary Report."	4

No.	Requirement	Findings	Rating Factor
		2001 AAR: The State converted open and closed cases from the legacy system (CMS) as far back as 1993. The State converted to LINK in 1996. Data on removal episodes are not in LINK if the dates preceded 1993. If a case re-opens, and for those cases open at the time of conversion, "historical" data cannot be entered into the system by the worker.	

Section 2

Foster Care and Adoption Elements

Data Element	Findings	Rating Factor
1. Title IV-E Agency	Program Code LNs 47480 The State code for CT (09) is hard coded in the program's initialization routine.	4
2. Report Period Ending Date	Program Code LNs 47510 – 47570 The report period end date is passed to the program as a parameter in an input file.	4
3. Local Agency (FIPS Code)	Program Code LNs 85230 – 85780 The program code uses the region location table for the county office of the worker assigned to the child's foster care case.	4
4. Record Number	There were issues with consistency of the record numbers. The Federal team will monitor the State's files.	4
5. Date of Most Recent Periodic Review (if applicable)	Screens: Create Case Work/Case Planning; and Meeting The caseworker selects from the options listed in the "Item" list the type of meeting. This information then populates the Meeting screen. The options available are: Child in Placement Case Planning Conference; Child in Placement Administrative Review; Family Case Planning Conference; and Family Administrative Review. The State conducts periodic reviews every six months; an administrative review and then the permanency hearing. Data Quality *Frequency Report*[1] *(n=5,555):* There are old periodic review dates going back to 2002. A total of 102 had a review date between 2002 and 2010 (1.8%). 2011 = 2,870 (51.7%); 2012 = 2,088 (37.6%). The State needs to identify the records with the old periodic review dates and determine why they are still being reported. Check if these are the cases of the youth over the age of 18. *Case File Review Findings*: 11 (22%) of the records analyzed did not match what was reported in AFCARS. There were several errors where the information reported to AFCARS was not supported by what the reviewers found in the case file. There were several incorrect dates. Additionally, there were dates reported to AFCARS that is not a periodic review as defined in section 422(b)(8)(ii) and 475(5)(B) of the Social Security Act (SSA). In one case, the date reported for this element was after the child's 18th birthday and the child was not eligible for title IV-E funds. Program Code LNs 86360 – 87230 The program code selects the date of the most recent meeting session record with the cancelled indicator as null, the meeting closed date is equal to or before the report period end date, and the code type is either"1" (CIP Administrative Case Review) or "2" (CIP treatment planning conference).	~~2~~ 3

[1] The 2012A Regular file was used for the frequency report

Data Element	Findings	Rating Factor
	The program code only reports administrative reviews and not the permanency court review. The program code must be modified to check the legal screen for the permanency hearing and then report the later of either the permanency hearing or the ACR. *NRC-CWDT, TA Finding 8/2011:* The program code is only reporting the date of the Administrative Case Review (which occurs every 6 months) and is not checking for Permanency Hearings (which take place as court hearings) or other court hearings. Post-Site Visit Program Code Modifications LNs 91260 – 94270 The program code was modified to now check for: Administrative Case Review, Treatment Planning Conference, or Court Permanency Hearing. The most recent date (within the reporting period) is selected for the latest review date.	
6. Date of Birth	Screen: Person management>Basic tab Data Quality *Frequency Report (n=5,555):* There are birth years that go back to 1975. There are 688 records (5.9%) with a year of birth of 1993 or earlier. Program Code LNs 89560 – 92090 The program code selects the child's date of birth from the person detail record. The State needs to investigate why there are birth years that go back as far as 1975 as this data is also crucial for its NYTD data reporting. The State needs to make corrections so that the only 18 year olds reported to AFCARS are those receiving title IV-E (see General Requirements (GR) #7 and foster care (FC) elements #56 and 58). The 18 year olds not receiving title IV-E funds should be discharged from the AFCARS reporting population. Once these corrections are made, this may address some of the older dates.	3
7. Sex 1 = Male 2 = Female	Screen: Person management>Basic tab Program Code LNs 89560 – 92090 The program code maps the State code for gender to the applicable AFCARS values. Male "M" is mapped to "1," Female "F" is mapped to "2," and any other value is mapped to space.	4
8. Child's Race	Screen: Person management>Basic tab There is a drop down multi-select menu for race. The screen has checkbox fields for each of the Federal identified	2

Data Element	Findings	Rating Factor
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	races in addition to an option of Unknown. The options list does not include the NYTD value "declined" or a value to represent a person who is multi-racial but one race in not known. The option "unknown" is used mainly at intake because this field is mandatory when this information is often not known. The State should not make this information required at such an early stage. As a result, either "unable to determine" or "unknown" is often selected in the intake stage and it is never changed to an actual race, indicating that the caseworker may have never asked the case participant to self-identify their race(s). This is also an area identified by the State team as needing changing. *NRCCWDT, TA Findings 08/2011*: Entry of race information is mandatory at the time of intake, which may lead to an overuse in the value of unable to determine. The State was encouraged to remove the value of unknown and consider alternative terminology ('incapacitated" "multi-racial, other race unknown"), and to map missing data as blank. In addition, the State was encouraged to change the screen option from unable to determine to "abandoned." The State's planned approach moving forward is to: • Enable the selection of "UTD" for Careline staff ONLY ○ CB: Unable to determine should only be used if the child has been abandoned, the parent is incapacitated, or there is no one available to provide the information. If during intake the worker is not able to gather this information, then this field should be left blank. The State should determine a reasonable point in time of the case, for instance, if the child enters foster care or prior to the investigation case being closed to check this information and update as appropriate. Additionally, the State should use plain language to describe the situation instead of using one phrase to capture many reasons. Since "declined" must be added for purposes of NYTD, removing "unable to determine" and replacing it with "incapacitated," "Safe Haven," and "abandoned," for instance, may be better choices for the caseworker. • Create a pop up that will have some language such as "Active case participant does not have a race identified. Please update prior to approval." Once OK is selected redirect the worker to the case participant that has "UTD" as a selection for race. • Create logic where upon disposition of "Closed. Unable to Investigate or Complete FAR" blank out any race that has "UTD". There is a field on the Basic Tab of the Person Management Screen to indicate if the child is a Safe Haven Baby. <u>Post-Site Visit Corrections</u>: Based on the State's document "AFCARS Assessment Review - 45 day enhancements" the State will make modifications to the screen. The changes are:	

Data Element	Findings	Rating Factor

	• Replace "unable to determine" and "unknown" with Abandoned, Multi-Racial, and Declined/Not Disclosed.
	• When the options Abandoned or Declined/Not Disclosed are selected then none of the other values can be selected.
	• If Abandoned is selected the caseworker gets a message to verify the entry. It indicates that abandoned should only be used if the child is very young or disabled and there is no person available to identify the child's race; also used if *parent, relative or guardian is unwilling to identify child's race.*
	  ○ CB: There is an issue with this message. The second part of the message has to do with a person declining to provide the information which is a separate option on the screen and has nothing to do with the child being abandoned. The State needs to correct the message.
	  ○ The option Multi-racial is also incorrect. This cannot be an option as the caseworkers are to select all races and not just select multi-racial. If the State was adding this value for NYTD purposes, then the option should be clearer. For instance, change it to "Multi-racial/other race(s) not known."
	  ○ Also, there is not an option on the list for an infant entering under safe haven. Since parents are not identified for an infant entering through the safe haven program, the agency has no race information on the child. This option is different from a child being abandoned where the agency will be finding a parent. A system edit might be to connect the check box for "Safe Haven" to the race field.
	• The race field is still mandatory. The intake staff are to use Declined/Not Disclosed to accommodate when race is not provided by the reporter. An edit will require the investigation worker to confirm the race information. The message is "An active participant has a race of Abandoned or Declined/Not Disclosed. Click "Yes" to modify the race or click No to continue Approval." Yes will take the caseworker to the person screen to update the information.
	
	The State will need to implement further oversight because it would be easy for the caseworker to select no. If the child was abandoned but the family has been found, then there does not appear to be anything that would prompt the worker to update the information.
	
	<u>Data Quality</u>
	Frequency Report (n=5,555): There are 86 (2%) records reported with a response of "unable to determine." There are 15 (.27%) records reported as "unable to determine" and a race. There are 429 (8%) records reported with two or more races. There was one record reported as blank.
	
	Case File Review Findings: There were three records where the reviewers found documentation supporting the child was multi-racial but all the races were not reported to AFCARS.
	
	<u>Program Code LNs 170230 - 173410</u>
	The program code selects the child's race code from their person detail record and maps it to AFCARS values. The	

Data Element	Findings	Rating Factor
	race code is a six digit small integer field and the mapping logic assumes a one to one relationship between a number assigned in the code and the position of the AFCARS race that relates to it. For example, if a "3" occurs anywhere in the race code the AFCARS field for "black or African American" is set to "yes," thus the code can accommodate multiple race values. The value for "unknown" is mapped to the AFCARS value "unable to determine." See notes above regarding the use of "unknown." If there is no information, the output field is set to spaces. It is not clear how the program code would find a blank field since race is a mandatory field in LINK. The frequency report does have one record reported as blank. The 2013A AFCARS file had two records missing information. Is this due to older cases that are in the system that has not been updated? Based on the programmer notes if a race is selected and "unable to determine is selected," then "unable to determine" has to be "does not apply." However, the logic does not appear to do this and the frequency report indicated there are 15 records with a race plus the value "unable to determine." The program code does not check the ethnicity field for those items that are also races. <u>Post-Site Visit Program Code Modifications LNs 198390 - 201240</u> The program code has been changed to include three new race code values: "0" ("abandoned" which replaces "unable to determine"), "6" ("declined/not disclosed" which replaces "unknown") and "7" ("multi-racial," a new code). The program code maps abandoned and declined correctly to "unable to determine" and the race fields to "does not apply." However, the program code is incorrectly mapping "multi-racial" to "unable to determine." Multi-racial must be mapped to blank. No changes were made to check the ethnicity values for related races that should be included in this element.	
9. Child's Hispanic or Latino Ethnicity 1 = Yes 2 = No 3 = Unable to Determine	<u>Screen:</u> Person management>Basic tab There is a check box for Ethnicity, Hispanic/Latino origin. In addition, the State collects additional information regarding ethnicity than just Hispanic/Latino. There is a second drop-down menu for additional ethnicities. If the caseworker selects "Hispanic/Latino" from the drop-down list and the check box for Hispanic/Latino had not been checked, the system does not automatically fill the Hispanic/Latino checkbox. There are values in the drop-down list that are also races. See notes in element #8.	3

Data Element	Findings	Rating Factor
	The State does not have options on the screen that would match the AFCARS administrative value "unable to determine." See suggested options listed in element #8 (declined, incapacitated, Safe Haven, abandoned). Also, there is no option for the NYTD value "unknown." If the State implemented "incapacitated" then it would meet the requirements for the NYTD definition of "unknown." Data Quality *Frequency Report (N=5,555):* Yes = 1,820 (32.8%); No = 3,526 (63.5%); Unable to Determine = 209 (3.8%). Program Code Para. 14400, 23000 LNs 059710 The child's Hispanic or Latino ethnicity is determined by checking both the Hispanic/Latino Origin check box field and the Ethnicity drop-down list. The program code first checks the Hispanic flag. If it is set (meaning "yes"), then the AFCARS value is set to "Yes." If the flag is not set, then the cmbn-ethn code is checked. If it is "0" or "99" (nothing entered) element #9 is set to "2." Otherwise, the value is checked to see if it is more than two characters. If it isn't, only the first two characters are checked. If it is more than two characters, then there is more than one ethnicity listed and both values must be checked to see if either is "Hispanic/Latino." The program code maps the following values from the ethnicity field to the AFCARS value of "yes:" "4" (Hispanic/Latino origin), "14" (Cuban), "15" (Puerto Rican), "16" (Mexican/Chicano/Mexican American), "17" (Spanish or Hispanic), or "20" (Dominican Republic). The State's value "24" (unknown/unable to determine) is mapped to AFCARS value "unable to determine." Any other value from the ethnicity table is set to the AFCARS value "no."	
#10 – 15: Has the Child Been Clinically Diagnosed with a Disability(ies)? and Diagnosed conditions General Notes	Screen: Medical>General Medical tab Under the Clinically Diagnosed Disabilities header there is a question, "Is Child Clinically Diagnosed with Disability(ies)? The options are Yes, No, and Not Yet Determined. Below this are items listed with a check box with the instruction "Select all disabilities that have been clinically diagnosed." The options are: Alcohol abuse [child], Drug abuse [child], emotionally disturbed, Mental Retardation, Learning Disability, Visually Impaired, Physically Disabled, Hearing Impaired, Other Medically Diagnosed Conditions Requiring special care, and Behavior Problem. There are no dates associated with these items. Based on State documentation there is a system edit that requires the caseworker to select a condition if the answer to the question regarding a diagnosis is yes. If the answer is no or not yet determined, the conditions on the screen cannot be selected. This screen also contains a section for "Health Screens" with a check box to indicate if this is the initial health screening for the child and the date of the exam. There also is a check box to indicate a multi-disciplinary examination with the date of the exam.	

Data Element	Findings	Rating Factor

	There is a separate screen for Behavioral Health information that is not linked to the Medical screen. This screen has two tabs – Diagnosis and Treatment History. On the Diagnosis tab there is a summary section that contains fields for the DSM Axis. There is not a date field associated with each diagnosis.
	
	The Medical and Behavioral Health screens are areas identified by the State team that need to be corrected.
	
	NRC-CWDT, TA Findings 08/2011: State staff indicated that initial physical exams are required for all children entering out-of-home care within 5 days, and multi-disciplinary exams are required within 30 days. They believe that the high number of "not yet determined" responses is due to workers entering that value during the early stages of a case and then not returning to that screen. The State could consider adding a tickler or other alert letting the worker know when a child has been in foster care for more than 30 days but has a value of "not yet determined" for this element. Also, reinforce with workers and supervisors the need to review this information in LINK at key points in the life of the case, including at the six-month periodic review. There is currently no history of diagnoses. Once the dropdown selection is changed, the previous information is overwritten. Connecticut staff requested disability screen examples from other SACWIS systems that would promote data quality for these elements. States should collect and keep a history of diagnosed conditions (dates that the diagnosis was made and, if applicable, date the condition was resolved). This allows States to look back to see the child's situation during a specified report period.
	
	Below are the issues and proposed solutions identified by the State based on the technical assistance.
	
	1. Workers are entering the value of "Not Yet Determined" very early on in the case and never go back to correct it.
	2. There is currently no history of diagnoses kept. Once the dropdown selection is changed, the previous information is lost.
	3. When workers answer "Yes" to the question "Is Child Clinically Diagnosed with Disability(ies) and then select one of the items that is not one of the AFCARS categories, the system keeps the response "Yes" without a description.
	
	The recommended approach moving forward to:
	• Tie the Behavioral Tab to the Medical Profile
	• If a worker selects "Yes" to a clinically diagnosed condition, require them to enter the diagnosis and date in the Behavioral Health Profile or do not allow them to select "Yes" unless they complete the Behavioral Health
	• The Behavioral Health Profile should be tied to the Medical Profile:
	  ○ When "Yes" is selected there needs to be a diagnosis and date of onset.
	  ○ When "No" is selected, the Behavioral Health Profile should indicate that there was no diagnosis given.
	• Remove the three non-AFCARS disabilities.
	• These three disabilities should be under "Other Medically diagnosed Conditions." We must train our staff to	

Data Element	Findings	Rating Factor
	understand that Alcohol Abuse (child) is really considered fetal alcohol abuse; Drug Abuse (child) is really considered fetal drug addiction and Behavioral Problem is seen as emotionally disturbed or mentally challenged. We should look at the diagnosis code under the DSM book to assist with behavior problem. Response to State's planned approach: The linking of the Behavioral screen to the Medical profile is a good idea. The question as whether or not a child has been seen by a health care professional and whether or not there is a diagnosed condition needs to be maintained. The response can be used to monitor if the medical information is being entered in a timely manner. It is also a means to prevent a false no from being reported to AFCARS. This would occur if there was no question and if information had not been entered you would not be able to determine if the lack of information meant that there were no health concerns or that the caseworker had not entered the information. Also, the linkage to the Behavioral screen for the entry of diagnosed conditions provides a more complete representation of the child's health conditions. This approach and the last one identified in the last bullet contradict one another. Instead, we suggest that the items listed on the General Medical tab be removed and only have the caseworker complete the Behavior screen. Otherwise, there is duplicate data entry as well as possible incomplete data entry of diagnosed conditions. Also, note that Alcohol Abuse (child) is not the same as fetal alcohol addiction or syndrome. A "child" could be abusing alcohol and that would be a condition that needs to be documented. The same is true for Drug Abuse (child). Behavioral Problem should not be categorized as emotionally disturbed or mentally challenged. These may be unrelated. *NRC-CWDT, TA Findings for the Extraction Code 08/2011:* • The LINK values "Alcohol Abuse (Child)," "Drug Abuse (Child)" and "Behavior Problem" should not be mapped as a disability. The program code should be modified so that only the LINK values "Other Medically Diagnosed Conditions Requiring Special Care" and "Learning Disability" are reported as "yes" for AFCARS FC element #15. • Ensure that workers have adequate guidance on what conditions should be recorded as "Other Medically Diagnosed Conditions Requiring Special Care." • AFCARS Technical Bulletin #14 includes a table of diagnosed conditions and appropriate AFCARS mapping. This table may be accessed at http://www.acf.hhs.gov/programs/cb/systems/specneeds.htm. This is not an exhaustive list of diagnoses but is intended to provide examples of diagnoses and how they are to be mapped to AFCARS values. Program Code: Paragraphs 24000, 24100, 24110 The program code initializes elements #10 – 15 to spaces. The program code should be checking the Behavioral Health screen and each of the entries for each Axis for elements 11 - 15. There also needs to be dates associated with each diagnosis and the program code would check if the diagnosis was still active as of the end of the report period. If it was not, then the element would be set to	

Data Element	Findings	Rating Factor
	"does not apply" unless there were other diagnosed conditions that map to the same element.	
10. Has the Child Been Clinically Diagnosed with a Disability(ies)? 1 = Yes 2 = No 3 = Not Yet Determined	Screen: Medical>General Medical tab See the findings above. Data Quality *Frequency Report (N=5,555):* Yes = 1,477 (26.6%); No = 2,424 (43.6%); Not yet determined = 1,444 (26.0%); Not Reported = 93 (1.7%); Invalid values (4) = 117 (2.1%) *Case File Review Findings*: There were 28 records found to have errors (45% of the cases analyzed). In 16 of the cases, the reviewers found the child had been to a health care professional and had a diagnosis that is reported to AFCARS. In eight of these cases the value reported to AFCARS was "no" and in six the value reported was "not yet determined." Two of the responses had the State's value of "4," which is not a value for this element in AFCARS. In one error case, the response should have been "no" instead of "yes." The condition identified was not one that is to be reported to AFCARS. There were 18 cases reported as "not yet determined." The majority of the children were in foster care for at least a year, two had been in care for three years and another for seven years. In 12 of these cases the reviewers noted the child had been seen by a health care professional and either had no diagnosed conditions or one that is not mapped to AFCARS. Program Code LNs 92510 – 94120, Para. 24000, 24100 The program code checks the field clinically diagnosed in the medical profile record. The values for "yes," "no," and "not yet determined" are mapped to the corresponding AFCARS values. As noted above in the frequencies and the case file review findings there is a value "4" in the program code. It is set to "4" but there is not a value of "4" in AFCARS. Any other value is set to spaces. The program code does not check for a date of an examination or when the diagnosis was made. Based on the State documentation there is a recognized dependency between this element and elements 11 – 15 that should be enforced by the LINK system as the data are entered but the AFCARS extraction code will report whatever is present, valid or not. Therefore, if the response to the question is "yes" and alcohol abuse (child) is the only option selected, element 10 will be set to "yes" and element #15 will be set to "applies." There needs to be a check in the program code for dates and to ensure that there is at least one active diagnosis as of the end of the report period.	2

Data Element	Findings	Rating Factor
	Post-Site Visit Program Code Modifications LNs 104830 (notes) 10700 (code) The program code has been changed to set this element to "no" if Alcohol abuse [child], Drug abuse [child], or Learning Disability are the only items selected. This is partially correct. Learning disability is a condition that is to be mapped to AFCARS. The program code still maps the value of "4" to 4. Note that there are no records reported as a "4" in the 2013A data file.	
11. Mental Retardation 0 = Condition Does Not Apply 1 = Condition Applies	Screen: Medical>General Medical tab See the findings above in the general notes section for elements 10 -15. Data Quality *Frequency Report (N=5,555):* Does not apply = 5,252 (94.6%); Applies = 201 (3.8%); Not Reported = 93 (1.7%). *Case File Review Findings*: In the error cases, the response should have been "applies" instead of "does not apply." Program Code LNs 94340 – 94470 The program code assesses whether the checkbox for "mental retardation" is checked (flagged as yes), if it is this element is set to "applies." See additional findings above in the program code general notes section for elements 10 -15.	2
12. Visually or Hearing Impaired 0 = Condition Does Not Apply 1 = Condition Applies	Screen: Medical>General Medical tab Data Quality *Frequency Report (N=5,555):* Does not apply = 5,357 (97.0%); Applies = 75 (1.4%); Not Reported = 93 (1.7%). *Case File Review Findings*: In the error cases, the response should have been "applies" instead of "does not apply." Program Code LNs 94500 – 94630 The program code assesses whether the checkbox for "visually or hearing impaired" is checked (flagged as yes), if it is this element is set to "applies." The use of the Axis fields in the system would provide more specific diagnoses. See previous findings.	2
13. Physically Disabled (Child) 0 = Condition Does Not Apply 1 = Condition Applies	Screen: Medical>General Medical tab Data Quality *Frequency Report (N=5,555):* Does not apply = 5,393 (97.0%); Applies = 69 (1.2%); Not Reported = 93 (1.7%).	2

Data Element	Findings	Rating Factor
	Case File Review Findings: In the error cases, the response should have been "applies" instead of "does not apply." Program Code LNs 94660 - 94800 The program code assesses whether the checkbox for "physically disabled" is checked (flagged as yes), if it is this element is set to "applies." The use of the Axis fields in the system would provide more specific diagnoses. See previous findings.	
14. Emotionally Disturbed (DSM- IV) 0 = Condition Does Not Apply 1 = Condition Applies	Screen: Medical>General Medical tab Data Quality *Frequency Report (N=5,555):* Does not apply = 4,838 (87.1%); Applies = 624 (11.2%); Not Reported = 93 (1.7%). *Case File Review Findings*: In the error cases, the response should have been "applies" instead of "does not apply." Program Code LNs 94830 - 94940 The program code assesses whether the checkbox for "emotionally disturbed" is checked (flagged as yes), if it is this element is set to "applies." The use of the Axis fields in the system would provide more specific diagnoses. See previous findings. Post-Site Visit Program Code Modifications Para.24000 The program code has been changed to map "behavior problem" from AFCARS element #15 to #14. Since this is a broad term it should not be mapped to AFCARS. The recommendation made by the NRC-CWDT during the technical assistance site visit is correct. They recommended not to map "behavioral problem" to AFCARS. If there is a specific diagnosis, such as Oppositional Defiant Disorder, then it would be mapped to this element. The use of the Axis fields in the system would provide more specific diagnoses. See previous findings.	2
15. Other Medically Diagnosed Conditions Requiring Special Care 0 = Condition Does Not Apply 1 = Condition Applies	Screen: Medical>General Medical tab Data Quality *Frequency Report (N=5,555):* Does not apply = 4,184 (75.3%); Applies = 1,278 (23.0%); Not Reported = 93 (1.7%). *Case File Review Findings*: In five error cases, the response should have been "applies" instead of "does not apply." In seven error cases, the response should have been "does not apply" instead of "applies." Program Code LNs 95000 - 95220 The program code sets the value of element #15 to "applies" if any of the following are checked: alcohol abuse, behavior problem, drug abuse, learning disability, or other medical condition. The use of the Axis fields in the	2

Data Element	Findings	Rating Factor
	system would provide more specific diagnoses. See previous findings. Post-Site Visit Program Code Modifications Para.24000 The program code has been changed to map "behavior problem" from AFCARS element #15 to #14. See notes in element #14. Additionally, the conditions alcohol abuse, drug abuse, or learning disability are no longer mapped to this element. Learning disability is to be mapped to this element.	
16. Has this Child Ever Been Adopted? 1 = Yes 2 = No 3 = Unable to Determine	Screen: Person management>More Participant Info tab There is a question "Has child ever been adopted (public or private)?" with a drop down menu. Menu options include Yes, No, and Unable to determine. *NRC-CWDT, TA Findings, 8/2011:* The State was encouraged to add options for "unable to determine," such as indicating if the child had been abandoned or the child's parents are otherwise not available to provide the information. The screen options and program code must allow for the selection of the AFCARS option "unable to determine." "Unable to Determine" should be indicated if the child has been abandoned or the child's parent(s) are otherwise not available to provide the information. Therefore the State may wish to use the screen option "child abandoned" to reflect the correct use of this value. For the AFCARS Review the State submitted issues identified with this element along with proposed solutions. The State identified: • The screen defaults to "no" if the caseworker does not answer "yes" or "no" to the question. • Also, the screen options must allow for the selection of the AFCARS option "Unable to determine." The State's recommended approach would be to: • Add to the drop-down selection "Unable to be Determine". When the option is selected a pop-up window should inform the worker what selecting that option means. • Make this a hard edit; more training around the understanding and when to complete should be given. • Consider moving the storing of this element from the Case Part table to the Person table. Response to State's planned approach: The State needs to remove the screen default. The field should not pre-fill with a response, and if the caseworker does not complete it, then it should be left blank. Also, the State should consider replacing the AFCARS administrative value "unable to determine" with more accurate language that represents why the worker does not have this information. For instance, adding the options "Safe Haven" and "incapacitated parent" as separate options. The system currently does not have the capacity to collect the information that must be reported under section 422(b)(12) of the Social Security Act (the Act). This section of the Act relates to inter-country adoptions and	2

Data Element	Findings	Rating Factor
	requires States to identify the number of children who were adopted from other countries and entered into State custody, the reasons for the disruptions or dissolutions, the permanency plan for the children, and identify the agencies that handled the placement or adoption. States 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. The State may want to consider adding fields to enable the collection of information needed for reporting this information. <u>Post-Site Visit Modifications</u> As part of the post-site visit the State included documentation regarding changes to this field. The field will be initialized to blank; requiring the caseworker to answer the question. Additionally, an edit will be added to the screen so that if the answer to the question as to whether the child was previously adopted is "yes," then the age field will be required. A popup will direct the worker with the following message - The age the child was adopted has not been entered. Do you wish to enter an age? A "yes" will allow the worker to enter the age for the adopted child. A "no" will allow the worker to leave the field blank by pressing OK. For responses "no" and "unable to determine" the age field will be disabled (grayed out). As noted above the State should reconsider using AFCARS administrative terms as its terms in the system. For additional comments regarding the age category, see element #17. <u>Data Quality</u> *Frequency Report (N=5,555):* Yes = 295 (5.3%); No = 5,260 (94.7%); Unable to determine = 0 <u>Program Code LNs 129810 – 133230 (Para. 26000, 26200, 26210)</u> The program code initially sets this field to "no." In paragraph 26210 the program code looks for the flag "Y" for previous adoption and sets this element to "yes." Otherwise, the program code sets this element to "no." After exiting this routine the logic returns to paragraph 26200 and if the age is less than +0 or the response is "no," the program code looks for a court disposition adoption record for the child that is latest one before or equal to the report period end date. If one is found, this element is set "yes." The program code never sets this element to "unable to determine." Since the field is initialized to zero, if no other information is found, this element will be set to "no." *NRC-CWDT, TA Findings for the Extraction Code 08/2011:* It appears that there is a default to "no" in the program code. Missing information must be reported as blank.	

Data Element	Findings	Rating Factor
	Post-Site Visit Program Code Modifications Para. 26000: Para. 26200, LNs 152100 – 156260; 26210 LN154130 The extraction code was modified. The logic for extracting the information for this element is still embedded in paragraph 26000-Process TPR – Prior Adoption. This element is now initialized to blank. The program logic does not specifically map the entry on the screen for the field "Has child ever been adopted (public or private)?" directly to this element. Instead, the program code checks for the child's earliest case participant record where there is an adoption code of "yes" and an age at adoption greater than or equal to +1. Also, this section of the logic checks if the creation timestamp of the participant record is prior or equal to the end of the report period. The State needs to explain why the report period is used instead of the date of the child's current removal episode. Just as in the prior code, if the response to this element is "no" the program code continues checking and will look at the court disposition findings for an adoption. If one is found, it will select the latest effective date from the court disposition table. (Note that the programmer notes state this was a check for the earliest rather than the latest effective date. The State needs to clarify what it intended as a correction.) The code also checks for the latest person number and that the date is prior or equal to the report period end date. Presumably, the date checked here identifies this as a current adoption and not a previous one as the code then sets this element to "no." There is no logic to set the value "3" (unable to determine). The program code needs to be modified to only check the field on the screen Person management/More Participant Info tab. Map the response on the screen. If no response has been entered for the field that is the question regarding a prior adoption, this element is to be set to blank.	
17. If Yes, How Old Was 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 5 = Unable to Determine	Screen: Person management>More Participant Info tab There is an age adopted field. See the notes for the screen in element #16. Post-site Visit Modifications The State indicated in its notes that when "No" is selected on the screen for the question regarding a child's previous adoption, the age field will not be required and will be disabled. Data Quality *Frequency Report (N=5,555):* Not applicable = 5,260 (94.7%); Age groups = 149 (2.7%); Unable to determine = 146 (2.6%) There are children who have a response of "yes" for element #16, but "unable to determine" for this element. *Case File Review Findings*: The response in the error case was reported as "unable to determine" but the child had	2

Data Element	Findings	Rating Factor
	been previously reported (element #16 was correctly reported as "yes"). The reviewer did figure out the child's age at the time of the adoption. *NRC-CWDT, TA Findings for the Extraction Code 08/2011:* If the age of the child is not known, this element should be left blank (not unable to determine). <u>Program Code LNs 130520 – 131430</u> If a response of "yes" is found for whether the child had been previously adopted but the field for age does not have a response, then this element is incorrectly mapped to "unable to determine." It will also set invalid ages to "unable to determine." Otherwise, the program code maps the child's age at the time of the adoption to the appropriate AFCARS age group. If a response for whether the child has been adopted is "no," then this element is set to "not applicable." If no information was found in the fields, the program code checks for a court disposition adoption record and uses the effective date of the adoption to calculate the age of the child at the time of the adoption and maps the age to AFCARS appropriate age group. The program code looks for a court disposition of adoption but not whether was prior to the current removal episode. The logic was probably meant to check for a prior adoption for those records that there is no information. <u>Post-Site Visit Program Code Modifications Para. 26000: Para. 26200, LNs 152100 – 156260; 26210 LN154130</u> This field is now initialized to blank. This field is first initialized to blank and then a +0 is moved into the age hold table. After determining that the child flag for previous adoption was "yes," the ages are calculated and mapped to the appropriate age category in AFCARS. Otherwise, if an age was not found in the prior routine, the program code uses the court disposition record to determine if the child was previously adopted. The program code looks for the child's most recent (max effective date) court disposition record for adoption where the disposition action is "19" (adoption – non-relative) or "20" (adoption relative) with related dispositions of either "3" (petition granted) or "11" (motion granted). The effective date is not null and not greater than the report period end date and the create timestamp is the most recent (max) for those court disposition records with the previously specified selection criteria. If no record is found the program code resets the value of element #16 to "no" and sets the age at adoption field to "-1" to indicate no age is available. This would then negate information entered by the caseworker.	

Data Element	Findings	Rating Factor
	If a record is found, the program code uses the effective date of the adoption and the child's date of birth to calculate the age at adoption (in utility routine 40040-compute-person-age). After this routine is executed the value returned is tested and if it is less than "+0" (a "-1" will indicate failure to calculate a positive age), the value of element #16 is set to "no" and the age is left at "-1." The program code then checks the age (whether from the case participant record or calculated from the court effective date and child DOB) and maps it to element #17 as follows: "-1" is mapped to "0," "+0" and "+1" are mapped to "1," "+1" to "+5" are mapped to "2," "+6" to "+12" are mapped to "3,"and all other values are mapped to "4." Also, when the value is "-1" element #16 is set to "no" and when "+1" element #16 is set to "yes." It is not clear why element #16 is reset only for an age value of "+1" and not for any other positive value. The program code needs to be modified to only check the field on the screen Person management/More Participant Info tab. Map the response on the screen. If no response has been entered for the question or the age, map this element to blank. If an age has been entered, then map it to the appropriate age category. If the response to the question is the equivalent language for the child being abandoned, parents are incapacitated, or for Safe Haven, then this element is to be set to the AFCARS value "unable to determine."	
Removal Episodes	<u>Screen:</u> Legal Activity and Out-of-Home Placement There is a time field on the Legal Activity screen"96 HH Begin." It is in the section for the type of motion/petition filed and is associated with a 96-hour hold. On the tab "Service" of the Out-of-Home Placement screen there is a drop down box for the question "Is this the first placement since this child has entered or re-entered DCF custody?" Also this screen has been modified by adding a checkbox field "Same Day Placement." This was implemented as part of PALS (2011). The use of the field also includes if a child enters in the evening and returns home the next day. The language on the screen gives the impression that it is only for one day placements and not removals that are for less than 24 hours. If that is the intent of this field, the language needs to clearly reflect that and perhaps be labeled "Removal episode is for 24 hours or less." There does not appear to be a single screen that displays the child's entire removal history. <u>Program Code</u> The selection of removal episodes in the CT code is controlled by a high level process that selects all children with records on the episode table where the service code matches a set of values for foster care services and the episode is open at any time during the reporting period (based on the episode begin and transaction end dates). Each episode's key information (person id, case id, episode id, service code) is written to a working storage table	

Data Element	Findings	Rating Factor
	during the program's initialization process. This table is then read sequentially child by child during the main processing to produce the child's AFCARS record.	
18. Date of First Removal From Home	Data Quality *Frequency Report (N=5,555):* There were 129 records missing a date of first removal from home. There are 3 records indicating the date of first removal from home was 19/20 years ago. *Case File Review Findings*: There were 8 records found to have errors (13% of the cases analyzed). See the case file review summary and detailed findings documents. Also, see GR22 as some errors are likely linked to conversion. Program Code LNs 100280 – 102290 The removal episodes flagged as "yes" have been sequentially numbered in the episode table. From the episode table, the program selects the earliest (minimum) date that is prior or equal to the end of the report period. Based on how the existing extraction code is written, cases that begin with a child on a runaway status will be correctly reported. As changes are made to the program code, the State needs to make sure these records continue to be reported correctly for the first date of removal, if applicable. There is no logic in the program code to account for an initial placement in a hospital or locked facility. • If in the first ever removal the child's only placement was a hospital or a locked facility, this episode date is never to be selected as the first removal date. See GR #1. • 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. If the first ever removal from home is an episode that was 24-hours or less in duration, the date of that episode should never be included as a first removal date. As noted above, the agency implemented a checkbox for the purpose of identifying same day or 24 hour or less removal episodes. However, there is no logic in the extraction code to check this field. It is not clear that if the logic to only include those removals flagged as "yes" will exclude these removal episodes. The State needs to clarify how records are identified. See General Requirements items #1 and 5 for additional information.	2
19. Total Number of Removals From Home to Date	Data Quality *Frequency Report (N=5,555):* 0 = 129 (2.3%); 1 = 4,333 (78.0%); 2 = 888 (16.0%); 3 = 181 (3.3%); 4 = 21 (.4%); 5 = 3 (.05%).	2

Data Element	Findings	Rating Factor
	Note that there cannot be records with zero removals. Also, there is a discrepancy between the data in this element and for element #20. Based on the frequency for this element there are 4,333 records reflecting a single removal episode. However, element #20 indicates there are 4,463 records reported as blank, i.e., the child has only one removal episode. The difference between the two elements is 130 records. *Case File Review Findings*: See the notes in the Summary Report as there were errors across elements 18 through 21 for certain cases. <u>Program Code Para. 25100 & 25110, LN99220 – 99630</u> The program code counts the number of episode records found for the child where the removal flag is "Y" and the removal date is prior or equal to the end of the reporting period. The program code does not appear to account for prior removals that were less than 24 hours. See the notes for element #18. The data collection system must include historical information prior to a conversion from a legacy system to a new information system. The program code is incorrectly including in the removal count instances where the child's only living arrangement is a hospital or detention (locked facility) at the time the title IV-B/IV-E agency obtains responsibility for placement and care. The program code must be modified to exclude these records from the number of removal episodes.	
20. Date Child Was Discharged from Last Foster Care Episode	<u>Data Quality</u> *Frequency Report:* See the note above for element #19. *Case File Review Findings*: There were 5 records found to have errors (8% of the cases analyzed). See the summary and detailed findings documents for the case file review. In one error case, the child only had one removal episode and not two as reported. The child was placed back home while the agency maintained responsibility for placement and care then was placed back in foster care. This was reported as a discharge and a new removal episode (affected elements 19, 20, 21, 23, 24, 56, and 58). The date reported for element #20 and 56 was the same date. This resulted also in an inconsistency between elements 56 and 21 as the date of discharge from the current removal episode was before the date reported for the current removal episode. <u>Program Code Para. 25200 LNs 110020 – 112110</u> This element is initialized to blanks. The program checks if the removal counter has less than two removal episodes. If there are two or more episodes, the program code selects the most recent court disposition record for the child that is prior or equal to the most recent removal date. If a court disposition date is not found, the program	2

Data Element	Findings	Rating Factor
	reads the child's episode table entries for the most recent placement discharge and the date is less than or equal to the most recent removal. The approach used by the State will also incorrectly report the end date of a removal episode in which the child's only placement was a hospital or a locked facility. If the episode prior to the current episode only has a placement of hospital or locked facility, then the program code must look for an earlier episode that meets the AFCARS requirements of a removal episode. See the case file findings as there are issues that should not be occurring, such as the date in this element being the same as the one in element #56 and being after the date in element #21. The date of discharge must reflect the date the agency no longer has "care, placement, or supervision" of the child. If a child returns home under the agency's responsibly for placement and care, this should be reported as a change in the placement date and location and not a discharge date. The program code does not appear to account for prior removals that were less than 24 hours. See notes regarding the program code in element #18.	
21. Date of Latest Removal from Home	<u>Data Quality</u> *Frequency Report:* There are 129 records missing a date of removal from home. There are two records that indicate the child has been in foster care for 19/20 years. *Case File Review Findings*: There were 10 records found to have errors (16% of the cases analyzed). See the summary and detailed case file review documents. <u>Program Code LNs 102320 – 104680</u> The removal episodes flagged as "yes" have been sequentially numbered in the episode table. From the episode table, the program selects the latest (maximum) date that is prior or equal to the end of the report period. This must be the date of the current removal from home (not necessarily the date of case opening). This date must be equal to or prior to foster care element #23 (Date of Placement in Current Foster Care Setting) and prior to the date reported in element #56. Based on how the existing extraction code is written, cases that begin with a child on a runaway status will be correctly reported. As changes are made to the program code, the State needs to make sure these records continue to be reported correctly for the first date of removal, if applicable.	2

Data Element	Findings	Rating Factor
	There is no logic in the program code to account for an initial placement in a hospital or locked facility. • If the child's only placement was a hospital or a locked facility, this episode date is never to be selected as the current removal date. See GR #1. • If 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 the removal from home date. If the removal episode is 24-hours or less in duration, that record is not part of the reporting population. As noted above, the agency implemented a checkbox for the purpose of identifying same day or 24 hour or less removal episodes. However, there is no logic in the extraction code to check this field. It is not clear that if the logic to only include those removals flagged as "yes" will exclude these removal episodes. The State needs to clarify how records are identified.	
22. Removal Transaction Date	Program Code LNs 99640 – 10230 The program code sets the value of element #22 by finding the child's most recent episode record where the removal flag is "Y" and the removal date is prior to or equal the report period end date. The transaction begin date is use for the removal transaction date.	4
23. Date of Placement in Current Foster Care Setting	Screen: Out of Home Placement>Service tab In the section Placement Information, there are fields for the placement begin and end dates. There also is a field for the Agreement Date. As noted for removal history, there does not appear to be a specified screen in the system that displays the placement history. Data Quality *NRC-CWDT, TA Finding 8/2011:* During the time the Resource Center conducted a visit, 25% of cases were not reported. The State indicated that the "Elegant Solution" logic was nullifying information. *Frequency Report (N=5,555):* Not Reported = 231 (4.2%); Reported = 5,324 (95.8%) As noted by the frequency report there still are records reported as blank. There was at least one of these records with a discharge date but no discharge reason. Based on discussions with the State team it seems that the cause is related to subsidized guardianships and adoptions. These cases are being reported after they are closed, or are closed during the report period, are reported as having this data missing. The State needs to correct this error. Cases that closed during the report period (i.e., were discharged from foster care) should have the date of the child's last placement. Since these cases have been discharged from foster care, and only have a payment open and not a foster care or placement episode open, then the program code should be able to identify these cases and exclude the initially from the reporting population. Also, based on the case file findings there is a possibility that	2

Data Element	Findings	Rating Factor
	relative placements are not being entered into the system. *Case File Review Findings*: There were 16 records found to have errors (25% of the cases analyzed). In one error case this element plus elements 24, 41, 42, and 43 were incorrect. Elements #23, 41, and 42 were reported as blank and element #24 as 00. The child had been in foster care since May, 2010 and was placed with a relative for the entire episode. Some of the errors were also related to errors found in element #21: date of removal and placement were the same but occurred earlier than what was reported. In one error case, the date reported for this element was the date the child went to a respite placement. There were several errors (8) that appear to be due to a status change of the foster care setting and not because the child actually was moved to another setting. Including two cases in which the date reported as a placement date was also the same date of the parents' termination of parental rights. There was no placement move. In one error case the child was placed back home while the agency maintained responsibility for placement and care and returned to the same foster home (same case noted in #19). The date of placement should have reverted back to the start date of that foster home placement. <u>Program Code Para. 25300, 25310, 25320 - LNs 112120 – 114530</u> This field is initialized to spaces. The program code checks that: • There is an episode type code "out-of home placement" (1). • The latest (maximum) placement date prior or equal to the end of the report period. • The service code is one of the specified foster care codes (between 001 and 100). . If a placement is found then it will map the date to this element. If one is not found this element is set to space. Given the State's approach, it appears there are no exclusions made to placements other than whether it has a foster care service code. It appears to also include a change in status of the placement. For example, if the foster home the child is living in becomes the child's pre-adoptive home, the date the home is categorized as a pre-adoptive home is reported to AFCARS. This is incorrect. The date of placement should only change when the child physically moves from one location to another, including runaway and "trial home visit," with the following exceptions: • Respite stays • Hospitalization for a short period of time (acute stay). • Child goes to a day or summer camp.	

Data Element	Findings	Rating Factor
	• The child has visit with a sibling, relative, or other caretaker (i.e., pre-placement visits with a subsequent foster care provider or pre-adoptive parents). • If the child moves from one cottage to another that is on the same campus. If a child returns to the same foster care setting after having run away or was home for a "trial home visit," then the date should revert back to the original date the child entered that foster care setting. The State team indicated the agency will likely define a short-term (acute care) length of stay in a hospital as 15 days. The program code must be modified to check the date the hospital stay begins and ends for this element, as well as elements #24 and 41. The State team needs to provide the Federal team with information on the sub-acute step-down residential treatment center associated with Riverview. <u>Post-Site Visit Program Code Modifications Para. 25310</u> The program code was modified by adding several service codes. There are now 130 values included. The State needs to provide the information on each of these service codes.	
24. Number of Previous Placement Settings During This Removal Episode?	<u>Data Quality</u> *Frequency Report (N=5,555):* 0 = 231 (4.2%); 1-21 = 5,324 (95.8%) See the notes in element #23 regarding the records missing information. *Case File Review Findings*: There were 18 records found to have errors (32% of the cases analyzed). In nine error cases the reviewers found fewer placement moves than what was reported to AFCARS. Most of these related to a change in status being counted as a placement move and not an actual placement move. There were also placements that were not included in the placement count (8 error cases). In one case, the child returned to the same foster home after a "trial home visit" but the record was incorrectly reported as this being a new removal. Consequently, all actual placements for the removal episode were not included. It is difficult to say whether corrections to the program code will have a net effect on the number of placements. *NRC-CWDT, TA Finding 8/2011:* In the 10B report analyzed there were 48 cases with a placement count of zero. At that time the State was using Elegant Solution code and they believed there was missing information in LINK and the code. State indicated that runaways that do not have a reserved placement and have a zero placement setting count are not included in the population (for payment to be received in runaway status, count has to be set to one). The resource center suggested the following considerations: • If a child's only "placement" setting is runaway, the child's placement count must be zero. LINK should be modified to allow workers to enter "runaway" as the initial placement setting.	2

Data Element	Findings	Rating Factor
	• Once the new code is being used, investigate any records with a placement count of zero and ensure that these are cases in which the child ran away before his or her initial placement. • The State may also wish to investigate cases that have a high number of placement settings to ensure that they are being entered and counted correctly. <u>Program Code Para. 25330 & 25300 LNs 116450 – 118370</u> This field is initialized to spaces. The number of placement settings in the current episode is calculated by counting the number of distinct providers associated with the child in the current episode. This is done by selecting and tallying all distinct business ids where the service code is one of the foster care service codes and the begin date of the placement is prior to the report period end date. Subsidized adoptions or guardianships and hospitalization - see notes in #23. The number of placement settings reported for this element are not to include: • Visitation with a sibling, relative, or other caretaker (i.e., pre-placement visits with a subsequent foster care provider or pre-adoptive parents) • Hospitalization for medical treatment, acute psychiatric episodes or diagnosis • Respite care • Day or summer camps • Trial home visits • Runaway episodes (CWPM, 1.2B.7, Question #21) • 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). • 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). • 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 if the site is at a different address. (CWPM, 1.2B.7, Question #25). Also, 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). <u>Post-Site Visit Program Code Modifications Para. 25330</u> The program code was modified by adding several service codes. There are now 130 values included. Also, the program code now counts distinct provider identification numbers rather than business identification numbers. It is not clear what impact this has on the routine, the State needs to explain what this will now do.	

Data Element	Findings	Rating Factor
25. Manner of Removal from Home for Current Removal Episode 1 = Voluntary 2 = Court Ordered 3 = Not Yet Determined	Screen: Out of Home Placement>Service tab There is a field for "Manner related to Removal from Home." Options for the field include: 90-Day Vol Plcmt Agrmnt, Administrative 96- hour Hold, Court Ordered, and Voluntary. Data Quality *Frequency Report (N=5,555):* Voluntary = 226 (4.1%); Court Ordered = 5,127 (92.3%); Not Yet Determined = 0; Not Reported = 202 (3.6%). The State team indicated that it is likely that most of the 202 missing data records are children who entered exited foster care within 96 hours and there is not a court order. These cases should be reported as "not yet determined." See program code notes for additional information. *Case File Review Findings*: There were 2 records found to have errors. In one error case the response should have been "court ordered" instead of the field being blank. In the other case, the response should have been "voluntary" instead of "court ordered." *NRC-CWDT, TA Finding 8/2011:* Connecticut uses a 96-hour administrative hold if a child is removed from home after-hours. The child may or may not have a Court Order of Temporary Custody in these instances. If the screen value "96-hour administrative hold" is selected and the child does have a temporary custody order entered in LINK, this element is reported as "court ordered." If the 96-hour hold is indicated but no court order is found, this element is reported as "not yet determined." Connecticut staff believe that once these entries have been made, the worker is not likely to change this information in LINK. Program Code Para. 25150, 25151, LNs 105900 – 106410 The program code uses the episode record/table and maps the State codes "voluntary" (1) and "court ordered (2) to the respective AFCARS value. Additional checking is done if the value selected is "96-hour hold." It is not clear if the screen value "90-Day Vol Plcmt Agrmnt" is being included in the mapping. The data dictionary indicates it is a "4" and there is no check for this value in the extraction code. The State needs to clarify. The routine (paragraph 25151) to map 96-hour hold is done by checking for the combination of legal action and the disposition found in the court disposition record. The program code selects the latest effective date for the episode, the removal flag has been set to "yes" and the episode begin date is prior to the end of the reporting period. The court effective date must also be after or equal to the episode begin date. One of the following conditions also must be in place: a) The court disposition action is "24-hour administrative hold" the court legal status is "96-hour hold" and the case disposition was granted. b) The court action is "order of temporary custody" (01), the legal status is "order of temporary custody" (09), and the	2

Data Element	Findings	Rating Factor
	case disposition is "motion granted" (11). c) The court action is "show cause order" (03), the legal status is "order of temporary custody" (09), and the case disposition is "motion granted" (11). When one of these conditions has been met, the program code sets this element to "court ordered." Otherwise, if there is a legal action and status entered but it has not been granted, then this element is set to "not yet determined." Also, the State needs to verify that if the child enters foster care and the manner of removal is a voluntary placement agreement and the agency subsequently obtains a court order, this element is to continually be reported as "voluntary." <u>Post-Site Visit Program Code Modifications Para. 25150, 25151 LN 118, 660</u> The program code was modified and the logic re-written. This element is now initialized to space. The logic regarding 96-hr holds has also been re-written. The program code looks initially for a court filing and if found, continues on to look for a disposition. If there is no filing, the manner of removal is mapped to spaces. If a disposition of "granted" is found, it sets the manner of removal to "court ordered" and if it is not found, this element is set to "not yet determined.	
Actions or Conditions Associated With Child's Removal 0-Does not Apply 1-Applies	<u>Screen:</u> Out of Home Placement>Service tab/Options>Removal from Home Reasons There are check boxes for all of the AFCARS removal reasons except "child's disability." Instead of having one list of all contributing factors, the State separated out child disability into another section of this screen – Clinically Diagnosed Disabilities Contributing to Removal (check all that apply. The options here are: mental retardation, visually impaired, hearing impaired, other medical, physically disabled, and emotionally disturbed. <u>Data Quality</u> *Frequency Report:* There were 129 records missing this information in all of the elements. *Case File Review Findings*: There were several errors across all of these elements. In eighteen cases there was only one item identified and reported to AFCARS as "applies." However, in eight of these cases the reviewers found between one and five additional reasons that applied and contributed to the reason associated with the child's removal from home. In 24 records there were two reasons reported, but the reviewers found between two and three additional reasons in nine records. See the Case File Findings document for additional details.	
26. Physical Abuse (alleged/reported)	*Case File Review Findings*: 3 (5%) of the records analyzed did not match what was reported in AFCARS. <u>Program Code LNs 106490 – 108080</u>	3

Data Element	Findings	Rating Factor
	If the child's episode record has a physical abuse flag of "Y," this element is set to "applies. Otherwise, the value is set to "0" (does not apply).	
27. Sexual Abuse (alleged/reported)	*Case File Review Findings*: 1 record analyzed did not match what was reported in AFCARS. Program Code LNs 106490 – 108080 If the child's episode record has a sexual abuse flag of "Y," this element is set to "applies. Otherwise, the value is set to "0" (does not apply).	3
28. Neglect (alleged/reported)	*Case File Review Findings*: 9 (14%) of the records analyzed did not match what was reported in AFCARS. Program Code LNs 106490 – 108080 If the child's episode record has a neglect flag of "Y," this element is set to "applies. Otherwise, the value is set to "0" (does not apply).	3
29. Alcohol Abuse (parent)	*Case File Review Findings*: 5 (8%) of the records analyzed did not match what was reported in AFCARS. Program Code LNs 106490 – 108080 If the child's episode record has a parent alcohol abuse flag of "Y," this element is set to "applies. Otherwise, the value is set to "0" (does not apply).	3
30. Drug Abuse (parent)	*Case File Review Findings*: 6 (9%) of the records analyzed did not match what was reported in AFCARS. Program Code LNs 106490 – 108080 If the child's episode record has a parent drug abuse flag of "Y," this element is set to "applies. Otherwise, the value is set to "0" (does not apply).	3
31. Alcohol Abuse (child)	*Case File Review Findings*: 2 (3%) of the records analyzed did not match what was reported in AFCARS. Program Code LNs 106490 – 108080 If the child's episode record has a child alcohol abuse flag of "Y," this element is set to "applies. Otherwise, the value is set to "0" (does not apply).	3
32. Drug Abuse (child)	*Case File Review Findings*: 1 of the records analyzed did not match what was reported in AFCARS. Program Code LNs 106490 – 108080 If the child's episode record has a child drug abuse flag of "Y," this element is set to "applies. Otherwise, the value is set to "0" (does not apply).	3
33. Child's Disability	*Case File Review Findings*: 3 (5%) of the records analyzed did not match what was reported in AFCARS.	3

Data Element	Findings	Rating Factor
	The frequency for the number of records reported as "applies" appears high for this element – 824 records (15%). Since two of the three errors found in the case file review indicated that this was not a contributing factor for the child's removal from home, the agency needs to ensure workers do not check this when a child does have one of these conditions but it is not a reason for why they removed the child from home. Program Code LNs 106490 – 108080 If the child's episode record has a mental retardation flag, physically disabled flag, visual hearing impaired flag, emotionally disturbed flag or other special care flag of "Y," this element is set to "applies. Otherwise, the value is set to "0" (does not apply).	
34. Child's Behavior Problem	*Case File Review Findings*: 3 (5%) of the records analyzed did not match what was reported in AFCARS. Program Code LNs 106490 – 108080 If the child's episode record has a child behavior problem flag of "Y," this element is set to "applies. Otherwise, the value is set to "0" (does not apply).	3
35. Death of Parent(s)	*Case File Review Findings*: 2 (3%) of the records analyzed did not match what was reported in AFCARS. Program Code LNs 106490 – 108080 If the child's episode record has a death of parent flag of "Y," this element is set to "applies. Otherwise, the value is set to "0" (does not apply).	3
36. Incarceration of Parent(s)	*Case File Review Findings*: 3 (5%) of the records analyzed did not match what was reported in AFCARS. Program Code LNs 106490 – 108080 If the child's episode record has an incarceration of parent flag of "Y," this element is set to "applies. Otherwise, the value is set to "0" (does not apply).	3
37. Caretaker's Inability to Cope Due to Illness or Other Reason	*Case File Review Findings*: 3 (5%) of the records analyzed did not match what was reported in AFCARS. Program Code LNs 106490 – 108080 If the child's episode record has an inability to cope flag of "Y," this element is set to "applies. Otherwise, the value is set to "0" (does not apply).	3
38. Abandonment	*Case File Review Findings*: 3 (5%) of the records analyzed did not match what was reported in AFCARS. Program Code LNs 106490 – 108080 If the child's episode record has an abandonment flag of "Y," this element is set to "applies. Otherwise, the value is set to "0" (does not apply).	3

Data Element	Findings	Rating Factor
39. Relinquishment	There is a field on the Basic Tab of the Person Management Screen to indicate if the child is a Safe Haven Baby. For AFCARS reporting purposes, if an infant enters foster care under the Safe Haven Program report "relinquishment" as a circumstance associated with removal. The State can include a footnote to the file that indicates how many records reported as this value applying are Safe Haven infants. <u>Program Code LNs 106490 – 108080</u> If the child's episode record has a relinquishment flag of "Y," this element is set to "applies. Otherwise, the value is set to "0" (does not apply).	3
40. Inadequate Housing	*Case File Review Findings*: 2 (3%) of the records analyzed did not match what was reported in AFCARS. <u>Program Code LNs 106490 – 108080</u> If the child's episode record has an inadequate housing flag of "Y," this element is set to "applies. Otherwise, the value is set to "0" (does not apply).	3
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	<u>Screen:</u> Out of Home Placement>Service tab This screen has three fields related to placement location and type: Service Category, Service Type, and Placement Setting. Each field is dependent on the one preceding it. The State did not provide a copy of the screens showing the drop-down list or the mapping for each field. The program code uses the placement setting field, see options below, and while this is most likely an appropriate field to use the Federal team needs to review the logic behind the fields. The options for the Placement Setting field are: Pre-Adoptive Family, Foster Family (Relative), Foster Family (Non-Relative), Group Home , Facility, Supervised Independent Living, Runaway, Trial Home Visit, Home, Jail/Detention, Hospital, Residential Treatment, Specialized Residential Facility, and Unknown. The Department operates four facilities, including the Albert J. Solnit Children's Psychiatric Center - North Campus in East Windsor and the South Campus in Middletown, the Connecticut Juvenile Training School in Middletown, and the Wilderness School in East Hartland. *NRC-CWDT, TA Finding 8/2011:* Remove the value of "unknown" as an option for this element. There should be a placement setting reported for every child in the AFCARS Foster Care population. <u>Data Quality</u> *Frequency Report (N=5,555):* Pre-Adoptive Home = 591 (10.6%); Foster Family Home (Relative) = 1,125 (20.3%); Foster Family Home (Non-Relative) = 2,144 (28.6%); Group Home = 553 (10.0%); Institution = 769 (13.8%);	2

Data Element	Findings	Rating Factor
	Supervised Independent Living = 139 (2.5%); Runaway = 0; Trial Home Visit = 1 (0.02%); Not Reported = 233 (4.2%). The State needs to investigate why there was only one record reported as a child being on "trial home visit." The State team indicated that one case was not likely accurate. *Case File Review Findings*: 4 (6%) of the records analyzed did not match what was reported in AFCARS. There were two cases of children living with a relative that this information was found in error. <u>Program Code LNs 115280 – 116220</u> The placement setting code from the child's episode record chosen as the most recent placement (logic for element #23) is used to establish the value for element #41. The State's codes are mapped to AFCARS as follows: 01 - Pre-Adoptive Family to pre-adoptive home 02 - Foster Family (Relative) to foster family home (Relative) 03 - Foster Family (Non-Relative) to foster family home (non-relative) 04 - Group Home and 12 - Residential Treatment are mapped to group home 05 – Facility, 10 - Jail/Detention, 11 – Hospital, and 13 - Specialized Residential Facility are mapped to institution 06 - Supervised Independent Living is mapped to supervised independent living 07 – Runaway is mapped to runaway 08 - Trial Home Visit and 09 – Home are mapped to trial home visit. The value unknown and any other value are mapped to spaces. In assessing placement settings the program code does not determine the length of time a child is hospitalized. Consequently, all hospital placements would be included if entered into the system as a placement. See the notes in elements 23 and 24. The State team indicated the agency will likely define a short-term (acute care) length of stay in a hospital as 15 days. The program code must be modified to check the date the hospital stay begins and ends for this element and if it is 15 days or less, ignore the placement. The State team needs to provide the Federal team with information on the sub-acute step-down residential treatment center associated with Riverview. The State is not reporting group homes or institutions based on the number of beds. But the system does have the number of beds for each facility and so this can be used to determine whether a facility should be reported as a group home or institution. See additional notes in elements 23 and 24 as to when a location should be considered a placement for this element as well.	

Data Element	Findings	Rating Factor
	Post-Site Visit Program Code Modifications Para. 25310 The program code was modified by adding several service codes. There are now 130 values included. The State needs to provide the information on each of these service codes.	
42. Is Current Placement Setting Outside of the State or Tribal Service Area 1 = yes 2 = no	Screens: Out of Home Placement>Provider tab The provider tab provides the address and phone number of the provider. Private Provider This screen has three tabs – Provider, Characteristics, and Services. Under the Provider tab, there is a field for "Is this an out of state provider?" Data Quality *Frequency Report (N=5,555):* Yes = 356 (6.4%); No = 4,968 (89.4%); Not reported = 231 (4.2%). *Case File Review Findings*: 1 of the records analyzed did not match what was reported in AFCARS. Program Code LNs 116270 – 116430 The out-of-State placement flag from the child's most recent placement is used to set this element. A value of "Y" is set to "1" and an "N" is set to "2." Any other value is set to spaces.	~~2~~ 4
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	Screen: Child in Placement Case Plan>Permanency Plan tab There is a drop-down menu for Permanency Plan Goal. Options include Adoption, Another Planned Permanent Living Arrangement, Long Term Foster Care Relative, N/A, Reunification, Transfer of Guardianship: Non-Subsidized, Transfer of Guardianship: Subsidized. Not applicable – The State team indicated it was meant for the concurrent goal field and not the primary goal. Until 10/1/2012 guardianships could only be with a relative but after October guardianships can be awarded to a non-relative. *NRC-CWDT, TA Finding 8/2011:* Remove the value of "N/A." Distribute cases with this value to the field for correction. Also, consider changing the drop-down options to distinguish between relative and non-relative for both guardianship and permanent living arrangement options. Based on the technical assistance the State proposes to make modifications to the screen. The proposed new list of goals are: • Reunification	2

Data Element	Findings	Rating Factor
	• Adoption • Transfer of Guardianship: Non-Subsidized • Transfer of Guardianship: Subsidized • Long Term Care: Relative • Another Planned Permanent Living Arrangement: Independent • Another Planned Permanent Living Arrangement: Foster Care • Another Planned Permanent Living Arrangement: Other The State also proposes that when the permanency goal is APPLA then the concurrent goal will be pre-populated with not applicable (NA). The State team indicated that the IL Transitional Plan does address whether there is a permanent connection to an adult. The State does not have a goal of "living with relatives." The State team indicated that when the child is living with a relative most of the time the home is considered a permanent foster home. Based on the discussion with the State team, the Federal team suggests making the following changes to the proposed list of options with the AFCARS value it would be mapped at the end: • Reunification (Note that this would include a plan to discharge (reunify) a child with a non-custodial parent.) --Map to Reunification • Adoption -- Map to Adoption • Relative Guardianship - Non-Subsidized -- Map to Live with Relative • Relative Guardianship - Subsidized -- Map to Live with Relative • Non-Relative Guardianship – Non-Subsidized -- Map to Guardianship • Non-Relative Guardianship – Subsidized (If this is an option for the State.) -- Map to Guardianship • Long Term Care: Relative -- Map to Live with Relative For the three options proposed by the State for "APPLA," if the agency kept these choices there needs to be a link to the transition plan and whether the child has a permanent connection to an adult. If the case worker selects one of the APPLA options, the system would verify against the IL Transitional Plan that there is a permanent connection to an adult established or not. If one is not identified, then the caseworker would have to resolve the conflict: either enter the information regarding the permanent connection if there is one, or select a more appropriate case plan goal. See the notes under program code for information related to extracting this information.	

Data Element	Findings	Rating Factor
	Data Quality *Frequency Report (N=5,555):* Reunify with Parent(s) or Principal Caretaker(s) = 1,897 (34.2%); Live With Other Relative(s) = 101 (1.8%); Adoption = 1,401 (25.2%); Long Term Foster Care = 1,471 (26.5%); Emancipation = 0; Guardianship = 383 (6.9%); Not Yet Established = 0; Not Reported = 302 (5.4%). *Case File Review Findings*: 14 (22%) of the records analyzed did not match what was reported in AFCARS. The majority of errors were due to the goal incorrectly reported as "long-term foster care" instead of "emancipation." In these cases the child had a permanent connection to an adult. *NRC-CWDT, TA Findings for the Extraction Code 08/2011:* If a child has been removed from home but within 60 days a goal has not been entered, report this element as "not yet established." Program Code LNs 87250 - 89540 The program code selects the child's most recent treatment plan record and uses the permanency goal code to map the AFCARS values: • "1" (reunification) is set to "1," • "2" (adoption) is set to "3," • "3" (transfer of guardianship: non-subsidized) and • "4" (transfer of guardianship: subsidized) are set to "6," • "5" (long term care: relative) is set to "2," • "8" (other planned permanent living arrangement) is set to "4." If there is no case plan goal, this element is set to blank. The program code must be modified to check for the length of time the child has been in foster care. If the child has been in foster care for 60 days or less, map this element to "case plan not yet established." If the child has been in foster care for 60 days or more and no goal has been entered, then this element is to be blank. The program code does not check for a case plan goal that is in effect equal to or prior to the end of the report period. Modify the code to add a check of the plan date against the report period being submitted. Post-Site Visit Program Code Modifications Para. 22300, Para. 22320 If a goal is not found, the program code was modified to determine the number of days between the end of the report period and the child's date of removal from home. If the number of days is greater than 60, this element is set to blank. This needs to be changed to "equal to or greater than 60 days." Otherwise, this element is set to "case plan goal not yet established."	

Data Element	Findings	Rating Factor
	The programmer notes indicate changes that will be made to the code to address the goal of APPLA. The plan is: if there is a goal of APPLA and a permanent connection to an adult, the goal will be set to emancipation, if not then it will be set to long-term foster care. If it finds that there is no permanent connection to an adult but the child's living arrangement is "foster home – relative," then it will map this element to "living with other relatives." This needs to be re-evaluated further. Just because the child is living with a relative does not mean that every time the goal is for that child to be discharged to the relative.	
44. Caretaker Family Structure 1 = Married Couple 2 = Unmarried Couple 3 = Single Female 4 = Single Male 5 = Unable to Determine	Screen: Out of Home Placement>Service tab Under the heading of Removal From Home Information, there is a field for Caretaker Structure. The State needs to provide a screen shot with the drop-down list. Data Quality *Frequency Report (N=5,555):* Married Couple = 1,033 (18.6%); Unmarried Couple = 1,009 (18.2%); Single Female = 2,753 (49.6%); Single Male = 301 (5.4%); Unable to Determine = 265 (4.8%); Not Reported = 194 (3.5%). *Case File Review Findings*: 17 (27%) of the records analyzed did not match what was reported in AFCARS. In four error cases the AFCARS value was "unable to determine" but the reviewers did find a family structure. In another error case this element was reported as blank but the reviewer found a family structure of "married couple." The remaining errors were incorrect either because the wrong people were being reported on or the family structure was incorrectly entered on the correct people. Program Code LNs 134440 – 135140 The program code maps this element from the child's episode placement record. The State's values are mapped to the related AFCARS value. If the data is missing, or a value other than "1" through "5" is found, the element is set to blank.	3
45. Year of Birth (1st Principal Caretaker)	Screen: Person Management>Basic tab Data Quality *Frequency Report (N 5,555):* There are 4 years of birth of 2002 or later; not reported = 224 (4.0%). There are 5,096 records reported in element #44 as married couple, unmarried couple, single female, and single male. There are 5,331 records reported for this element with a year of birth. See the errors identified in the case file review for element #44. The State indicated they are going to add a field edit that will alert the worker if the parent's age is less than 10. Program Code LNs136257 – 137750	3

Data Element	Findings	Rating Factor
	The program code gets the first caretaker's year of birth from the date of birth field in their person record.	
46. Year of Birth (2nd Principal Caretaker - if applicable)	Screen: Person Management>Basic tab Data Quality *Frequency Report (N 5,555):* There are 29 years of birth of 2002 or later; 1,529 = not reported (27.5%). There are 2,042 records reported in element #44 as married couple or unmarried couple. This number should match the total number reported in this element (4,026) with a year of birth. *Case File Review Findings*: 15 (23%) of the records analyzed did not match what was reported in AFCARS. There were several inconsistencies between this element and element 44. In some instances, there was a date reported for this element and the marital status in element #44 was a single male or female. The opposite was also true, a marital status of unmarried or married couple was reported in element #44 and this element was blank. Program Code LNs137770 – 139250 The program code gets the second caretaker's year of birth from the date of birth field in their person record.	3
47. Date of Mother's Parental Rights Termination (if applicable)	Screen: Legal Activity There is a TPR Type field as well as a Disposition Date and Effective Date. There is the option of entering a TPR type of "both" that is for the mother and father. If this is used, it should only be used when the TPR occurred on the same day for both parents. Data Quality *Case File Review Findings*: 6 (9%) of the records analyzed did not match what was reported in AFCARS. In five of the error cases the mother's parental rights had been terminated but there was not a date reported. In the other case, the mother was deceased. Program Code LNs 125870 - 129770 Notes from code: • CD_DISP_ACTN = 13 (Petition for Termination of parents' rights) • CD_CASE_DISP = 3 or 11 (Petition-Granted or Motion granted) • ID_PRSN = child's ID number • ID_CASE = case ID number relative to reporting period • DT_EFCTV = the most recent effective date of those rows meeting the above criteria. The program first checks the most recent court disposition record for the mother to see if a disposition action of "13" (petition to terminate parental rights), with a disposition code of either "3" or "11" (motion or petition granted) is found. If so, the effective date is used as the TPR date. If a disposition code is not found, the mother's date of	~~2~~ 3

Data Element	Findings	Rating Factor
	death is checked in her person record. If one exists, that is used as the TPR date. The program code looks for the latest TPR but not the TPR prior to the end of the report period. If the state resubmits the file, the later TPR date (a future date) would be reported. Post-Site Visit Program Code Modifications LNs 141420 - 148130 The program code was modified to only select a TPR date that occurs prior to the end of the report period.	
48. Date of Legal or Putative Father's Parental Rights Termination (if applicable)	Screen: Legal Activity. There is a TPR Type field as well as a Disposition Date and Effective Date. Data Quality *Case File Review Findings*: 2 (3%) of the records analyzed did not match what was reported in AFCARS. In the error cases the father's parental rights had been terminated but there was not a date reported. Program Code LNs 125870 - 129770 The program first checks the most recent court disposition record for the father to see if a disposition action of "13" (petition to terminate parental rights), with a disposition code of either "3" or "11" (motion or petition granted) is found. If so, the effective date is used as the TPR date. If it is not found, the father's date of death is checked in his person record. If one exists that is used as the TPR date. The program code looks for the latest TPR but not the TPR prior to the end of the report period. If the state resubmits the file, the later TPR date (a future date) would be reported. Post-Site Visit Program Code Modifications LNs 141420 – 148130 The program code was modified to only select a TPR date that occurs prior to the end of the report period.	~~2~~ 3
#49 – 55 Foster family home – foster parent(s) data	Data Quality *Case File Review Findings*: Cases that were reported as blank that should have been reported as "not applicable" (elements 49, 53, and 55) because the child was in a setting other than a foster home were not included in the analysis. While the response is incorrect, for the purpose of the case file review the records were included in the column "Data in AFCARS Matches Case File." Also, there were several cases in the sample that could not be reviewed for elements #49 – 55 because the review team did not receive the complete file or the provider file. Cases were included in the analysis as some of the information reviewers could verify and the actual data reported to AFCARS was reviewed for consistency. Program Code:	

Data Element	Findings	Rating Factor
	These elements are initialized to blank. The program code correctly checks if the child is in a foster family home (a value of 1, 2, or 3 in element #41). If that is the case, then the program code obtains the information from the child's most recent removal episode record.	
49. Foster Family Structure 0=Not Applicable 1 = Married Couple 2 = Unmarried Couple 3 = Single Female 4 = Single Male	Screen: Home Provider>Home tab There is a field for Family with the following options: Married Couple, Unmarried Couple, Single Female, Single Male, and Unable to Determine. The option of "unable to determine" should be removed from this list as it has no practical meaning for the family structure of a foster family. *NRC-CWDT, TA Finding 8/2011* There is an option on the LINK screen of "Unable to determine" which are reported as missing. According to FC element #41: Current Placement Setting, there were 1,379 children in a placement setting other than a foster or pre-adoptive home. This number should match the number of records with the AFCARS value of "not applicable" for this element. Recommended changes are: • If FC element #41: Current Placement Setting has a value of 4, 5, 6, 7 or 8, indicating that the child is not in a foster family or pre-adoptive home, this element should be "not applicable." If the child is known to be in a foster family or pre-adoptive home but the family structure is not known, this element should be blank. • Since it is not a valid AFCARS value, remove the screen value of "unable to determine" and continue to map missing information to blank. Based on the technical assistance the State proposes to make modifications to the screen. The proposed changes are: • Remove the drop-down selection of "Unable to Determine." • Ensure when a child's current placement setting has a value of 4,5,6,7 or 8 this element should be "not applicable" • This field should be locked down before adding services. There should be an edit on inquiry for the FASU worker to answer/select drop-down to answer question. Data Quality *Frequency Report (N=5,555):* Married Couple = 2,069 (37.3%); Unmarried Couple = 272 (4.9%); Single Female = 1,320 (23.8%); Single Male = 78 (1.4%); Not reported = 1,816 (32.7%) *Case File Review Findings*: In one of the error cases the child was living with a relative and this field was blank. Program Code LNs 140460 – 140810	~~2~~ 3

Data Element	Findings	Rating Factor
	The LINK values "1" through "4" are equivalent to AFCARS values and are mapped to the correct AFCARS value. The State's value "unable to determine (5)" is set to blank and any other value or missing is set to blank. The program code does not set this element to "not applicable" for records in which the child's current placement setting is not a foster home. Post-Site Visit Program Code Modifications LNs 156290 – 157530 The program code was modified by adding a step to set this element to "not applicable" if it finds that the current setting is not a foster home (values 1 – 3 in element #41).	
50. Year of Birth (1st Foster Caretaker)	Screen: Person Management>Basic tab Data Quality *Frequency Report (N=5,555):* Reported = 3,838 (69%); Not Reported = 1,717 (30.9%) The number reported in #49 as married, unmarried, single female and single male = 3,739. There are more years of birth for this element. The two should match. *Case File Review Findings*: In one of the error cases the child was living with a relative and this field was blank. Program Code LNs 144080 – 145530 The first foster caretaker's year of birth is obtained from their person record based on matching the person with the provider information obtained from the child's most recent removal episode record. If no date of birth is found, this element is set to blank.	3
51. Year of Birth (2nd Foster Caretaker)	Screen: Person Management>Basic tab Data Quality *Frequency Report (N=5,555):* Reported = 2,485 (44.7%); Not Reported = 3,070 (55.3%). The number reported in #49 as married or unmarried = 2,341. The number of records for these two elements should be the same. Ensure that the caseworkers are entering the marital status and demographic data correctly. *Case File Review Findings*: In one of the error cases the child was living with a relative and this field was blank. Program Code LNs 14550 - 146990 The second foster caretaker's year of birth is obtained from their person record based on matching the person with the provider information obtained from the child's most recent removal episode record. If no date of birth is found, this element will be left blank.	3

Data Element	Findings	Rating Factor
52. Race of 1st 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	Screen: Person Management>Basic tab See finding in element #8. Also, note that the only meaning of the AFCARS administrative value "unable to determine" that is applicable for this element is if the foster parent declines to provide the information. Data Quality *Case File Review Findings*: 5 of the records analyzed did not match what was reported in AFCARS. Program Code LNs 144480 – 144890 The first foster caretaker's race is obtained by first checking the race code on their person record and if not found then checking the race code on their provider record. The race information is translated in a standard internal routine as described previously (see element #8). Post-Site Visit Program Code Modifications LNs 156290 – 157530 See element #8 for changes to the race mapping.	2
53. Hispanic or Latino Ethnicity of 1st Foster Caretaker 0 = Not Applicable 1 = Yes 2 = No 3 = Unable to Determine	Screen: Person Management>Basic tab See findings in element #9. Data Quality *Frequency Report (N=5,555):* Not Applicable = 0; Yes = 666 (12%); No = 2,989 (54%); Unable to determine = 183 (3%); Not reported = 1,717 (31%) *Case File Review Findings*: 6 of the records analyzed did not match what was reported in AFCARS. Program Code LNs 144920 - 145530 The first foster caretaker's Hispanic or Latino ethnicity is obtained by first checking the Hispanic code on their person record and if not found then checking the codes in their combined ethnicity record. The resulting information is translated in a standard internal routine as described previously (see element #9). The program code is not setting this element to "not applicable" when the child's current living arrangement is not a foster home. Modify the program code to set this element to "not applicable" when the value in element #41 is 4 – 8. *NRC-CWDT, TA Finding 8/2011* There are no records with a value of "Not applicable." • If FC element #41: Current Placement Setting has a value of 4, 5, 6, 7 or 8, indicating that the child is not in a foster family or pre-adoptive home, this element should be "not applicable." If the child is known to be in a single-parent foster or pre-adoptive home, FC element #55 should be "not applicable."	~~2~~ 3

Data Element	Findings	Rating Factor
	• If the child is known to be in a foster family or pre-adoptive home but the Hispanic Origin of a foster parent is not known, this element should be blank. "Unable to determine" should be used only if the foster parent refuses to identify his or her Hispanic origin. Post-Site Visit Program Code Modifications LNs 156290 – 157530 The program code has been changed to map element #53 to "not applicable" when element #41 is anything other than "1," "2," or "3."	
54. Race of 2nd 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	Screen: Person Management>Basic tab See findings in element #8. Data Quality *Case File Review Findings*: 4 of the records analyzed did not match what was reported in AFCARS. Program Code LNs 145950 - 146360 The second foster caretaker's race is obtained by first checking the race code on their person record and if not found then checking the race code on their provider record. The race information is translated in a standard internal routine as described previously (see element #8). Post-Site Visit Program Code Modifications See element #8 for changes to the race mapping.	2
55. Hispanic or Latino Ethnicity of 2nd Foster Caretaker (if applicable) 0 = Not Applicable 1 = Yes 2 = No 3 = Unable to Determine	Screen: Person Management>Basic tab See findings in element #9. Data Quality *Frequency Report (N=5,555):* Not Applicable = 0; Yes = 417 (8%); No = 1,985 (36%); Unable to determine = 83 (2%); Not reported = 3,070 (55%) *Case File Review Findings*: 4 of the records analyzed did not match what was reported in AFCARS. Program Code LNs 146390 - 146990 The first foster caretaker's Hispanic or Latino ethnicity is obtained by first checking the Hispanic code on their person record and if not found then checking the codes in their combined ethnicity record. The resulting information is translated in a standard internal routine as described previously (see element #9). *NRC-CWDT, TA Finding 8/2011*	2

Data Element	Findings	Rating Factor
	There are no records with a value of "Not applicable." • If FC element #41: Current Placement Setting has a value of 4, 5, 6, 7 or 8, indicating that the child is not in a foster family or pre-adoptive home, this element should be "not applicable." If the child is known to be in a single-parent foster or pre-adoptive home, FC element #55 should be "not applicable." • If the child is known to be in a foster family or pre-adoptive home but the Hispanic Origin of a foster parent is not known, this element should be blank. "Unable to determine" should be used only if the foster parent refuses to identify his or her Hispanic origin. <u>Post-Site Visit Program Code Modifications</u> The program code has been changed to map element #55 to "0" (not applicable) when element #41 is anything other than "1," "2," or "3." However, if the foster family structure is either single male or single female, this element is incorrectly left blank instead of being set to "not applicable."	
56. Date of Discharge from Foster Care	<u>Screen:</u> Out of Home Placement>Service tab There is a placement end date field, and it appears that when an end date is entered, a Placement Ending screen pops up where the date is entered along with Discharge reason. Trial home visit: There is a State policy that when the child returns home, there should be a termination of care and placement within 90 days. At that point, they will generally ask for protective supervision. <u>Data Quality</u> *Frequency Report (N=5,555):* 2011 = 378 (6.8%); 2012 = 467 (8.4%); invalid data (21120111) = 1 (0.02%). *Case File Review Findings*: 3 (5%) of the records analyzed did not match what was reported in AFCARS. <u>NRCCWDT TA, 8/2011:</u> There were some future dates reported for this field. Ensure that no future dates are reported. Only discharge information that occurred prior to the end of the report period should be included. <u>Program Code LNs 119170 – 121320</u> The program code looks for the most recent episode record for the child where the discharge flag = "Y" and the episode end date is prior to the report period end date and there is no subsequent placement or ongoing legal custody by the State. The episode end date is used for the date of discharge. The program code has several routines that are run to obtain the discharge date. The State needs to re-evaluate these and determine if they are still necessary. Youth who are no longer eligible for title IV-E are to be reported as of the youth's 18th birthday or the date the youth is no longer eligible for title IV-E.	~~3~~ 2

Data Element	Findings	Rating Factor
57. Foster Care Discharge Transaction Date	NRCCWDT TA, 8/2011: There was future transaction dates reported. There should be no future discharge transaction dates. Program Code LNs 119170 – 121320 The program code looks for the most recent episode record for the child where the discharge flag = "Y" and the episode end date is prior to the report period end date and there is no subsequent placement or ongoing legal custody by the State. The episode end transaction date is used for the discharge transaction date.	4
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	Screen: Out of Home Placement>Service tab The State needs to provide a copy of the screen print with the drop-down list. The screen print submitted listed the following: 01 - Reunif With Parent(s)/Prim. Caretaker(s) 02 - Living With Other Relative(s) 03 - Adoption 04 - Emancipation or Aging Out 05 - Guardianship - No Subsidy 06 - Transfer To Another Agency 07 - Runaway 08 - Death Of Child 09 - Expiration of Order 10 - Guardianship - Subsidy 11 - Protective Supervision 12 - Trial Home Visit Ended Note there are items listed here that are not discharge/outcome reasons. Expiration of order, Protective Supervision, and trial home visit ended are not outcome reasons. *NRC-CWDT, TA Finding 8/2011* "Not applicable" should reflect the count of children still in care at the end of the report period. The high number not reported suggests that the count of children still in care is being incorrectly mapped. Data Quality *Frequency Report (N=5,555):* Not applicable = 89 (1.6%); Reunify with parents or primary caretakers = 433 (7.8%); Living with other relatives = 33 (0.59%); Adoption = 184 (3.3%); Emancipation = 33 (0.59%); Guardianship = 21 (0.38%); Transfer to Another Agency = 46 (0.83%); Runaway = 5 (0.09%); Death of Child = 0; Invalid values (9) = 2 (0.04%); Not reported = 4,709 (84.8%)	2

Data Element	Findings	Rating Factor
	It may be that the values noted above that are not outcomes/discharge reasons are the records reported with an invalid value. *Case File Review Findings*: 3 (5%) of the records analyzed did not match what was reported in AFCARS. **Note:** Cases that were reported as blank that should have been reported as "not applicable" because the child was still in foster care were not included in the analysis. While the response is incorrect, for the purpose of the case file review the records were included in the column "Data in AFCARS Matches Case File." In one error case, the child was discharged from foster care in the report period and a date of discharge was reported (correct) but the reason for discharge was incorrectly reported as "not applicable." (See previous note in element #23.) In one error case, this element was blank but the child turned 18 during the report period and was not eligible for title IV-E. In one error case this element was blank but the child was discharged from foster care with an outcome of reunification. <u>Program Code LNs 119170 – 121320</u> The discharge reason is obtained from the child's episode record selected for element #56. The discharge reason code is moved from the record to the output field. The State needs to provide the mapping of its values to AFCARS. This element is set to blank instead of "Not Applicable" when the child is still in care at the end of the report period.	
Source(s) of Federal financial support/assistance for child 0-Does not apply 1-Applies	The State team indicated that for elements #59 – 66 new logic is being designed to access recent redesign and implementation of the SACWIS Eligibility/IV-E Entitlements processing. Some of the elements are rated either a 3 or 4 as part of the onsite analysis. However, all elements will be reevaluated after the new logic is written. <u>Program Code Para. 28000 Process Financials</u> Programmer's notes: The code checks for payments during the six month report period. A file is received from Maximus with a list of cases receiving title IV-E reimbursable amounts (FC59). This file is checked first. "However, if no LINK payments are found, element #59 will be set to "1" (Yes) and the average monthly amount listed on the reference file will be used. Elements 59-66 are initialized to spaces. The code then checks for information to populate elements 66 and the 59. If the monthly amount (#66) comes back as zero or spaces, elements 60 – 64 are set to "does not apply." Element #65 is then set to "applies" and the code exits the financials routine. If an amount for #66 was returned, then the code proceeds to process elements 60 – 65. The routine for element #65 checks the results for elements 59 – 64 and if any of the values are spaces rather than zeros or ones it forces the program to terminate. <u>Post-Site Visit Program Code Modifications</u>	

Data Element	Findings	Rating Factor
	The program code was modified and moved the running of the routine for element #66 to the end. Paragraph 28000 begins with checking element #59. The section after the perform statement for element #59 that addressed if the monthly payment came back as zeros or spaces is commented out of the code and therefore does not address 60-64 at this point. The code now goes through the routine for #59 and proceeds to the remaining elements in the following order: 60, 61, 62, 63, 64, 66, and 65.	
59. Title IV-E (Foster Care)	Data Quality *Frequency Report (N=5,555):* Does not apply = 3,616 (65.1%); Applies = 1,939 (34.9%) Program Code LNs 152330 – 155320 The program code uses an external file from Maximus of IV-E data from the Revenue Enhancement Unit to determine the response for this element. A record on this file for the child indicates that a payment has been made and the child is eligible for IV-E reimbursement. This condition results in setting element #59 to "1." Otherwise it is set to "0." The Federal team indicated that while the above approach will identify those children whose foster care setting received a foster care payment during the report period there are some records it will not identify. For children who enter foster care towards the end of the report period and are determined eligible for title IV-E before the end of the report period, the provider may not receive a payment for the service until the beginning of the next report period. Consequently, the child's information for this element will be incorrectly reported as "does not apply" when in fact title IV-E foster care is a source of income to the child. The service of foster care and the child's eligibility both occur during the report period. As a result of this discussion, the State team indicated that eligibility is not made until a payment is made; the final eligibility of the child is not made until after a payment is actually made to the foster care provider. The Federal team shared this will cause issues for accurate AFCARS data. The State's approach will always cause this element to not be reflective for children entering foster care during the regular report period being extracted and submitted. If a sample is drawn for the title IV-E review, there will be children whose record will indicate that title IV-E foster care did not apply for the report period. The child may be found to be eligible for title IV-E but this determination could be nearly six months, or more, after the end of the regular report period. Post-Site Visit Program Code Modifications LNs 179910 - 181280 The program code has been changed to comment out previous lines of code that made element #59 dependent on actual payments being made. If the child has an eligibility record on the MAXIMUS input file with a status indicating eligible then #59 is set to "1" (applies). Otherwise it is set to "0" (does not apply).	~~2~~ 3

Data Element	Findings	Rating Factor
	The Federal definition of eligibility also includes the setting is an eligible. If this is the case for the information received from Maximus, a child identified as eligible for title IV-E has met all criteria, then the approach is fine. If it means the child is eligible but in a reimbursable setting, this does not meet the Federal definition of eligible. Note there is still the issue related to when the agency determines a child eligible for title IV-E.	
60. Title IV-E (Adoption Assistance)	Data Quality *Frequency Report (N=5,555):* Does not apply = 5,152 (92.8%); Applies = 403 (7.3%). Program Code Para 28300 LNs 155340 – 156330 The program code sets the value of element #60 to "1" if payments on behalf of the child are found on the payment file during the reporting period.. The payment type is "G" (ongoing), the amount is greater than zero, the service code is one of the following: • "530" (age 0-5 foster care, preadoption), • "531" (age 6-11 foster care, preadoption), • "532" (age 12-18 foster care, preadoption), • "535" (specialized preadoptive care), or • "566" (medically complex – preadoption). If these conditions are not found the value is set to "0."	~~3~~ 4
61. Title IV-A	Data Quality *Frequency Report (N=5,555):* Does not apply = 5,555 (100%); Applies = 0. The State indicated that all children in foster care would receive a foster care payment. If the child is not eligible for title IV-E then the payment is made from State funds. Program Code LNs 156350 – 157210 The program code sets the value of element #61 to "1" when a payment is found for the child on the payment table that occurs during the reporting period with an amount greater than zero and an offset type of "A" or the child's episode table entry has a fund type of "2" (IV-A AFDC payment). Otherwise it is set to "0."	4
62. Title IV-D (Child Support)	Data Quality *Frequency Report (N=5,555):* Does not apply = 5,555 (100%); Applies = 0 This information is now collected on the new eligibility screen. Program Code LNs 157240 - 157940 The value of element #62 is set to "1" when a payment is found for the child during the reporting period with an offset type of "C" (child support), and an amount greater than zero. Otherwise it is set to "0."	2

Data Element	Findings	Rating Factor
	There is a payment table but it is not being used. The program code will be updated and will check the child support field on the eligibility screen. This will be done approximately after January, 2013.	
63. Title XIX (Medicaid)	Data Quality *Frequency Report (N=5,555):* Does not apply = 5,518 (99.3%); Applies = 37 (0.67%) *NRC-CWDT TA Findings, 8/2011:* State says that the number of children reported as receiving Medicaid is very low. This information is now collected on the new eligibility screen. Program Code LNs 157960 - 158660 The value of element #63 is set to "1" if any record is found for the child on the TITLE_XIX table with a benefit coverage date range that falls anywhere within the reporting period and an active status code. Otherwise it is set to "0."	2
64. SSI or Other Social Security Benefits	Data Quality *Frequency Report (N=5,555):* Does not apply = 5,091 (91.7%); Applies = 464 (8.4%) Program Code LNs 158680 - 159460 The value of element #64 is set to "1" when any asset record is found for the child that is effective within the reporting period, has an amount value greater than zero, and an asset type of "8" (SSA benefit), "9" (SSI benefit), "10" (VA benefit), or "12" (RR benefit). Otherwise it is set to "0." The program code needs to be modified to not include VA or RR benefits in this element. These assets are to be mapped to element #65.	2
65. None of the Above	Data Quality *Frequency Report (N=5,555):* Does not apply = 2,411 (43.4%); Applies = 3,144 (56.6%) Program Code Para 28800 LNs 159680 - 160270 The program code sets the value of element #65 by checking for a value greater than zero for any of the elements #59 to #64. If one is found then #65 is set to "0." Otherwise if all are "0" #65 is set to "1." Since this section of the program code is going to be re-written, the State should incorporate a check for other sources of State, Federal, or non-Federal sources of support regardless of the responses to #59 - 64. Post-Site Visit Program Code Modifications LNs 170660 – 171310 and 187650 -188430 The program code has been changed to comment out previous lines of code that made element #65 dependent on actual payments being made. If the child has all sources of support coded as "0" (does not apply) then #65 is set to	~~3~~ 2

Data Element	Findings	Rating Factor
	"1" (applies). Otherwise it is set to "0" (does not apply).	
66. Amount of Monthly Foster Care Payment	Data Quality *Frequency Report (N=5,555):* Questionably low and high amounts. 0 = 791 (14.2%); over 5000 = 931 (16.8%) *NRC-CWDT TA Findings, 8/2011:* • This element should only include amounts for the last full calendar monthly payment paid in the AFCARS report period. If no monthly payment was made, entered zero. • A blank in this field indicates that the State does not have the information for this foster care element or that a payment was not made. • Modify the program code to check for, and extract, the full monthly amount paid to a provider. "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." (Appendix A to 45 CFR 1355, section II - XII.) Suggestion: • The State may want to report an amount that is reflective of the child's current living arrangement if the child has been in the same location for a full month. If the child has not been in the current setting for a full month, then the State would report this element as zeroes. Program Code 28000 Process Financials LN 147800, Para. 28100 LN 148580 - 152070 The program code selects all the payment records for the child for the reporting period where payment type is "ongoing," the associated check number and dollar amounts are greater than zero, and the service codes match the list of service codes used to select the foster care episodes. The program calculates the average monthly payment amount by dividing the total dollar amount by the number of months (of payments) in the reporting period. The rounded up average total is used for the value of element #66. The program code should not be calculating an average payment for this element. See the first bullet under the notes above from the NRC's TA report. The State team indicated that at the time the code was written checks were sent weekly to the provider. The services codes will need to be evaluated by the Federal team to ensure if they are the ones that should be checked. Post-Site Visit Program Code Modifications LNs 170140 - 176190 The program code has been changed to comment out previous lines of code that calculated element #66. New logic selects the last full monthly payment (within the reporting period) for the child from the payment table. The	~~2~~ 3

Data Element	Findings	Rating Factor
	service type is “monthly,” the payment type is “ongoing,” the payment amount is greater than zero, and the time period of the payment is for a full month. When found this value is used to populate element #66. If not found element #66 is set to “0”. The section of code that checked the service types has been commented out of the code.	

Data Element	Findings	Rating Factor
1. Title IV-E Agency	Program Code LNs 43800 The IV-E agency code for the State of CT ("09") is hard coded in the output file.	4
2. Report Period Ending Date	Program Code LNs 43820 -43860 The report period end date is passed into the program from a parameter file that is read during initialization.	4
3. Record number	Program Code LNs 78630 – 78670	4
4. Did the title IV-E Agency Have any Involvement in this Adoption? 1=Yes 2=No	Data Quality *Frequency Report (N=293):* Yes = 254 (86.7%); No = 39 (13.3%) There are 38 records reported for element #34, child was placed by an independent person. Also, element #29, stepparent, has 38 records reported as "applies." The State team indicated that they are voluntarily reporting other adoptions that occur outside of the state agency's involvement. Program Code Para. 28300 LNs 167950 – 168250 and 170510 – 172360 This element is initialized to space. This element is set to yes if any of the following conditions are met: • the value of element #34 is "1" (child placed by public agency), or • the value of element #31 is "1" (adopted by foster parent), or • the value of element #35 is "1" (child receiving a monthly subsidy), or • the adoption type code from the adoption decree record has a value indicating subsidized adoption, or, • if there is any other DCF involvement as determined by payment history or foster care case history. If none of these conditions are met the value is set to "no."	~~3~~ 4
5. Child's Date of Birth	Screen: Adoption Decree>Child and Applicants tab This field is not being pre-populated from child's person management screen. It is being entered on the adoption decree screen. Because the data is being re-entered there is a higher risk of incorrect information being entered into the file as well as being different from what was entered in the source screen (person management). Program Code Para. 22300 LNs 98130 – 98290 and 102080 – 102410 The child's date of birth is taken from the child's adoption person record. If no date of birth is present, the program code will check the pre-adoptive person record.	3
6. Sex 1=Male	Screen: Adoption Decree>Child and Applicants tab This field is not pre-populated from child's person management screen. It is being entered on the adoption decree screen. Because the data is being reentered there is a higher risk of incorrect information being entered into the	3

Data Element	Findings	Rating Factor
2=Female	file as well as being different from what was entered in the source screen (person management). <u>Data Quality</u> *Frequency Report (N=293):* Male = 162 (55%); Female = 130 (44%); Not Reported = 1 (0.34%). <u>Program Code Para. 22400 LNs 102430 – 103000</u> This information is obtained from the child's adoption person record. If it is not found there, the program code gets the information from the pre-adoptive record. A code value of "M" or "m" is set to "1" and a code value of "F" or "f" is set to "2." Any other value is set to spaces.	
7. 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	<u>Screen:</u> Adoption Decree>Child and Applicants tab This field is not being pre-populated from child's person management screen but is instead being entered on the adoption decree screen. Because this data is being re-entered, there is a higher risk of incorrect information being entered into the system as well as information being different from what was entered into the source screen (person management). Even though this information is being re-entered on a different screen, the same issues appear for this element as foster care element #8. <u>Program Code Para 22500 LNs 103020 – 103680</u> This information is obtained from the adoption person record. Or if it isn't present there, from the pre- adoption person record. The code is mapped to AFCARS values in the same way as foster care element #8.	2
8. Child's Hispanic or Latino Ethnicity 1=Yes 2=No 3=Unable to determine	<u>Screen:</u> Adoption Decree>Child and Applicants tab This field is not being pre-populated from child's person management screen but is instead being entered on the adoption decree screen. Because this data is being re-entered, there is a higher risk of incorrect information being entered into the system as well as information being different from what was entered into the source screen (person management). Even though this information is being re-entered on a different screen, the same issues appear for this element as foster care element #9. The State does not have options on the screen that would match the AFCARS administrative value "unable to determine." See suggested options listed in element #8 (declined, incapacitated, Safe Haven, abandoned). <u>Program Code Para 22600 LNs 103910 – 104640</u>	3

Data Element	Findings	Rating Factor
	This information is obtained from the Hispanic code in the adoption person record. If it is not found there, the program code checks the pre-adoptive person record. Mapping to AFCARS values is as previously described for foster care element #9.	
9. Has the title IV-E agency determined that the child has special needs? 1=Yes 2=No	Data Quality *Frequency Report (N=293)*: Yes = 43 (14.7%); No = 250 (85.3%). *#35 Frequency Report (N=293):* Yes = 207 (70.7%); No = 86 (29.4%). Note that there is a significant discrepancy between the responses of these two elements. Element #35 reflects children who are receiving a monthly adoption subsidy. *Case File Review Findings*: 13 (65%) of the records analyzed did not match what was reported in AFCARS. In all cases the response reported to AFCARS was "no." In 10 cases the AFCARS data for elements 35 – 37 (is the child receiving a monthly subsidy, the amount of the subsidy, and if it is title IV-E assistance) were reported correctly indicating the child is receiving a subsidy. Program Code Para 24000 LNs 105670 – 107910 and 112770 - 115550 The extraction code determines whether or not the child has special needs and it is not based on the eligibility status of the child. See the notes for element #10.	2
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	Screen: Plan>Assessment tab. There is a drop down menu for Special Needs with the following options: Not applicable, Age, Mem of Sib Group To Be Adopted Together, Medical Conditions, Other, Member of a Minority Group, Serious Emotional Maladjustment, Phys Disabil And Visual/Hearing Impaired, Mental Disability/Mental Retardation, Recognized High Risk-Phys/Mntl Disabil. This screen does not include a means to identify the primary condition that was the greatest barrier to the child's adoption.	2

Data Element	Findings	Rating Factor
	The State team indicated the list on the adoption plan assessment tab is not reflective of the current eligibility criteria used by the State to determine special needs. The certification of special needs screen has the most current criteria. In order to avoid duplicative data entry, information on primary basis for special needs should only be collected in one location. Since the certification of special needs screen has the most current criteria, it should be used to collect this information instead of the assessment tab. In addition, the State will need to add a field to collect the primary basis for special needs to this screen. <u>Data Quality</u> *Frequency Report (N=293):* Not Applicable = 250 (85.3%); Racial/ethnic background = 1 (0.34%); Age = 4 (1.4%); Sibling group = 2 (0.68%); Medical condition = 35 (12.0%); Other = 1 (0.34%). *Case File Review Findings*: 15 (75%) of the records analyzed did not match what was reported in AFCARS. *NRCCWDT TA Findings, 8/2011:* • If AD element #10 is "Medical Conditions or Mental, Physical or Emotional Disabilities," then all applicable diagnoses should be reported for elements #11-15. Consider changing the pull down to indicate that the primary basis is the diagnosed disability, and then direct the worker to select all disability types that apply. <u>Program Code Para 24400</u> Elements 9 – 15 are initialized to space. The main paragraph has several routines embedded and one is completely commented out of the code. There are issues related to how these elements are set and the information is disconnected from the actual eligibility determination made for a child. The routine first checks the child's medical profile (para. 24100 and 24200). If any of the conditions are checked, then element #9 is set to "yes" and element #10 is set to "medical conditions or mental, physical or emotional disabilities." If no information is found in the medical profile, the program checks the child's most recent Adoption Plan (para. 24410). Then formats the special needs fields. If no special needs were found, then element #9 is set to "no," and element #10 is set to "not applicable." Otherwise, it checks the Special Needs field on the Adoption Plan. If it finds a system value greater than zero, it will set element #9 to yes and map the values to element #10 as: Not applicable is mapped to 0.	

Data Element	Findings	Rating Factor
	Age is mapped to 2. Mem of Sib Group To Be Adopted Together is mapped to 3. Medical Conditions is mapped to 4. Other is mapped to 5. Member of a Minority Group is mapped to 1. Serious Emotional Maladjustment is mapped to 4 and element #14. Phys Disabil And Visual/Hearing Impaired is mapped to 4 and element #12. Mental Disability/Mental Retardation is mapped to 4 and element ##14. Recognized High Risk-Phys/Mntl Disabil is mapped to 4 and element #14. If the program code did not find a value in the Adoption plan, it then checks the eligibility flag (para. 24430). However, the only selection that is made is if the flag is "yes," it will set element #9 to "yes," and element #10 to "other" and if not, it will set special needs to "no" and element #10 to "not applicable." The option "Phys Disabil And Visual/Hearing Impaired" is incorrectly mapped to element #12. This option contains items that would be mapped to either #12 or #13. These options need to be separated. The option "Recognized High Risk-Phys/Mntl Disabil" is incorrectly mapped to the value 4 for this element and to element #14. This option indicates high risk and should be mapped to the value 5 for this element and elements 11 – 15 are "do not apply." Also, the option "Mental Disability/Mental Retardation" is incorrectly mapped to element ##14. The State's option also include mental retardation which is mapped to AFCARS element #11.	
#11 - 15	The frequencies for elements 11-15 do not align with frequencies for #10, Medical Conditions. <u>Program Code Para LNs 106840 - 109790</u> The extraction code gets the diagnosed conditions from the child's medical profile table where flag settings for various conditions are mapped to AFCARS values. The medical profile is the same record used for foster care elements 11 – 15. These elements are incorrectly reported regardless of what is reported as primary basis in element #10. These elements should only be reported if element #10 is Medical conditions or Mental, Physical or Emotional Disabilities.	
11. Type of Disability-Mental Retardation	<u>Frequency Report (N=293):</u> Applies = 0; Does not apply = 293 (100%).	2

Data Element	Findings	Rating Factor
	Program Code LNs 108920 - 109020 If the mental retardation flag of the child's medical profile record is "Y" the value of element #11 is set to "1." Otherwise it is set to "0."	
12. Type of Disability-Visually or Hearing Impaired	Frequency Report (N=293): Applies = 4 (1.4%); Does not apply = 289 (98.6%). Program Code LNs 109050 - 109150 If the visually/hearing impaired flag of the child's medical profile record is "Y" the value of element #12 is set to "1." Otherwise it is set to "0."	2
13. Type of Disability-Physically Disabled	Frequency Report (N=293): Applies = 5 (1.7%); Does not apply = 288 (98.3%). Program Code LNs 109180 - 109290 If the physically disabled flag of the child's medical profile record is "Y" the value of element #13 is set to "1." Otherwise it is set to "0."	2
14. Type of Disability-Emotionally Disturbed	Frequency Report (N=293): Applies = 5 (1.7%); Does not apply = 288 (98.3%). Program Code LNs 109320 - 109430 If the emotionally disturbed flag of the child's medical profile record is "Y" the value of element #14 is set to "1." Otherwise it is set to "0."	2
15. Type of Disability-Other medically diagnosed condition requiring special care	Frequency Report (N=293): Applies =27 (9.2%); Does not apply = 266 (90.8%). Program Code LNs 109560 - 109740 If the child's medical profile contains a "Y" value in the other medical conditions flag, the alcohol abuse flag, the drug abuse flag, the behavior problem flag or the learning disability flag the value of element #15 is set to "1." Otherwise it is set to "0."	2
16. Mother's year of birth	Screen: Maintain Case>Participants tab Program Code Para 25120 LNs 131620 – 131710 The extraction code selects the mother's year of birth from her person record in the foster care case.	4
17. Father's year of birth	Screen: Maintain Case>Participants tab *Case File Review Findings*: 4 (20%) of the records analyzed did not match what was reported in AFCARS. Program Code Para 25130 LNs 135530 - 136720	3

Data Element	Findings	Rating Factor
	The extraction code selects the father's year of birth from his person record in the foster care case.	
18. Was the Mother Married at the Time of the Child's Birth? 1=Yes 2=No 3-Unable to determine	Screen: Maintain Case>Participants tab NRCCWDT TA Findings, 8/2011: Consider changing the value on the screen from "unable to determine" to "abandoned" in order to provide clarity of its proper use. Frequency Report (N=293): Yes = 33 (11.3%); No = 209 (71.3%); Unable to Determine = 15 (5.1%); Not reported = 36 (12.3%). Program Code Para 25120LNs 133950 – 134830 The extraction code sets the value of element #18 based on the mother's marital status code in her case participant record. If it is "Y" the value is set to "1," if it is "N" the value is set to "2" and if it is "U" the value is set to "3." Anything else is set to spaces.-Unless the marital status is entered specifically as the mother's marital status at the time of the child's birth this logic is in error since the mother's marital status at the time of adoption could have changed.	3
19. Date of Mother's termination of parental rights	Screen: Adoption Decree>Child and Applicants tab There is a field for TPR Mother. This field is not being pre-populated from child's legal screen. It is being entered on the adoption decree screen. Because the data is being re-entered there is a higher risk of incorrect information being entered into the file as well as being different from what was entered in the source screen (legal). Data Quality *Frequency Report (N=293):* Not reported = 35 (12.0%); Reported = 258 (88.0%). There are 35 records reported with no information. The state needs to confirm if these are records of stepparent adoptions or foreign adoptions. *Case File Review Findings*: 2 (10%) of the records analyzed did not match what was reported in AFCARS. Program Code Para 25140 LNs 138020 – 140940 The extraction code first looks for a TPR date in the adoption person record. If a date is found, it is used. Otherwise, the court disposition table is checked to see if there is a record with a disposition action of "13" (petition for termination of rights) for the mother with a disposition of either "3" or "11" (petition granted). If no court disposition record is found the mother's date of death is checked. If it is greater than zero that date is used as the TPR date.	3

Data Element	Findings	Rating Factor
20. Date of Father's termination of parental rights	Screen: Adoption Decree>Child and Applicants tab There is a field for TPR Father. This field is not being pre-populated from child's legal screen. It is being re-entered on the adoption decree screen. Because the data is being re-entered there is a higher risk of incorrect information being entered into the file as well as being different from what was entered in the source screen (legal). Data Quality *Frequency Report (N=293):* Not reported = 23 (7.9%); Reported = 270 (92.2%). There are 23 records reported with no information. The state needs to confirm if these are records of stepparent adoptions or foreign adoptions. *Case File Review Findings*: 2 (10%) of the records analyzed did not match what was reported in AFCARS. Program Code Para 25140LNs 138020 – 140940 The extraction code first looks for a TPR date in the adoption person record. If a date is found, it is used. Otherwise, the court disposition table is checked to see if there is a record with a disposition action of "13" (petition for termination of rights) for the father with a disposition of either "3" or "11" (petition granted). If no court disposition record is found, the father's date of death is checked. If it is greater than zero that date is used as the TPR date.	3
21. Date adoption legalized	Screen: Adoption Decree>Child and Applicants tab There are fields for date received and decree date. This field is not being pre-populated from child's legal screen or the discharge from foster care field. It is being entered on the adoption decree screen. Because the data is being re-entered there is a higher risk of incorrect information being entered into the file as well as being different from what was entered in the source screen (legal or out of home placement). Program Code Para 25290LNs 157460 – 158550 The adoption legalized date is obtained from the adoption decree selected for this adoption. If for some reason the adoption legalized date is not present, the program looks for the most recent court disposition record for the child/case where the disposition action is "19" or "20" (adoption) and the disposition is either "3" (petition granted) or "11" (motion granted). If found the disposition effective date is used as the value of element #21.	3
#22 – 28	These fields are not being pre-populated from the provider screen but are instead being entered on the adoption decree screen. Because these data are being re-entered, there is a higher risk of incorrect information being entered into the system as well as information being different from what was entered into the source screen (provider).	
22. Adoptive parents' family structure	Screen: Adoption Decree>Child and Applicants tab	~~3~~

Data Element	Findings	Rating Factor
1=Married couple 2=Unmarried couple 3=Single female 4=Single male	There is a drop down menu for family structure. Frequency Report (N=293): Married Couple = 204 (69.6%); Unmarried couple = 9 (3.1%); Single Female = 70 (23.9%); Single Male = 8 (2.7%); Not reported = 2 Program Code Para 25270 LNs 152040 – 154390 The adoptive parents family structure is determined from the adoption decree record or, if not present there, from the parent's provider record. The LINK code is mapped to AFCARS values in a straightforward way – codes "1" to "4" are equivalent to AFCARS values and are moved as is. "Unable to determine" is mapped to spaces, as is any value that is not between 1 and 4.	4
#23 Adoptive Mother's Year of Birth	Screen: Adoption Decree>Child and Applicants tab Frequency Report (N=293): Not reported = 8 (2.7%); Reported = 285 (97.3%) Program Code Para 25240 LNs 145110 - 146970 The adoptive mother's year of birth is obtained from her adoptive person record or, if not present, from her pre adoptive person record.	~~3~~ 4
#24 Adoptive Father's Year of Birth	Screen: Adoption Decree>Child and Applicants tab Frequency Report (N=293): Not reported = 70 (23.9%); Reported = 223 (76.1%) Program Code Para 25260LNs 146990 - 152620 The adoptive father's year of birth is obtained from his adoptive person record or, if not present, from his pre adoptive person record.	~~3~~ 4
#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	Screen: Adoption Decree>Child and Applicants tab Even though this information is being re-entered on a different screen, the same issues appear for this element as other race fields previously described (see foster care element #8). Program Code Para 25240LNs 145110 - 146970 The adoptive mother's race is obtained from the race code in her adoptive person record or, if not present, from her pre adoptive person record. Mapping to AFCARS values is the same as for all other race fields previously described.	2

Data Element	Findings	Rating Factor
#26 Adoptive Mother's Hispanic Origin 0=Not Applicable 1=Yes 2=No 3=Unable to determine	Screen: Adoption Decree>Child and Applicants tab Even though this information is being re-entered on a different screen, the same issues appear for this element as other Hispanic origin fields previously described (see foster care element #9). Program Code Para 25240LNs 145110 - 146970 The adoptive mother's Hispanic origin is obtained from the combined ethnicity code in her adoptive person record or, if not present, from her pre adoptive person record. Mapping to AFCARS values is the same as other Hispanic logic previously described.	3
#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	Screen: Adoption Decree>Child and Applicants tab Even though this information is being re-entered on a different screen, the same issues appear for this element as other race fields previously described (see foster care element #8). Program Code Para 25260LNs 145110 - 146970 The adoptive father's race is obtained from the race code in his adoptive person record or, if not present, from his pre adoptive person record. Mapping to AFCARS values is the same as for all other race fields previously described	~~3~~ 2
#28 Adoptive Father's Hispanic Origin 0=Not Applicable 1=Yes 2=No 3=Unable to determine	Screen: Adoption Decree>Child and Applicants tab Even though this information is being re-entered on a different screen, the same issues appear for this element as other Hispanic origin fields previously described (see foster care element #9). Program Code Para 25260 LNs 145110 - 146970 The adoptive father's Hispanic origin is obtained from the combined ethnicity code in his adoptive person record or, if not present, from his pre adoptive person record. Mapping to AFCARS values is the same as other Hispanic logic previously described.	3
#29 –32 0 = Does not Apply 1 = Applies	Screen: Adoption Decree screen There is a drop-down menu for "Type" that includes the following options: Stepparent, Related Non-Subsidized, Related Subsidized, Non-Related Non-Subsidized, Non-Related Subsidized, Relative, and Other. Only one option can be selected from this list. Foster Parent is not an option on this list, but is instead a check box on the same screen. It appears that both foster parent and one of the options from the drop-down list can be selected at the same time, meaning that all that applies could be selected. However, the frequency report, test cases, and the case file review findings only reflect one option being selected. The data does not show multi-selection and therefore needs to be assessed to	

Data Element	Findings	Rating Factor
	determine if it is a data entry or program code issue. Workers should be able to select all that apply for these elements. Program Code Para 25300 LNs 158570 – 159930 The program first evaluates what is entered in type field. Then it will check the flag for foster parents. This means that if there is a selection in both fields all relationship types are reported. However, the frequency report and the case file review findings only reflect one option was selected. The data does not show multi-selection. The program first evaluates what is entered in the type field. Then it will check the flag for foster parents. This means that if there is a selection in both fields all relationship types are being reported. However, the data do not indicate that multi-selection is happening. It does not appear that "other" is being mapped to any AFCARS value.	
29. Relationship to Adoptive Parent-Stepparent 0=Does not apply 1=Yes, Applies	Frequency Report (N=293): Applies = 38 (13.0%); Does not apply = 252 (86.0%). Program Code LNs 158570 – 159930 The value of element #29 is set from the adoption type code found in the adoption decree record. When it is "1" (stepparent) the AFCARS value is set to "1" (applies), otherwise, if the code value is between "0" and "9" it is set to "0" (does not apply). Any other value is set to spaces.	3
30. Relationship to Adoptive Parent - Other relative 0=Does not apply 1=Yes, Applies	Frequency Report (N=293): Applies = 41 (14.0%); Does not apply = 252 (86.0%). Program Code LNs 158570 – 159930 The value of element #30 is set from the adoption type code found in the adoption decree record. When it is "2" (related non-subsidized), "3" (related subsidized) or "6" (relative) the AFCARS value is set to "1" (applies), otherwise, if the code value is between "0" and "9" it is set to "0" (does not apply). Any other value is set to spaces.	3
31. Relationship to Adoptive Parent - Foster parent 0=Does not apply 1=Yes, Applies	Frequency Report (N=293): Applies = 4 (1.4%); Does not apply = 289 (98.6%). The percent of foster parent adoptions is very low. *Case File Review Findings*: 20 (100%) of the records analyzed did not match what was reported in AFCARS. In all cases, the child was adopted by a foster parent. Program Code LNs 158570 – 159930 The value of element #31 is set from the foster parents flag found in the adoption decree record. When it is "Y"	3

Data Element	Findings	Rating Factor
	(adoptive parents are foster parents) the AFCARS value is set to "1" (applies), otherwise if it is "N" it is set to "0" (does not apply). Any other value is set to spaces.	
32. Relationship to Adoptive Parent - Other non-relative 0=Does not apply 1=Yes, Applies	Frequency Report (N=293): Applies = 214 (73.0%); Does not apply = 79 (27%). Program Code LNs 158570 – 159930 The value of element #32 is set from the adoption type code found in the adoption decree record. When it is "4" (non-related non subsidized) or "5" (non related subsidized) the AFCARS value is set to "1" (applies), otherwise, if the code value is between "0" and "9" it is set to "0" (does not apply). Any other value is set to spaces.	3
33. Child was placed from 1=Within State or Tribal Service Area 2=Another State or Tribal Service Area 3=Another Country	Screen: Adoption Decree>Agency and Record tab There are fields for the agency name, address, type, director, and phone. The screen should have a field where the worker can select where the child was placed from, with options of: Within State, Another State, and Another Country. Frequency Report (N=293): Within State = 292 (99.7%); Another State = 1 (0.34%); Another Country = 0. The staff indicated that there was not an adoption from a private agency in another state. Program Code Para 28100 LNs 168280 – 168650 The value of element #33 is set from the adoption provider's location address state code. If it is CT the value of element #33 is set to "1" (within state). If it is any other state code the value is set to "2" (another state). If it is "PQ," "PR," or "VI" it is set to "3" (another country) and if it is "UK" (unknown) or any other value #33 is set to spaces. The program code is incorrectly looking at the provider's address and not the agency. The program code needs to report whether the location of the individual or agency responsible for placing the child is within State, another State, or another country.	1
34. Child was placed by 1=Public agency 2=Private agency 3=Tribal Agency 4=Independent person 5=Birth parent	Screen: Adoption Decree>Agency and Record tab The screen being used for this element is the Provider screen and the Type field, which has with the following options: Private agency, Business, Private Individual, DCF Facility, DCF Facility Cottage, Tribal Agency, Other Governmental Agency, DCF Foster Home, DCF Adoptive Home, CPA Home, State Child Welfare Agency, and Authorized Respite Home. Birth parent is not included as an option. Frequency Report (N=293): Public Agency = 213 (72.7%); Private Agency = 39 (13.3%); Tribal Agency = 0; Independent person = 38 (13.0%); Birth parent = 0; Not reported = 3 (1.0%). The staff indicated that there were not 39 private agency subsidized adoptions.	~~1~~ 2

Data Element	Findings	Rating Factor
	Program Code Para 28200 LNs 16860 – 169940 The value of element #34 is set from checking first for the presence of a pre-adoptive case. If there was one (based on child and case numbers being found in the adoption decree) the value of element #34 is set to "1" (public agency). If no child and case id is found the extraction code checks the adoptive provider type code on the adoption decree record and maps this code to AFCARS values as follows: "0" (private agency without id), "1" (private agency with id), "2" (business), "10" (CPA home), and "12" (authorized respite home) are mapped to "2" (private agency), "6" (tribal agency) is mapped to "3" (tribal agency), "3" (private individual) is mapped to "4" (independent person), and any other value is set to spaces. There is no value for AFCARS "5" (birth parent). The State needs to re-evaluate its method for assessing who is placing the child for adoption. Some of the options used in provider type (business, authorized respite home, CPA home) do not seem applicable.	
35. Is the Child Receiving a Monthly Subsidy? 1=Yes 2=No	Screen: Adoption Decree screen Frequency Report (N=293): Yes = 207 (70.7%); No = 86 (29.4%). *Case File Review Findings*: 2 (10%) of the records analyzed did not match what was reported in AFCARS. Program Code Para 27000 LNs 162040 - 163060 The value of element #35 is set to "1" (yes) if the value calculated for the monthly amount in element #36 is greater than zero. Otherwise it is set to "2" (no). There is no Medicaid logic currently in the code. The screen needs an option that indicates "Medicaid-only."	2
36. Monthly amount	Screen: There is a "search" screen with a "case" tab. This tab appears to list adoption subsidy payments. Program Code Para 27000 LNs 164720 – 166940 The extraction code first checks the Maximus keyed VSAM file that contains payment amounts from the Revenue Enhancement Unit for children who are receiving a IV-E adoption subsidy. If found the amount is used for element #36. If not found the payment record is read for all payments made for the child during the reporting period where the payment type is "G" (ongoing), the payment begin date is less than the end of the reporting period, the amount is greater than zero and the service type is a valid adoption service code. All payments found are summed and then averaged for a monthly average which is used for the monthly amount.	2

Data Element	Findings	Rating Factor
	The program code is incorrect. The program code should be checking the amount entered in the adoption agreement (per diem rate) and multiply that amount by 30. The program code should only check for a payment amount that is no later than the date of the finalized adoption date.	
37. Is Child Receiving title IV-E Adoption Subsidy? 1=Yes 2=No	Frequency Report (N=293): Yes = 105 (35.8%); No = 188 (64.2%). *Case File Review Findings*: 6 (30%) of the records analyzed did not match what was reported in AFCARS. Program Code Para 27000 LNs 162790 - 163040 The extraction code sets the value of element #37 to "1" (yes) when a greater than zero value is found on the Maximus file (defined as the authoritative source of IV-E information) for the child for the period in question. Otherwise it is set to "2" (no). The program code should check whether the child is eligible for title IV-E, AA not whether a payment has been made. It is possible that at the time of the adoption a payment has not yet been issued.	2

Section 3

Case File Review

Case File Summary Report
State: Connecticut

Background

The purpose of the case file review is to assess the accuracy of the data reported to AFCARS by comparing what was reported to what is found in the child's paper file. A sample of 80 foster care records and 30 adoption records is selected from the most recent AFCARS report period prior to the onsite review. The AFCARS data submitted to the Children's Bureau for each record is then compared to information found in the paper case file. The process involved all members of the State and Federal teams, technical and program.

For States that have converted from an older information system (or a paper recordkeeping method) to a new electronic case file, the case file review process identifies any issues with the accuracy of the data due to conversion. The information that is submitted to AFCARS should reflect what is in the paper case records. The case file review is the only means for the Federal team to assess the accuracy and the level of completeness of the State's conversion process from a paper or legacy system to its new information system.

The Children's Bureau recognizes for those States that chose to implement a statewide case management system (both SACWIS and non-SACWIS models) there will be far less data in the paper file since the electronic case management system is the official record. However, there are some documents that may not be part of the State's information system, such as medical reports, court reports, home studies, etc. These documents usually provide a significant amount of the information for the case file reviewers. Additionally, this process identifies issues related to timely data entry as well as how well the system is being used to record information on each case.

The Children's Bureau has found that while there may be challenges to identifying the information in the paper file, the process provides very valuable information to the review teams. The findings often provide additional information that increases the Federal team's understanding of the data reported to AFCARS. Also, this process allows the review team to assess how well records are being kept up-to-date, the accuracy of the AFCARS data, and usage of the State's information system. Typically, this process does not identify new problems, but confirms findings from the other components of the AAR.

Since the case file review is the only means to assess conversion, the cases selected for the review were primarily those in which the most recent removal date, or the first removal date, precedes the date the State's system went operational. If the State phased in its operational status, then the sample may reflect these dates.

Summary

This summary report provides information on the number of cases selected in the sample, the number of cases reviewed, and any relevant general information regarding the analysis of the results. The matrices that follow provide detailed findings. There are six columns in the matrices, they are:

- AFCARS Element - This is the name of each AFCARS element with the corresponding values.
- Data in AFCARS Matches Paper File - The number of records in which the reviewer found that the data submitted to AFCARS matched what was found in the paper file.
- Data in AFCARS Does Not Match Paper File - The number of records in which the reviewer found that the data submitted to AFCARS did not match what was found in the paper file.
- Questionable - The number of records where either the reviewer was not sure whether the data were the correct or based on final analysis there was some type of inconsistency between what was reported and what was noted by the reviewer. Comments are provided in the comment column for these situations.
- Not Found - Indicates that the reviewer was not able to locate the information pertaining to the element in the paper file. This can either be due to a missing file or sections of the file, or the data are now only recorded in the information system and there are no paper documents with the data. This is not considered a negative finding.
- Comments - This column includes findings regarding the errors that were identified in the column "Data in AFCARS Does Not Match Paper File" as well as any other pertinent information pertaining to the element and the findings.

Foster Care Summary Findings

Number of Cases in Sample	80
Number of Cases not Sent to Office	3
Number of Cases not Review	8
Number of Cases Reviewed	69
Number of Cases Analyzed	64

One of the records could not be reviewed because the complete file was not sent to the State office. What the State office received was only the information used for a title IV-E review.

The reasons for removing five of the records from the final analysis were:

- In two cases the guardianship subsidy file and not the complete record was sent to the office. While the reviewer tried to find as much information as possible, there was not enough to make any reasonable analysis.
- In one instance only the adoption record was sent and the case was in the foster care sample.
- One case only contained the provider file and not the child's file.
- One record sent was the adoption subsidy file and not the child's foster care file.

One record that was included in the analysis but should not have been reported was a case where the removal episode was less than 24 hours.

5 - Date of Most Recent Periodic Review (if applicable)

There were several errors where the information reported to AFCARS was not supported by what the reviewers found in the case file. There were several incorrect dates. Additionally, there were dates reported to AFCARS that was not a periodic review as defined in section 422(b)(8)(ii) and 475(5)(B) of the Social Security Act (SSA).

In one case, the date reported for this element was after the child's 18th birthday and the child was not eligible for title IV-E funds.

10 - Has the Child Been Clinically Diagnosed with a Disability(ies)?

There were 28 records found to have errors (45% of the cases analyzed). In 16 of the cases, the reviewers found that the child had been to a health care professional and had a diagnosis that is reported to AFCARS. In eight of these cases the value reported to AFCARS was "no" and in six the value reported was "not yet determined." Two of the responses had the State's value of "4," which is not a value for this element in AFCARS.

Twelve error cases had the response of "not yet determined." The reviewers noted the child had been seen by a health care professional and either had no diagnosed conditions or one that is not mapped to AFCARS. In one error case, the response should have been "no" instead of "yes." The condition identified was not one that is to be reported to AFCARS.

Of the 18 cases reported as "not yet determined," the majority of the children were in foster care for at least a year, two had been in care for three years and another for seven years.

For the diagnosed condition categories (elements 1 – 15), the majority of the errors were for the categories "Emotionally Disturbed" and "Other Medically Diagnosed Conditions Requiring Special Care." For seven of cases the response had been incorrectly mapped to "other medical" and the correct response was one of the other categories; the majority being for "Emotionally Disturbed."

Removal Episode, Elements 18 - 21

In one case, elements #18, 19, and 20 were marked in the analysis as correct, however, the child had been previously adopted. The date reported for element #18 was the same date as the current removal. The actual date of first removal should have been for the first ever removal that occurred prior to the child's adoption. Additionally, the number of removals only indicated one and at a minimum, should have been two removal episodes.

In one case, there was a clear history of foster care placements preceding the date reported as the date of the first removal from home. The reviewer found a removal date that was 18 months prior to what was actually reported. (Elements 21 and 24 were also incorrect.) An alternative explanation is that there actually were two removal episodes and that the date reported in element #21 was correct and in this case element #24 would be correct and elements 18, 19, and

20 would have been incorrect. The reviewer did not find any evidence though that there were two removals.

In another error case, the child only had one removal episode and not two as reported. The child was placed back home while the agency maintained responsibility for placement and care then was placed back in foster care. This was reported as a discharge and a new removal episode (affected elements 19, 20, 21, 23, 24, 56, and 58). The date reported for element #20 and 56 was the same date. This resulted also in an inconsistency between elements 56 and 21 as the date of discharge from the current removal episode was before the date reported for the current removal episode.

23 - Date of Placement in Current Foster Care Setting

In one error case this element plus elements 24, 41, 42, and 43 were incorrect. Element #23 was reported as blank, element #24 as 00. The child had been in foster care since May, 2010 and was placed with a relative for the entire episode. Elements #41, current placement setting, and element 42, was placement out-of-State, were also reported as blank.

Some of the errors were also related to errors found in element #21: date of removal and placement were the same but occurred earlier than what was reported.

There were several errors (8) that appear to be due to a status change of the foster care setting and not because the child actually was moved to another setting. Including two cases in which the date reported as a placement date was also the same date of the parents' termination of parental rights. There was no placement move.

In one error case, the date reported for this element was the date the child went to a respite placement.

24 - Number of Previous Placement Settings During this Removal Episode

In nine error cases the reviewers found fewer placement moves than what was reported to AFCARS. Most of these related to a change in status being counted as a placement move and not an actual placement move. There were also placements that were not included in the placement count (8 error cases). It is difficult to say whether corrections to the program code will have a net effect on the number of placements.

One of the error cases that resulted in an increase in the number of placements that should have been counted is the one in which the date of the current removal was 18 months prior to what was actually reported. A similar situation that raised the number of removals was the case that the child was placed back in their own home while the agency still had responsibility for placement and care. The child returned to the same foster home but the record was incorrectly reported as this being a new removal. Consequently, all actual placements for the removal episode was not included.

26 through 40 - Actions or Conditions Associated With Child's Removal

There were several errors across all of these elements. In eighteen cases there was only one item identified and reported to AFCARS as "applies." However, in eight of these cases the reviewers found between one and five additional reasons that applied and contributed to the reason associated with the child's removal from home. In 24 records there were two reasons reported, but the reviewers found between two and three additional reasons in nine records.

43 - Most Recent Case Plan Goal

The majority of errors were due to the goal incorrectly reported as "long-term foster care" instead of "emancipation." In these cases the child had a permanent connection to an adult.

44 - Caretaker Family Structure

In four error cases the AFCARS value was "unable to determine" but the reviewers did find a family structure. In another error case this element was reported as blank but the reviewer found a family structure of "married couple."

47. Date of Mother's Parental Rights Termination (if applicable)
In five of the error case the element was blank but there was an order terminating parental rights on the mother. In one error case the mother was deceased and this date was not reported.

Foster Parent Information (elements 49 – 55)

Cases that were reported as blank that should have been reported as "not applicable" (elements 49, 53, and 55) because the child was in a setting other than a foster home were not included in the analysis. While the response is incorrect, for the purpose of the case file review the records were included in the column "Data in AFCARS Matches Case File."

Also, there were several cases in the sample that could not be reviewed for elements #49 – 55 because the review team did not receive the complete file or the provider file. Cases were included in the analysis as some of the information reviewers could verify and the actual data reported to AFCARS was reviewed for consistency.

58. Reason for Discharge

Note: Cases that were reported as blank that should have been reported as "not applicable" because the child was still in foster care were not included in the analysis. While the response is incorrect, for the purpose of the case file review the records were included in the column "Data in AFCARS Matches Case File."

In one error case, the child was discharged from foster care in the report period and a date of discharge was reported (correct) but the reason for discharge was incorrectly reported as "not applicable." (See previous note in element #23.)

In one error case, this element was blank but the child turned 18 during the report period and was not eligible for title IV-E.

In one error case this element was blank but the child was discharged from foster care with an outcome of reunification.

Source(s) of Federal Financial Support/assistance for Child (elements 59 – 66)

These elements were not verified during the review as much of the data was not in the file. To the extent that the reviewers did find this information it is noted below. Otherwise, these elements were not included in the final analysis.

Adoption Summary Findings

Number of Cases in Sample	30
Number of Cases not Sent to Office	0
Number of Cases not Review	8
Number of Cases Reviewed	22
Number of Cases in Analyzed	20

One record that was reviewed but removed from the final analysis is due to questionable findings. The reviewer indicated there was agency involvement and that there was a State adoption subsidy. However, the reviewer also indicated a different date of birth and gender than the case pulled in the sample. There were certain pieces of information that matched – birth mother and father's years of birth and TPR dates. However, other data did not. Since the reviewer did not provide any notes, it is not clear that the reviewer was reviewing the information on the correct child in the case. However, if it was a sibling of the child who was pulled in the sample, it does raise the question whether this element is incorrectly reported as "no" instead of "yes."

Another case removed from the final analysis was a record the agency voluntarily included. The case was of a step-parent adopting a child who was not in foster care or was not a special needs child. These are voluntarily reported and element #4 was reported as no State agency involvement.

9. Has the title IV-E agency determined that the child has special needs?

The majority of cases reviewed were found to be in error (13 of 20). In all cases the response reported to AFCARS was "no." In 10 cases the AFCARS data for elements 35 – 37 (is the child receiving a monthly subsidy, the amount of the subsidy, and if it is title IV-E assistance) were reported correctly indicating the child is receiving a subsidy.

31. Relationship to Adoptive Parent -Foster Parent

There were 20 errors and in each case the reviewer noted the child was adopted by his/her foster parents. In the majority of these cases, the child was adopted by a person who was not related to them.

AFCARS Assessment Review Case File Findings: Foster Care Data Elements
State: Connecticut

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)	50	11	1	2	Reviewers found a later date than what was reported to AFCARS in five cases. In one instance, the date found by the reviewer was prior to the date reported to AFCARS. In one case, the date reported for this element was after the child's 18th birthday and the child was not eligible for title IV-E funds. In one case, the child had been in foster care for four months and a date was reported to AFCARS. The reviewer did not find that a periodic review had occurred on the date reported. There were two additional cases with a date reported to this element that was prior to the child being in foster care for six months and the reviewers did not find that a periodic review had occurred. In one case, the date reported was the date of the family case meeting and not an administrative case review or a court review. Additionally, the child had been in care for 10 months.
6. Date of Birth	64	0	0	0	
7. Sex 1 = Male 2 = Female	64	0	0	0	
8. Child's Race 0=No 1=Yes a. American Indian or Alaska Native	61	3	0	0	In three cases the reviewers found documentation supporting that the child was multi-racial but only one race was reported. One of the cases marked as an error case actually contained several errors. Asian should have been

AFCARS Assessment Review Case File Findings: Foster Care Data Elements
State: Connecticut

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
b. Asian c. Black or African American d. Native Hawaiian or Other Pacific Islander e. White f. Unable to Determine					marked as yes as well as white. Native Hawaiian or other Pacific Islander should have been no (this is the only race that was reported).
9. Child's Hispanic or Latino Ethnicity 1 = Yes 2 = No 3 = Unable to Determine	61	3	0	0	In two error cases, the response should have been "no" instead of "unable to determine." In one error case, the response should have been "yes" instead of "no."
10. Has the Child Been Clinically Diagnosed with a Disability(ies)? 1 = Yes 2 = No 3 = Not Yet Determined	35	29	0	0	In 12 error cases, the response should have been "no" instead of "not yet determined." In six error cases, the response should have been "yes" instead of "not yet determined." In eight error cases, the response should have been "yes" instead of "no." There were two records in the sample with a response of "4-invalid value." The reviewers found in both cases the response should have been "yes." In one error case, the response should have been "no" instead of "yes." The condition identified was not one that is to be reported to AFCARS.
11. Mental Retardation 0 = Condition Does Not Apply 1 = Condition Applies	62	2	0	0	In the error cases, the response should have been "applies" instead of "does not apply."
12. Visually or Hearing Impaired	62	2	0	0	In the error cases, the response should have been "applies" instead of "does not apply."

AFCARS Assessment Review Case File Findings: Foster Care Data Elements
State: Connecticut

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
0 = Condition Does Not Apply 1 = Condition Applies					
13. Physically Disabled (Child) 0 = Condition Does Not Apply 1 = Condition Applies	63	1	0	0	The response should have been "applies" instead of "does not apply."
14. Emotionally Disturbed (DSM-IV) 0 = Condition Does Not Apply 1 = Condition Applies	42	22	0	0	In the error cases, the response should have been "applies" instead of "does not apply."
15. Other Medically Diagnosed Conditions Requiring Special Care 0 = Condition Does Not Apply 1 = Condition Applies	52	12	0	0	In five error cases, the response should have been "applies" instead of "does not apply." In seven error cases, the response should have been "does not apply" instead of "applies."
16. Has this Child Ever Been Adopted? 1 = Yes 2 = No 3 = Unable to Determine	64	0	0	0	
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 5 = Unable to Determine	62	1	0	1	**Note:** Cases that were reported as blank that should have been reported as "not applicable" because the child had not been adopted prior to the current removal episode were not included in the analysis. While the response is incorrect, for the purpose of the case file review the records were included in the column "Data in AFCARS Matches Case File." The response in the error case was reported as "unable to determine" but the child had been previously reported (element #16 was correctly reported as "yes"). The reviewer did figure out the

AFCARS Assessment Review Case File Findings: Foster Care Data Elements
State: Connecticut

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					child's age at the time of the adoption.
18. Date of First Removal from Home	56	8	0	0	There were two records where the actual date of the first removal from home was the day prior to the one reported to AFCARS. There was one case that the reviewer found the actual date of removal for the first episode was four days prior to what was reported in AFCARS. In one error case the first removal was incorrect. In one case, there was a clear history of foster care placements preceding the date reported as the date of the first removal from home. The reviewer found a removal date that was 18 months prior to what was actually reported. (Elements 21 and 24 were also incorrect.) An alternative explanation is that there actually were two removal episodes and that the date reported in element #21 was correct and in this case element #24 would be correct and elements 18, 19, and 20 would have been incorrect. The reviewer did not find any evidence though that there were two removals. In three error cases the date of the first removal from home was incorrect because the child was initially placed in a hospital. The date the agency received care and placement while the child was in the hospital was the date reported for this element (this was the only removal episode for each child so the same error is in element #21.
19. Total Number of Removals from Home To Date	63	1	0	0	In the error case the child only had one removal episode and not two as reported. The child was placed back home while the agency maintained responsibility for placement and care then was placed back in foster care. This was reported as a

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					discharge and a new removal episode (affected elements 19, 20, 21, 23, 24, 56, and 58).
20. Date Child was Discharged from Last Foster Care Episode	59	5	0	0	In two error cases, the reviewer found a later discharge date than the one reported to AFCARS. In one error case, the reviewer found an earlier date than the one reported to AFCARS. In one error case a date was reported but the child only had one removal episode. In one error case the child was placed back home while the agency maintained responsibility for placement and care (same case as in #19). This was reported as a discharge. The date reported for this element was also reported in element #56. The child was placed back in foster care.
21. Date of Latest Removal from Home	53	10	1	0	In one error case the date reported was incorrect and should have been later than what was reported. There were two records (same as for #18) where the actual date of the first removal from home was the day prior to the one reported to AFCARS. There was one case (same as in #18) that the reviewer found the actual date of removal for the first episode was four days prior to what was reported in AFCARS. In three error cases the date of the first removal from home was incorrect because the child was initially placed in a hospital. The date the agency received care and placement while the child was in the hospital was the date reported for this element (this was the only removal episode for each child so

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					the same error is in element #18. In one case (same as in #18) there was a clear history of foster care placements preceding the date reported as the date of the first removal from home. The reviewer found a removal date that was 18 months prior to what was actually reported. As noted for element #19, one error case is due to the child returning from a "trial home visit" but the child always had responsibility for placement and care of the child. Also, the date reported in elements # 56 (which was the same date in #20) was a date before the one reported for element #21. Note that a discharge date cannot precede a removal date.
23. Date of Placement in Current Foster Care Setting	39	16	7	2	In three error cases, the child had only one placement and the date of placement was the same as the removal date, which was incorrect. The date reported in element #21 was an earlier date. In one error case the child was placed back home while the agency maintained responsibility for placement and care and returned to the same foster home (same case noted in #19). The date of placement should have reverted back to the start date of that foster home placement. There were several errors (8) that appear to be due to a status change in the home and not because the child actually was moved to another setting. In one case, the reviewer noted the same placement date that was the date of removal. The date reported in AFCARS was nine months after the removal date. The current setting as of the end of the report period was not runaway or trial home visit and the placement count was correct. Another

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					case also had a correct placement count but the date for placement was different from the removal date. The date reported is the date the foster home became a pre-adoptive home. In two cases the date reported for this element was the same date reported for the TPR dates. There was no placement move. In one error case, the date reported for this element was the date the child went to a respite placement.
24. Number of Previous Placement Settings During this Removal Episode	38	18	6	2	In nine error cases the reviewers found fewer placement moves than what was reported to AFCARS. Most of these related to a change in status being counted as a placement move. In eight error cases, the reviewers found more placements than what was reported to AFCARS. In one case (as noted in element #18) the reviewer found a removal date that was 18 months prior to what was actually reported. This meant there were more placements than what was reported in AFCARS. In another case, the child was placed back home while the agency maintained responsibility for placement and care and then was placed back in foster care (see element #19). The count of placements was incorrect because this case was reported as having a new removal episode so the prior placements were not included in the count. In one error case this element was reported as 00 but the child was not on runaway as the only placement. (See case note in element #23.)
25. Manner of Removal from Home for Current Removal Episode	62	2	0	0	In one error case the response should have been “court ordered” instead of the field being blank.

AFCARS Assessment Review Case File Findings: Foster Care Data Elements
State: Connecticut

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
1 = Voluntary 2 = Court Ordered 3 = Not Yet Determined					In one error case the response should have been "voluntary" instead of "court ordered."
26. Physical Abuse (alleged/reported)	61	3	0	0	In two error cases, the response should have been "applies" instead of "does not apply." In one error case, the response should have been "does not apply" instead of "applies."
27. Sexual Abuse (alleged/reported)	63	1	0	0	In the error case, the response should have been "applies" instead of "does not apply."
28. Neglect (alleged/reported)	53	9	0	0	In the error cases, the response should have been "applies" instead of "does not apply."
29. Alcohol Abuse (parent)	59	5	0	0	In the error cases, the response should have been "applies" instead of "does not apply."
30. Drug Abuse (parent)	58	6	0	0	In the error cases, the response should have been "applies" instead of "does not apply."
31. Alcohol Abuse (child)	62	2	0	0	In the error cases, the response should have been "applies" instead of "does not apply."
32. Drug Abuse (child)	63	1	0	0	In the error case, the response should have been "applies" instead of "does not apply."
33. Child's Disability	61	3	0	0	In two error cases, the response should have been "applies" instead of "does not apply." In one error case, the response should have been "does not apply" instead of "applies."
34. Child's Behavior Problem	61	3	0	0	In two error cases, the response should have been "applies" instead of "does not apply." In one error case, the response should have been "does not apply" instead of "applies."
35. Death of Parent(s)	62	2	0	0	In the error case, the response should have been "applies" instead of "does not apply."
36. Incarceration of Parent(s)	61	3	0	0	In two error cases, the response should have been "applies" instead of "does not apply."

AFCARS Assessment Review Case File Findings: Foster Care Data Elements
State: Connecticut

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 "does not apply" instead of "applies."
37. Caretaker's Inability to Cope Due to Illness or Other Reason	61	3	0	0	In the error case, the response should have been "applies" instead of "does not apply."
38. Abandonment	61	3	0	0	In two error cases, the response should have been "applies" instead of "does not apply." In one error case, the response should have been "does not apply" instead of "applies."
39. Relinquishment	64	0	0	0	
40. Inadequate Housing	62	2	0	0	In the error case, the response 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	57	4	3	0	In one error case the living arrangement was "foster home (relative)" but the AFCARS field was blank. In one error case, the living arrangement was "group home" instead of "institution." In one error case, the living arrangement was "pre-adoptive home" instead of "trial home visit." In one error case, the living arrangement was "non-relative foster home" instead of "foster home, relative."
42. Is Current Placement Setting Outside of the State or Tribal Service Area? 1 = yes 2 = no	61	1	2	0	This element was reported as blank but the reviewer found that the child's placement was with a relative in-State.
43. Most Recent Case Plan Goal 1 = Reunify with Parent(s) or Principal caretaker(s) 2 = Live with Other Relative(s)	49	14	1	0	In two error cases, the reviewer found the goal "live with other relative" instead of "guardianship." In three error cases, the AFCARS field was blank and the child had not been in foster care for 60

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
3 = Adoption 4 = Long-term Foster Care 5 = Emancipation 6 = Guardianship 7 = Case Plan Goal Not Yet Established					days. The response should have been "case plan goal not yet established." In nine error cases, the response should have been "emancipation" instead of long-term foster care.
44. Caretaker Family Structure 1 = Married Couple 2 = Unmarried Couple 3 = Single Female 4 = Single Male 5 = Unable to Determine	46	17	1	1	In one error case, the response should have been "single female" instead of "unable to determine." Note that even though the response reported to this element was "unable to determine," there was a year of birth reported in element #45. In three error cases, the response should have been "married couple" instead of "unable to determine." Note that even though the response reported to this element was "unable to determine," there were years of birth reported in elements #45 and 46 in one of the cases. Also, in one of the cases the child had been previously adopted and the caretakers from whom the child was removed were his adoptive parents. In four error cases, the reviewer found that the family structure was "married couple" instead of "single female." Note that in two of these cases there were birth years reported in element #46. In one error case, the reviewer found that the family structure was "unmarried couple" instead of "single female." In the case marked as "not found," the reviewer did not have a complete file and so was not able to verify the family structure of the individuals from whom the child was removed. However, there were birth years reported in elements #45 and 46.

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					In three error cases, the reviewer found a family structure of "single female" instead of "married couple." In one error case the response should have been "single male" instead of "single female." In one error case this element was reported as blank but the reviewer found a family structure of "married couple." In two error cases, the reviewer found that the family structure was "married couple" instead of "unmarried couple."
45. Year of Birth (1st Principal Caretaker)	61	2	1	0	In one error case the wrong person was reported for this element. In one error case this field was blank but the reviewer had found a date.
46. Year of Birth (2nd Principal Caretaker - if applicable)	47	15	1	1	In three of the records a wrong year was reported. In nine error cases, there was a date reported for this element but element #44 was reported as being either "single female" or "single male." In two error cases this element was blank but the reviewer found that the family structure for element #44 should have been "married couple." One error case had a year of birth of 2004. The reviewer found that this was not correct.
47. Date of Mother's Parental Rights Termination (if applicable)	58	6	0	0	In five of the error case the element was blank but there was an order terminating parental rights on the mother. In one error case the mother was deceased and

AFCARS Assessment Review Case File Findings: Foster Care Data Elements
State: Connecticut

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					this date was not reported.
48. Date of Legal or Putative Father's Parental Rights Termination (if applicable)	62	2	0	0	In the error cases there should have been a date instead of this element being blank.
49. Foster Family Structure 0=Not Applicable 1 = Married Couple 2 = Unmarried Couple 3 = Single Female 4 = Single Male	49	3	12	0	**Note:** Cases that were reported as blank that should have been reported as "not applicable" because the child was in a setting other than a foster home were not included in the analysis. While the response is incorrect, for the purpose of the case file review the records were included in the column "Data in AFCARS Matches Case File." Also, there were several cases in the sample that could not be reviewed for elements #49 – 55 because the review team did not receive the complete file or the provider file. Cases were included in the analysis as some of the information reviewers could verify and the actual data reported to AFCARS was reviewed for consistency. In one error case this element was blank but the reviewer found that the foster parent was single. In another error case the family structure reported was "single female" but the reviewer found that the foster parents were an unmarried couple. In the third error case, this field was blank and the child was living with a relative.
50. Year of Birth (1st Foster Caretaker)	47	3	14	0	One error case is due to the child living with a relative but this field was blank. One error case was reported as blank but the reviewer found a year of birth.
51. Year of Birth (2nd Foster Caretaker)	48	2	14	0	One error case is due to the child living with a relative but this field was blank.

AFCARS Assessment Review Case File Findings: Foster Care Data Elements
State: Connecticut

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					One error case a date was reported but the child was found to be living with a single foster parent.
52. Race of 1st 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	45	5	14	0	In four cases these fields were blank but the child was found to be living in a foster home. The reviewers were able to find the race information for the foster parents. In one error case there was an error in what was reported as a race. The reviewer found that the response should have been "black or African American" instead of "unable to determine."
53. Hispanic or Latino Ethnicity of 1st Foster Caretaker 0 = Not Applicable 1 = Yes 2 = No 3 = Unable to Determine	44	6	14		**Note:** Cases that were reported as blank that should have been reported as "not applicable" because the child was in a setting other than a foster home were not included in the analysis. While the response is incorrect, for the purpose of the case file review the records were included in the column "Data in AFCARS Matches Case File." In two error cases this field was blank but the child was found to be living in a foster home. The reviewers were able to find the ethnicity information for the foster parents. In two error cases, the response should have been "no" instead of "unable to determine." In two error cases, the response should have been "yes" instead of "no."
54. Race of 2nd Foster Caretaker (if applicable) a. American Indian or Alaska Native b. Asian c. Black or African American d. Native Hawaiian or Other Pacific Islander	46	4	14		In two error cases this field was blank but the child was found to be living in a foster home. The reviewers were able to find the ethnicity information for the foster parents. In one error case the response should have been blank based on the reviewer determining the child was living with a single foster parent.

AFCARS Assessment Review Case File Findings: Foster Care Data Elements
State: Connecticut

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
e. White f. Unable to Determine					In one error case there was an error in what was reported as a race. The reviewer found that the response should have been "white" instead of "unable to determine."
55. Hispanic or Latino Ethnicity of 2nd Foster Caretaker (if applicable) 0 = Not Applicable 1 = Yes 2 = No 3 = Unable to Determine	46	4	14		**Note:** Cases that were reported as blank that should have been reported as "not applicable" because the child was in a setting other than a foster home were not included in the analysis. While the response is incorrect, for the purpose of the case file review the records were included in the column "Data in AFCARS Matches Case File." In one error case this field was blank but the child was found to be living in a foster home. The reviewers were able to find the ethnicity information for the foster parents. In two error cases, the response should have been "no" instead of "yes." In one error case, the response should have been "not applicable" instead of "no."
56. Date of Discharge from Foster Care	60	3	0	1	In one error case the child only had one removal episode a date was reported for this case which was the date a placement into the child's home occurred; the agency maintained responsibility for placement and care (same case as in #19). Also, the same date was reported in element #20. These two elements cannot have the same date. Also, the date reported for element #56 was prior to the date reported for the current removal from home (#21). In one error case, this element was blank but the child turned 18 during the report period and was not eligible for title IV-E.

AFCARS Assessment Review Case File Findings: Foster Care Data Elements
State: Connecticut

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					In one error case this element was blank but the child was discharged from foster care.
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	59	4	0	1	**Note:** Cases that were reported as blank that should have been reported as "not applicable" because the child was still in foster care were not included in the analysis. While the response is incorrect, for the purpose of the case file review the records were included in the column "Data in AFCARS Matches Case File." In one error case, the child was discharged from foster care in the report period and a date of discharge was reported (correct) but the reason for discharge was incorrectly reported as "not applicable." (See previous note in element #23.) In one error case, this element was blank but the child turned 18 during the report period and was not eligible for title IV-E. In one error case this element was blank but the child was discharged from foster care with an outcome of reunification.
Source(s) of Federal Financial Support/assistance for Child 0-Does not apply 1-Applies					These elements were not verified during the review as much of the data was not in the file. To the extent that the reviewers did find this information it is noted below. Otherwise, these elements were not included in the final analysis.
59. Title IV-E (Foster Care)					In one case the reviewer found that the response to this element should have been "applies" instead of "does not apply."
60. Title IV-E (Adoption Assistance)					
61. Title IV-A					In one case the reviewer found that the response to this element should have been "applies" instead of "does not apply." The child was living with a relative

AFCARS Assessment Review Case File Findings: Foster Care Data Elements
State: Connecticut

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
					who was receiving title IV-A funds on behalf of the child.
62. Title IV-D (Child Support)					
63. Title XIX (Medicaid)					In four cases the reviewer found that the response to this element should have been “applies” instead of “does not apply.”
64. SSI or Other Social Security Benefits					
65. None of the Above					
66. Amount of Monthly Foster Care Payment					

AFCARS ASSESSMENT REVIEW CASE FILE FINDINGS: Adoption Data Elements
State: Connecticut

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	19	0	0	1	
6. Sex 1=Male 2=Female	20	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	18	1	1	0	In one error case the reviewer found that the child was multi-racial and only one race was reported to AFCARS. The race reported was Black or African American and the reviewer found the child was also white.
8. Child's Hispanic or Latino Ethnicity 1=Yes 2=No 3=Unable to determine	19	0	1	0	
9. Has the title IV-E agency determined that the child has special needs? 1=Yes 2=No	6	13	1	0	The responses should have been "yes" instead of "no." • In 10 of the above error cases, the information reported for element #35 was correctly reported to AFCARS – the child is receiving a monthly subsidy and an amount was reported for element #36. • In one error case, the information in elements 35 – 37 was incorrectly reported based on the reviewer's findings. The child is receiving a title IV-E adoption subsidy.

AFCARS ASSESSMENT REVIEW CASE FILE FINDINGS: Adoption Data Elements
State: Connecticut

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
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	15	1	1	Thirteen of the error cases are those included in element #9. The responses should have been the following instead of "not applicable:" • Two should have been "age." • Two should have been "sibling group." • Two should have been "medical or mental, etc. disability." • One should have been "other." • Additionally, there were four cases the reviewers identified multiple factors but did not identify which was the most significant barrier to the child's adoption. • In two error cases it was not clear what the factor(s) were as the reviewer did not list them. The cases where the reviewers listed the factors: • In two error the response should have been either age or sibling group. • In one the response should have been age, race/ethnic factor, or sibling group. • In one the response should have been either age or other. In one error case, the response should not have been medical/mental disability. The reviewer found that the child was over age 8 and it would have been the primary basis in the case. In one error case the response should have been sibling group instead of medical, etc. In the questionable case, the response reported to AFCARS is medical condition. The reviewer noted the child's special needs as over age 2 with ethnic barriers, and medical conditions.

AFCARS ASSESSMENT REVIEW CASE FILE FINDINGS: Adoption Data Elements
State: Connecticut

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
Elements #11 – 15 0=Does not Apply 1=Yes, applies					
11. Type of Disability-Mental Retardation	16	0	1	3	The three questionable cases were incorrectly reported in elements 9 and 10. Since there were multiple reasons for the special needs in two of the cases, including health/mental health issues, these had to be marked questionable without knowing the primary barrier to the child's adoption was. In the third case the reviewer did not provide enough notes.
12. Type of Disability-Visually or Hearing Impaired	16	0	1	3	
13. Type of Disability-Physically Disabled	15	1	1	3	The response should have been "yes" instead of "does not apply."
14. Type of Disability-Emotionally Disturbed	16	0	1	3	
15. Type of Disability-Other Medically Diagnosed Condition Requiring Special Care	14	2	1	3	In one error case the response should have been "does not apply" instead of "yes." The basis found for element #10 was not medical as reported. In one error case the response should have been "yes" instead of "does not apply."
16. Mother's Year of Birth	19	0	1	0	
17. Father's Year of Birth	15	4	1	0	In two error cases the wrong year was reported. In two error cases a year was reported but the reviewers noted that there was an unknown father. So, this element should be blank.
18. Was the Mother married at the time of the child's birth? 1=Yes	18	1	1	0	The response should have been "no" instead of "yes."

AFCARS ASSESSMENT REVIEW CASE FILE FINDINGS: Adoption Data Elements
State: Connecticut

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
2=No 3-Unable to determine					
19. Date of Mother's Termination of Parental Rights	17	2	1	0	In one error case the TPR date was earlier than the one reported to AFCARS. He date reported was the same date as the father's TPR date. In the other error case, the mother was deceased and this element was left blank instead of having the deceased date.
20. Date of Father's Termination of Parental Rights	17	2	1	0	In the error cases the father was deceased and the deceased date was not reported. In one the element was blank and in the other the mother's TPR date was reported.
21. Date Adoption Legalized	19	0	1	0	
22. Adoptive Parents' Family Structure 1=Married couple 2=Unmarried couple 3=Single female 4=Single male	20	0	0	0	
23. Adoptive Mother's Year of Birth	20	0	0	0	
24. Adoptive Father's Year of Birth	20	0	0	0	
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	20	0	0	0	
26. Adoptive Mother's Hispanic Origin	20	0	0	0	

AFCARS ASSESSMENT REVIEW CASE FILE FINDINGS: Adoption Data Elements
State: Connecticut

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
0=Not Applicable 1=Yes 2=No 3=Unable to determine					
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	20	0	0	0	
28. Adoptive Father's Hispanic Origin 0=Not Applicable 1=Yes 2=No 3=Unable to determine	20	0	0	0	
29. Relationship to Adoptive Parent-Stepparent 0=Does not apply 1=Yes, Applies	20	0	0	0	
30. Relationship to Adoptive Parent - Other Relative 0=Does not apply 1=Yes, Applies	19	1	0	0	The response should have been “yes, applies” instead of “does not apply.”
31. Relationship to Adoptive Parent - Foster Parent 0=Does not apply	0	20	0	0	In all of the cases the child was adopted by individuals who had been the child’s foster parent. In 16 of the cases, the adoptive parents were non-relatives. In four of the cases, the adoptive parents

AFCARS ASSESSMENT REVIEW CASE FILE FINDINGS: Adoption Data Elements
State: Connecticut

Data Element	Data In AFCARS Matches Case File	Data In AFCARS Does Not Match Paper File	Not Found	Questionable	Notes
1=Yes, Applies					are relatives.
32. Relationship to Adoptive Parent - Other Non-relative 0=Does not apply 1=Yes, Applies	19	1	0	0	The response should have been "does not apply" instead of "yes, applies."
33. Child was placed from 1=Within State or Tribal Service Area 2=Another State or Tribal Service Area 3=Another Country	20	0	0	0	
34. Child was placed by 1=Public agency 2=Private agency 3=Tribal Agency 4=Independent person 5=Birth parent	20	0	0	0	
35. Is the Child Receiving a Monthly Subsidy? 1=Yes 2=No	17	2	1	0	The response should have been "yes" instead of "no."
36. Monthly Amount	19	0	1	0	
37. Is the Child receiving a title IV-E adoption subsidy? 1=Yes 2=No	13	6	1	0	The response should have been "yes" instead of "no."

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 have been organized by rating factors, with data elements receiving a "1" listed first. Elements that received a "4" are not included on the corrective action workplans. 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. Additionally, elements that are related are grouped together in one row, since a change in one element will result in a change to the related elements. In the case where both a system problem (factor #2) and a possible worker entry problem (factor #3) exist, the lower rating factor will be given to the data element. If the system error is corrected, but the worker entry problem still exists, the element will be re-evaluated and given a "3" by the Federal Regional Office. In order for the element to be determined to be in compliance, it must meet the criteria in factor #4.

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.

Estimated/Completed Date: This column is to be used by the State to list the 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 ACF has reviewed changes

made by the State, it will list the approval date in this column.

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	Estimated & Completion Date	Notes
#, element	2	1) Finding	1) Task	1) m/day/yr	1) CB, m/yr: This is a blank example. ST, m/yr: The State made the modifications to the program code at line/section number.

Section 1

General Requirements

No.	Requirement	Rating Factor	Findings	Tasks	Date	Notes
Foster Care Reporting Population						
1	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)). 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).	2	Program Code 1) The AFCARS foster care program code selects all children who have an out-of-home placement record (episode table) with a service type code of foster care that is active at any point during the current reporting period. The State did not provide a description of the service codes. 2) Records of children who are under the agency's responsibility for care, placement, or supervision whose only placement as of the end of the report period is a locked facility or a hospital are not excluded from the reporting population. 3) The State is incorrectly including infants/children of minor parents who are in foster care if the infant/child is living with the foster care teen mom/dad. 4) As noted in foster care elements #23, 24, 42, and 41 there are records reported as blank. Based on discussions with the State team it seems that the cause is related to subsidized guardianships and adoptions. These cases are being reported after they are closed and are reported as having this data missing. Since these cases have been discharged	Program Code 1) Submit documentation to decipher the service codes. 2a) Modify the program code to exclude records where the only living arrangement for the current removal episode is a locked facility. 2b) Modify the program code to exclude records where the only living arrangement for the current removal episode is a hospital. 2c) Identify if the sub-acute treatment center associated with Riverview Hospital is classified as a hospital setting. 3) Modify the program code to identify and exclude records of children who are residing with a teenage parent who is in foster care. 4) Modify the program to not select records reported as discharged for an adoption subsidy or guardianship in a prior report period.	Code 1)	

No.	Requirement	Rating Factor	Findings	Tasks	Date	Notes
			from foster care, and only have a payment open and not a foster care placement episode open, the program code should be able to identify these cases and exclude them from the reporting population. See elements #56 and 58 for additional information. 5) The program code is using an intensive and complex set of service codes to determine if the child is in foster care. The system is designed with fields for entering a child who is in the custody of the agency and has been removed from his/her home. It is not clear why the program code is checking for the service codes when it does check for an "out-of-home" record.	5) The State needs to write a new extraction code that better reflects the existing architecture of the system and accurately identifies the records that are to be reported in the foster care reporting population. The transaction dates would still be part of the selection logic and then the program code would use exclude statements to complete the identification of the AFCARS reporting population. AFCARS Technical Bulletin #6, Data Extraction (http://www.acf.hhs.gov/programs/cb/resource/afcars-tb6) provides details on how to extract the AFCARS reporting population for both a regular submission and a subsequent transmission. 6) As changes are made to account for initial placements in a hospital or locked facility (see foster care elements #18 – 21), the State will need to ensure that the changes don't affect the inclusion of the records with only a placement of "runaway."		
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 Elements, Section II—Definitions).	2	Screen The out-of-home placement screen has been modified by adding the field "Same Day Placement." This is a checkbox that caseworkers select if the child's removal is for 24 hours or less than. This same field appears on the discharge pop-up	Screen Suggestion 1) Consider modifying the language on the screen to clearly indicate the field is to be used for **removal** episodes that are 24 hours or less.		

No.	Requirement	Rating Factor	Findings	Tasks	Date	Notes
			window. The State team indicated the field is to be used if the child enters foster care on one day and returns home the next day. Program Code LNs 40030 - 40210 1) The program code has not been updated to check the field that was added to the screen.	Program Code 1) Modify the program code to check for the field that indicates the removal was for 24 hours or less.	Code	
7	[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). 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).	2	Program Code 1) The program code is including youth over age of 18 who are not eligible for title IV-E.	Program Code 1) Modify the program code to exclude youth over the age of 18 who are not eligible for title IV-E foster care payments. 1a) If a young person turns 18 in the report period and is not receiving title IV-E, then the record would be reported as a discharge on the 18th birthday and the next report period this record would not be included in the selection logic. (See foster care elements #56 and 58.) 1b) For youth who are 18 and eligible for title IV-E foster care maintenance payments, the same logic applies but at the time they are no longer eligible.		
Technical Requirements						
12	For Regular Files The data must be extracted from the data system as of the last day of the reporting period (45 CFR 1355.40(b)(1)): For foster care information, 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)).	3	Program Code LNs 40830 - 41060 For many of the data elements, the information is extracted based on its occurrence prior or equal to the end of report period. See the foster care element findings for those that need to have the end of the report period date added to the logic. Post-Site Visit Corrections Corrections were made to some of the elements to ensure the information	The Federal team will continue to monitor the data.		

No.	Requirement	Rating Factor	Findings	Tasks	Date	Notes
	Report the status of all children in foster care as of the last day of the reporting period. 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).		reported is prior or equal to the end of the report period.			
13	For Subsequent Files The data must be extracted from the data system as of the last day of the reporting period (45 CFR 1355.40(b)(1)): For foster care information, 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)). Report the status of all children in foster care as of the last day of the reporting period. (AFCARS Technical Bulletin #6, Data Extraction)	3	Program Code There is some information recorded in the system without dates, for instance the agency's current method of collecting AFCARS elements #11 – 15, diagnosed disabilities. See the notes and findings for these elements for additional information. There are some elements as noted in GR 12 that are not compared against the end of the report period. The program code needs to be modified to ensure that a file that is a subsequent file has the correct report period parameter and is used for selection of the population as well as the elements.	See the NRC-CWDT web site for technical assistance regarding historical information for subsequent files: http://www.nrccwdt.org/2011/12/afcars-data-element-history-for-subsequent-submissions. The Federal Team will continue to monitor the data.		
21	**General Data Quality** 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	3	The State has made progress in the past couple of years to add additional fields to its information system (LINK) in order to have a more comprehensive case management system and one that will be able to report all of the AFCARS data. There still are many issues with the overall accuracy of the AFCARS data.	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. 1a) In the above plan, address the overall integration of the voluntary		

No.	Requirement	Rating Factor	Findings	Tasks	Date	Notes
	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.		These errors range from missing data, defaulted values, and inaccurate data based on mapping or system design. Also, see the document "Case File Summary Report." Some reports are generated to assess the completeness of the data but it does not appear they are being used consistently statewide. It does not appear that the State reviews its AFCARS data on any schedule to determine its completeness or accuracy. While the State appears to have many processes in place for conducting quality assurance, there does not appear to be a process in place for reviewing data (AFCARS or other information) for its accuracy, completeness, timely entry, etc. Nor, is it clear that if there is a process in place, it is conducted throughout the state or on a regular basis. The State needs to make better use of the frequency utility as well as the data quality utility and reports that it can create to determine how accurate the data are by local office as well as statewide. The State needs to incorporate the review of the data as part of its quality assurance and quality improvement processes and assess what the data are indicating in the way of services, etc. <u>Adoption Data</u> Much of the adoption data reported to AFCARS is re-entered into LINK on the	agencies' data, as it relates to AFCARS 2) 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. 3) Describe how the agency will monitor the accuracy of AFCARS data, including completeness of the data and timely entry of the data, over time. 4) 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). There are specific training needs the State will need to address. Refer to the Element Findings Matrices and address training to improve the completeness and accuracy of the data elements.		

No.	Requirement	Rating Factor	Findings	Tasks	Date	Notes
			Adoption Decree screen instead of being pre-populated from existing information in other source screens of LINK. This is contributing to missing data in the State's adoption file as well as possible incorrect data that may not match what is in the foster care case.			

Section 2

Foster Care and Adoption Elements

Data Element	Rating Factor	Findings	Task	Date	Notes
5. Date of Most Recent Periodic Review (if applicable)	3	Data Quality *Frequency Report*[1] *(n=5,555):* There are old periodic review dates going back to 2002. A total of 102 had a review date between 2002 and 2010 (1.8%). 2011 = 2,870 (51.7%); 2012 = 2,088 (37.6%). *Case File Review Findings*: 11 (22%) of the records analyzed did not match what was reported in AFCARS. There were several errors where the information reported to AFCARS was not supported by what the reviewers found in the case file. There were several incorrect dates. Additionally, there were dates reported to AFCARS that is not a periodic review as defined in section 422(b)(8)(ii) and 475(5)(B) of the Social Security Act (SSA).	The State needs to identify the records with the old periodic review dates and determine why they are still being reported. Check if these are the cases of the youth over the age of 18.		
6. Date of Birth	3	Data Quality *Frequency Report (n=5,555):* There are birth years that go back to 1975. There are 688 records (5.9%) with a year of birth of 1993 or earlier. See findings and tasks in General Requirements (GR) #7 and foster care (FC) elements #56 and 58).	Data Quality 1) CB will monitor this data for improvements.		
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	2	Screen: Person management>Basic tab 1) The option "unknown" is not the NYTD value for this element. It used mainly at intake because this field is mandatory when this information is often not known. a) The option Multi-racial is misleading. It appears that this option and a race can be selected based on the State's proposal. If that is the case, there needs to be a system edit to check that a race has also been selected. Or,	Screen 1) Implement the proposed modifications to the screen. See notes to left. a) *Multi-Racial*. See note to left.	Screen 1)	Screen 1)

[1] The 2012A Regular file was used for the frequency report

Data Element	Rating Factor	Findings	Task	Date	Notes
		add a popup message. If there is space on the screen, another option would be language similar to "Multi-racial/other race(s) not known." b) The proposed popup message for the use of abandoned indicates that this option should only be used if the child is very young or disabled and there is no person available to identify the child's race; also used if *parent, relative or guardian is unwilling to identify child's race.* There is an issue with this message. The second part of the message has to do with a person declining to provide the information which is a separate option on the screen. c) Under the State's Safe Haven Program, the parent may or may not be identified and the agency may not have information such as race for the infant. In these circumstances, there is not an option on the list of races (either existing or proposed) to reflect that the race of the child is not known. An option needs to be specific to this circumstance so as not to be used for other reasons. The option "abandoned" noted above reflects that the agency would be actively finding the parents and/or relatives and may obtain more details about the child. There is a field on the Basic Tab of the Person Management Screen to indicate if the child is a Safe Haven Baby. 3) The intake staff are to use Declined/ Not Disclosed to accommodate when race is not provided by the reporter. An edit will require the investigation worker to confirm the race information.	b) Abandoned. Implement the popup message if "abandoned" is selected. See note to left and remove the phrase marked by italics. c) Either add another option "Safe Haven" or link the checkbox to this element. d) Declined/Not Disclosed. 3) Implement the message "An active participant has a race of Abandoned or Declined/Not Disclosed. Click Yes to modify the race or click No to continue Approval." Yes will take the caseworker to the person screen to update the information. 4) Modify the screen so that if "*abandoned*" or "declined/not disclosed" are selected then		

Data Element	Rating Factor	Findings	Task	Date	Notes
		Program Code 1) The program code does not check the ethnicity field for those items that are also races. 2) The program code incorrectly maps "multi-racial" to "unable to determine." Data Quality *Frequency Report (n=5,555):* There are 86 (2%) records reported with a response of "unable to determine." There are 15 (.27%) records reported as "unable to determine" and a race. There are 429 (8%) records reported with two or more races. There was one record reported as blank. *Case File Review Findings*: There were three records where the reviewers found documentation supporting the child was multi-racial but all the races were not reported to AFCARS.	none of the other values can be selected. Program Code 1) Modify the program code to check if a selected ethnicity from the ethnicity list. If one is selected and it is one that is listed in the AFCARS definition of race, map accordingly to this element. 2) Map the option "multi-racial" to blank.	Code	
52. Race of 1st Foster Caretaker[2] 54. Race of 2nd 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	2	Screen: Person Management>Basic tab. See finding in element #8. Also, note that the only meaning of the AFCARS administrative value "unable to determine" that is applicable for this element is if the foster parent declines to provide the information. Program Code LNs 144480 – 144890 The race information is translated in a standard internal routine as described in element #8. Data Quality *#52 - Case File Review Findings*: 5 of the	Screen 1) See tasks in element #8. Program Code 1) See tasks in element #8.		

[2] Foster Parent Race and Hispanic information moved here to group all ethnicity elements together.

Data Element	Rating Factor	Findings	Task	Date	Notes
f. Unable to Determine		records analyzed did not match what was reported in AFCARS. *#54 - Case File Review Findings*: 4 of the records analyzed did not match what was reported in AFCARS.			
9. Child's Hispanic or Latino Ethnicity 1 = Yes 2 = No 3 = Unable to Determine	3	Screen: Person management>Basic tab The State does not have options on the screen that would match the AFCARS administrative value "unable to determine." See suggested options listed in element #8. NYTD 2) There is no option for the NYTD value "unknown." If the State implemented "incapacitated" then it would meet the requirements for the NYTD definition of "unknown." Data Quality *Frequency Report (N=5,555):* Yes = 1,820 (32.8%); No = 3,526 (63.5%); Unable to Determine = 209 (3.8%).	Screen Recommendations 1) Add the options: declined, incapacitated, Safe Haven, and abandoned. 2) Implement the NYTD options of declined and plain language for "unknown."		
53. Hispanic or Latino Ethnicity of 1st Foster Caretaker 0 = Not Applicable 1 = Yes 2 = No 3 = Unable to Determine	3	Screen: Person Management>Basic tab. See findings in element #9. Data Quality The program code has been changed to map element #53 to "not applicable" when element #41 is anything other than "1," "2," or "3." *Frequency Report (N=5,555):* Not Applicable = 0; Yes = 666 (12%); No = 2,989 (54%); Unable to determine = 183 (3%); Not reported = 1,717 (31%) *Case File Review Findings*: 6 of the records analyzed did not match what was reported in AFCARS.	Screen Recommendations 1) Add the option declined.		
55. Hispanic or Latino Ethnicity of 2nd Foster	2	Screen: Person Management>Basic tab. See findings in element #9.	Screen Recommendations 1) Add the option declined.		

Data Element	Rating Factor	Findings	Task	Date	Notes
Caretaker (if applicable) 0 = Not Applicable 1 = Yes 2 = No 3 = Unable to Determine		Program Code LNs 146390 - 146990 If the foster family structure is either single male or single female, this element is incorrectly left blank instead of being set to "not applicable." Data Quality *Frequency Report (N=5,555):* Not Applicable = 0; Yes = 417 (8%); No = 1,985 (36%); Unable to determine = 83 (2%); Not reported = 3,070 (55%) *Case File Review Findings*: 4 of the records analyzed did not match what was reported in AFCARS.	Program Code 1) Modify the program code to set this element to "not applicable" when the foster parent is single.		
10. Has the Child Been Clinically Diagnosed with a Disability(ies)? 1 = Yes 2 = No 3 = Not Yet Determined	2	Screen 1) There are two locations that diagnosed conditions are entered into the system; the Medical/General Medical tab and the Behavioral Health Information screens. These screens are not linked. The Behavioral Health section is more comprehensive. Program Code Para. 24000, 24100 1) There is a value "4" in the program code. It is set to "4" but there is not a value of "4" in AFCARS.	Screen 1) The question field currently used for reporting this element needs to be maintained and linked to whether information is entered into the Behavioral Health Screen. (The State's planned approach.) 1a) [Link] the Behavioral Health Profile to the Medical Profile. If a worker selects "Yes" to a clinically diagnosed condition, require them to enter the diagnosis and date in the Behavioral Health Profile or do not allow them to select "Yes" unless they complete the Behavioral Health screen. > When "Yes" is selected there needs to be a diagnosis and date of onset. > When "No" is selected, the Behavioral Health Profile should indicate that there was no diagnosis given. Program Code 1) Modify the code by commenting/removing the check for a value of "4" or map it to space.	Screen 1) Code	Screen Program Code

Data Element	Rating Factor	Findings	Task	Date	Notes
		2) The program code does not check for a date of an examination or when the diagnosis was made. 3) The program code has been changed to set this element to "no" if Alcohol abuse [child], Drug abuse [child], or Learning Disability are the only items selected. This is partially correct. Learning disability is a condition that is to be mapped to AFCARS. <u>Data Quality</u> *Frequency Report (N=5,555):* Yes = 1,477 (26.6%); No = 2,424 (43.6%); Not yet determined = 1,444 (26.0%); Not Reported = 93 (1.7%); Invalid values (4) = 117 (2.1%) *Case File Review Findings*: There were 28 records found to have errors (45% of the cases analyzed). In 16 of the cases, the reviewers found the child had been to a health care professional and had a diagnosis that is reported to AFCARS. There were 18 cases reported as "not yet determined." The majority of the children were in foster care for at least a year, two had been in	2) Modify the program code to check the Behavioral Health screen for a condition that meets the AFCARS requirement. 2a) If one is found, set element #10 to "yes." 2b) If a condition is entered that is not to be mapped to AFCARS, set this element to "no." **Note**: this is only an interim solution. The question still needs to be checked, but this is a method that may pick up more values. Also, "not yet determined" still needs to be reported if the child has not been to a health care provider or the worker has not received the report. 2c) Check for the diagnosed dates (start and end) and whether any condition is active as of the end of the report period. 3) Modify the program code to include a diagnosis of "learning disability." <u>Data Quality</u> The Children's Bureau will monitor the data for improvement.		

Data Element	Rating Factor	Findings	Task	Date	Notes
		care for three years and another for seven years. In 12 of these cases the reviewers noted the child had been seen by a health care professional and either had no diagnosed conditions or one that is not mapped to AFCARS.			
#11 Mental Retardation #12 Visually/Hearing Impaired #13 Physically Disabled #14 Emotionally Disturbed #15 Other Diagnosed Condition [0 = Does not apply] 1 = Applies	2	Screen: Medical>General Medical tab 1) There are options listed with a check box with the instruction "Select all disabilities that have been clinically diagnosed." On the Diagnosis tab there is a summary section that contains fields for the DSM Axis. There is not a date field associated with each diagnosis. Program Code 1) The program code checks the fields on the General Medical tab and not the screens with more comprehensive information. 2) The program code maps "behavior problem" to element #14. Since this is a broad term it should not be mapped to AFCARS. 3) The program code no longer includes "learning disability." Data Quality These elements are under-reported.	Screen 1) Disable the fields on the General Medical tab. 1a) Instruct workers to enter the diagnosed conditions on the Behavioral Health Screen. 1b) Add fields for the start and end date of a diagnosis. Program Code 1) Modify the program code to check for diagnosed conditions entered on the Behavioral Health screen. See AFCARS Technical Bulletin #14 for some diagnosed conditions and the appropriate AFCARS mapping (http://www.acf.hhs.gov/programs/cb/systems/specneeds.htm). This is not an exhaustive list of diagnoses but is intended to provide examples of diagnoses and how they are to be mapped to AFCARS values. 2) Remove the mapping of "behavior problem." 3) Map learning disability to element #15. Data Quality 1) CB will monitor the AFCARS files for improved data.		
16. Has this Child Ever	2	Screen: Person management>More	Screen	Screen	Screen

Data Element	Rating Factor	Findings	Task	Date	Notes
Been Adopted? 1 = Yes 2 = No 3 = Unable to Determine		1) This field will default to "no" if the caseworker does not select an option. State's proposed popup message: The age the child was adopted has not been entered. Do you wish to enter an age? A "yes" will allow the worker to enter the age for the adopted child. A "no" will allow the worker to leave the field blank by pressing OK. For responses "no" and "unable to determine" the age field will be disabled (grayed out). 2) The State uses the AFCARS administrative option "unable to determine." There is not a specific option for "incapacitated," "abandoned," or Safe Haven. <u>Program Code Para. 26000, 26200, 26210</u> 1) The program logic does not specifically map the entry on the screen for the field "Has child ever been adopted (public or private)?" directly to this element. 1a) The program code checks for the child's earliest case participant record where there is an adoption code of "yes" and an age at adoption greater than or equal to +1. The logic checks if the creation timestamp of the participant record is prior or equal to the end of the report period. 1b) If the response to this element is "no" the program code continues checking and will look at the court disposition findings for an adoption. If one is found, it will select the latest effective date from the court disposition table. (Note that	1) State's planned revisions: a) Initialize the screen field to blank. The field will remain blank if the worker does not enter a response. b) Add an edit to the screen so that if the answer to the question is "yes," then the age field will be required. c) Add popup message (see notes to left). 2) The State should consider replacing the AFCARS administrative value "unable to determine" with more accurate language that represents why the worker does not have this information. For instance, adding the options "Safe Haven" and "incapacitated parent" as separate options. There is a field on the person screen to identify a Safe Haven Infant. <u>Program Code</u> 1) Modify the program code only check the field on the screen Person management/More Participant Info tab and map the response that was entered on the screen. If no response has been entered for the field, set this element to blank. 1a) The State needs to explain why the report period is used instead of the date of the child's current removal episode. 1b) The State needs to clarify what it intended as a correction with this step.	1) <u>Code</u> 1)	<u>Program Code</u>

Data Element	Rating Factor	Findings	Task	Date	Notes
		the programmer notes state this was a check for the earliest rather than the latest effective date.) The code also checks for the latest person number and that the date is prior or equal to the report period end date. Presumably, the date checked here identifies this as a current adoption and not a previous one as the code then sets this element to "no." 2) There is no logic to set this element to the AFCARS value "unable to determine." Data Quality *Frequency Report (N=5,555):* Yes = 295 (5.3%); No = 5,260 (94.7%); Unable to determine = 0	2) Map the existing value on the screen "unable to determine" to AFCARS. 2a) If the State modifies the options, modify the program code accordingly.		
17. If Yes, How Old Was 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 5 = Unable to Determine	2	Screen: Person management>More Participant Info tab The State indicated in its notes that when "No" is selected on the screen for the question regarding a child's previous adoption, the age field will not be required and will be disabled. Program Code Para. 26000: Para. 26200, If an age is not found, the program code continues to check for a court disposition record to determine if the child was previously adopted. The effective date is not null and not greater than the report period end date and the create timestamp is the most recent (max) for those court disposition records with the previously specified selection criteria. If no record is found the program code resets the value of element #16 to "no" and sets the age at adoption field to "-1" to indicate no age is available. This would then negate information entered by the caseworker. If a record is found, the program code uses the effective date of the adoption and the child's date of birth to calculate the age at adoption.	Program Code 1) The program code needs to be modified to only check the field on the screen Person management/More Participant Info tab. Map the response on the screen. If no response has been entered for the question or the age, map this element to blank. If an age has been entered, then map it to the appropriate age category. If the response to the question is the equivalent language for the child being abandoned, parents are incapacitated, or for Safe Haven, then this element is to be set to the AFCARS value "unable to determine."		

Data Element	Rating Factor	Findings	Task	Date	Notes
		After this routine is executed the value returned is tested and if it is less than "+0" (a "-1" will indicate failure to calculate a positive age), the value of element #16 is set to "no" and the age is left at "-1." A "+1" element #16 is set to "yes." It is not clear why element #16 is reset only for an age value of "+1" and not for any other positive value. Data Quality *Frequency Report (N=5,555):* Not applicable = 5,260 (94.7%); Age groups = 149 (2.7%); Unable to determine = 146 (2.6%) There are children who have a response of "yes" for element #16, but "unable to determine" for this element. *Case File Review Findings*: The response in the error case was reported as "unable to determine" but the child had been previously reported (element #16 was correctly reported as "yes"). The reviewer did figure out the child's age at the time of the adoption.			
21. Date of Latest Removal from Home[3]	2	Program Code LNs 102320 – 104680 1) There is no logic in the program code to account for an initial placement in a hospital or locked facility. (If the child's only placement was a hospital or a locked facility, this episode date is never to be selected as the current removal date. See GR #1.)	Program Code 1a) Modify the program code to check if the child's first placement was a detention facility and the child subsequently entered a foster care setting within the scope of title IV-E. If this is the case, modify the program code to report the date of the foster care placement as the removal from home date. 1b) Modify the program code to check if the child's first placement was a hospital and the child subsequently entered a foster care setting within the scope of title IV-E. If this is the case, modify the program code to report		

[3] The order of the elements related to removal was modified to represent information entered for a new case and then the removal history information for a child.

Data Element	Rating Factor	Findings	Task	Date	Notes
		2) The agency implemented a checkbox for the purpose of identifying same day or 24 hour or less removal episodes. However, there is no logic in the extraction code to check this field. It is not clear that if the logic to only include those removals flagged as "yes" will exclude these removal episodes. 3) Based on how the existing extraction code is written, cases that begin with a child on a runaway status will be correctly reported. Data Quality *Frequency Report:* There are 129 records missing a date of removal from home. There are two records that indicate the child has been in foster care for 19/20 years. *Case File Review Findings*: There were 10 records found to have errors (16% of the cases analyzed). See the summary and detailed case file review documents.	the date of the foster care placement as the removal from home date. 2) Clarify how (if) removal episodes that are 24 hours or less are identified. 3) As changes are made to the program code, the State needs to make sure these records continue to be reported correctly for the first date of removal, if applicable. Data Quality As corrections are made some/all of these errors should be resolved. CB will monitor data for accuracy.		
18. Date of First Removal From Home	2	Screen: Legal Activity and Out-of-Home Placement There does not appear to be a single screen that displays the child's entire removal history. Program Code 1) There is no logic in the program code identifying the first removal from home to account for an initial placement in a hospital or locked facility. (If the child's only placement was a hospital or a locked facility, this episode date is never to be selected as the current removal date. See GR #1.)	Program Code 1a) Modify the logic identifying the first removal from home to check if the child's first placement was a detention facility and the child subsequently entered a foster care setting within the scope of title IV-E. If this is the case, modify the program code to report the date of the foster care placement as the first removal from home date. 1b) Modify the logic identifying the first removal from home to check if the child's first placement was a hospital and the child subsequently entered a foster care setting		

Data Element	Rating Factor	Findings	Task	Date	Notes
		2) The agency implemented a checkbox for the purpose of identifying same day or 24 hour or less removal episodes. However, there is no logic in the extraction code to check this field. It is not clear that if the logic to only include those removals flagged as "yes" will exclude these removal episodes. 3) Based on how the existing extraction code is written, cases that begin with a child on a runaway status will be correctly reported. <u>Data Quality</u> *Frequency Report (N=5,555):* There were 129 records missing a date of first removal from home. There are 3 records indicating the date of first removal from home was 19/20 years ago. *Case File Review Findings*: There were 8 records found to have errors (13% of the cases analyzed). See the case file review summary and detailed findings documents. Also, see GR22 as some errors are likely linked to conversion.	within the scope of title IV-E. If this is the case, modify the program code to report the date of the foster care placement as the first removal from home date. 2) Reference task 2 in element #21 if there needs to be a correction. 3) As changes are made to the program code, the State needs to make sure these records continue to be reported correctly for the first date of removal, if applicable. <u>Data Quality</u> As corrections are made some/all of these errors should be resolved. CB will monitor data for accuracy.		
19. Total Number of Removals From Home to Date	2	<u>Program Code Para. 25100 & 25110</u> 1) There is a discrepancy between the data in this element and for element #20. Based on the frequency for this element there are 4,333 records reflecting a single removal episode. However, element #20 indicates there are 4,463 records reported as blank, i.e., the child has only one removal episode.	<u>Program Code</u> 1a) Identify records with a removal count of zero. 1b) Identify the records that have an inconsistency between elements #19 and 20. 1c) Based on results of 1a and 1b, make changes accordingly to the program code. Or, clean up the files. Notify the Federal team of the identified issue(s).		

Data Element	Rating Factor	Findings	Task	Date	Notes
		2) The program code does not appear to account for prior removals that were less than 24 hours. See the notes for element #18 & 21. 3) The program code is incorrectly including in the removal count instances where the child's only living arrangement is a hospital or detention (locked facility) at the time the title IV-B/IV-E agency obtains responsibility for placement and care. <u>Data Quality</u> *Frequency Report (N=5,555):* 0 = 129 (2.3%); 1 = 4,333 (78.0%); 2 = 888 (16.0%); 3 = 181 (3.3%); 4 = 21 (.4%); 5 = 3 (.05%). Note that there cannot be records with zero removals. *Case File Review Findings*: See the notes in the Summary Report as there were errors across elements 18 through 21 for certain cases.	2) Modify the program code to exclude all removal episodes that were for 24 hours or less. 3) Modify the program code to exclude records from the number of removal episodes where the only placement in the episode is a locked facility or a hospital.		
20. Date Child Was Discharged from Last Foster Care Episode	2	<u>Program Code Para. 25200</u> 1) The program checks if the removal counter has less than two removal episodes. If there are two or more episodes, the program code selects the most recent court disposition record for the child that is prior or equal to the most recent removal date. If a court disposition date is not found, the program reads the child's episode table entries for the most recent placement discharge and the date is less than or equal to the most recent removal. 2) The approach used by the State will incorrectly report the end date of a removal episode in which the child's only placement was a hospital or a locked facility. 3) See the case file findings as there are issues that should not be occurring.	<u>Program Code</u> 1) See element #19, task 1. 2) Modify the program code to exclude removal episodes in which the only placement was a hospital or locked facility. 3) See the errors identified in the case file review summary report. Make modifications accordingly.		

Data Element	Rating Factor	Findings	Task	Date	Notes
		4) The program code does not appear to account for prior removals that were less than 24 hours. See notes regarding the program code in element #18. Data Quality *Frequency Report:* See the note above for element #19. *Case File Review Findings*: There were 5 records found to have errors (8% of the cases analyzed). See the summary and detailed findings documents for the case file review.	4) Modify the program code to exclude all removal episodes that were for 24 hours or less.		
41. Current Placement Setting[4] 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	2	Screen: Out of Home Placement>Service tab 1) This screen has three fields related to placement location and type: Service Category, Service Type, and Placement Setting. Each field is dependent on the one preceding it. 2) The Placement Setting field includes the option "unknown." (See frequency report as there were 244 records missing a placement setting.) Program Code Para. 25310 1) The placement setting "Specialized Residential Facility" is mapped to institution. The State is not reporting group homes or institutions based on the number of beds. But the system does have the number of beds for each facility and so this can be used to determine whether a facility should be reported as a group home or institution. 2) The program code does not differentiate between hospital stays that are short term (acute stay) versus a longer period of time. Consequently, all hospital placements are included if entered into the system as a	Screen 1) Provide the relational table for these fields. 2) Remove the value of "unknown" as an option for this element. Program Code 1) Verify that these settings have more than 12 beds. If there are some that are 12 beds or less, they are to be mapped to group home. 1a) The State team needs to provide the Federal team with information on the sub-acute step-down residential treatment center associated with Riverview. 2) Modify the program code to check the date the hospital stay begins and ends for this element. 2a) If a hospitalization is 15 days or less,		

[4] The order of the elements of placements was altered to reflect first the location then the date and number of placements.

Data Element	Rating Factor	Findings	Task	Date	Notes
		placement. The State team indicated the agency will likely define a short-term (acute care) length of stay in a hospital as 15 days. 3) The program code was modified by adding several service codes. There are now 130 values included. 4) Based on discussions with the State, there is an issue related to subsidized guardianships and adoptions. These cases are being reported after they are closed, or are closed during the report period. Cases that closed during the report period (i.e., were discharged from foster care) should have the child's last placement. Since these cases have been discharged from foster care, and only have a payment open and not a foster care or placement episode open, then the program code should be able to identify these cases and exclude the initially from the reporting population. <u>Data Quality</u> 1) Based on the case file findings there is a possibility that relative placements are not being entered into the system. *Frequency Report (N=5,555):* Pre-Adoptive Home = 591 (10.6%); Foster Family Home (Relative) = 1,125 (20.3%); Foster Family Home (Non-Relative) = 2,144 (28.6%); Group Home = 553 (10.0%); Institution = 769 (13.8%); Supervised Independent Living = 139 (2.5%); Runaway = 0; Trial Home Visit = 1 (0.02%); Not	ignore the placement. 2b) If a hospitalization is more than 15 days, include it as a placement setting. 2c) See additional notes in elements 23 and 24 as to when a location should be considered a placement for this element as well. 3) The State needs to provide the information on each of these service codes. 4) See GR1 and elements #56 and 58 regarding corrections for subsidized guardianships and adoptions. <u>Data Quality</u> 1) Monitor the data to ensure all information related to relative placements is being entered. Supervisors should be checking this information. 2) The State needs to investigate why there was only one record reported as a child being on "trial home visit."		

Data Element	Rating Factor	Findings	Task	Date	Notes
		Reported = 233 (4.2%). *Case File Review Findings*: 4 (6%) of the records analyzed did not match what was reported in AFCARS. There were two cases of children living with a relative that this information was found in error.			
23. Date of Placement in Current Foster Care Setting	2	Screen: Out of Home Placement>Service tab. There does not appear to be a specified screen in the system that displays the placement history. Program Code Para. 25300, 25310, 25320 1) Given the State's approach, it appears there are no exclusions made to placements other than whether it has a foster care service code. It appears to also include a change in status of the placement (from a foster home to a pre-adoptive home, etc.). Exceptions • Respite stays • Hospitalization for a short period of time (acute stay). • Child goes to a day or summer camp. • The child has visit with a sibling, relative, or other caretaker (i.e., pre-placement visits with a subsequent foster care provider or pre-adoptive parents). • If the child moves from one cottage to another that is on the same campus. 2) If a child returns to the same foster care setting after having run away or was home for a "trial home visit," then the date should revert back to the original date the child entered that foster care setting. 3) As noted by the frequency report there are records reported as blank.	Screen Recommendation For purposes of being able to readily identify where a child is located in the event of a disaster or emergency, any staff person should be able to go to one location to find where the child is located. Talk with the State's System's Analyst in the CB Division of State Systems. Program Code 1) Modify the program code to not report a change in status of the foster care setting. 1a) Modify the program code to account for the exceptions noted in the findings column. 1b) Modify the program code to include hospital stays that are for more than 15 days as a new placement date. 2) Modify the program code to report the date of a runaway or "trial home visit" if this is the location as of the end of the report period. If the child returns to the same setting he/she was in prior to the runaway or trial home visit, then report the date that setting began.		

Data Element	Rating Factor	Findings	Task	Date	Notes
		Data Quality *Frequency Report (N=5,555):* Not Reported = 231 (4.2%); Reported = 5,324 (95.8%) *Case File Review Findings*: There were 16 records found to have errors (25% of the cases analyzed). In one error case this element plus elements 24, 41, 42, and 43 were incorrect. Elements #23, 41, and 42 were reported as blank and element #24 as 00. See the case file review summary report for additional details.	3) Modify the program code as needed based on findings/tasks for element #41.		
24. Number of Previous Placement Settings During This Removal Episode?	2	Program Code Para. 25330 & 25300 1) As noted in elements #41 and 24 there are locations that are not to be included in the placement count. The number of placement settings reported for this element are not to include: • Visitation with a sibling, relative, or other caretaker (i.e., pre-placement visits with a subsequent foster care provider or pre-adoptive parents) • Hospitalization for medical treatment, acute psychiatric episodes or diagnosis • Respite care • Day or summer camps • Trial home visits • Runaway episodes • The placement count must not include the return to the same foster care placement setting from a "trial home visit" • The placement count must not include return from runaway status and entry to the same placement setting • 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 if the site is at a different address. If a child's only "placement" in the removal	Program Code 1) Modify the program code as needed to ensure that the items to the left are not included in the placement count. 1b) If the only placement as of the end of the report period is "runaway," then this element is to be reported as zero. Otherwise, there should be at least one placement reported. 1c) Modify the program code to exclude from the number of placements hospital stays that are 15 days or less. 1d) Modify the program code to count hospital stays that are for more than 15 days.		

Data Element	Rating Factor	Findings	Task	Date	Notes
		episode is as a "runaway," the placement count must be zero. 2) The program code was modified by counting distinct provider identification numbers rather than business identification numbers. It is not clear what impact this has on the routine. Data Quality *Frequency Report (N=5,555):* 0 = 231 (4.2%); 1-21 = 5,324 (95.8%) See the notes in element #23 regarding the records missing information. *Case File Review Findings*: There were 18 records found to have errors (32% of the cases analyzed).	2) Clarify the reason for this change. 3) Based on other findings for element #41, modify this element accordingly.		
25. Manner of Removal from Home for Current Removal Episode 1 = Voluntary 2 = Court Ordered 3 = Not Yet Determined	2	Program Code Para. 25150, 25151 1) It is not clear if the screen value "90-Day Vol Plcmt Agrmnt" is being included in the mapping. The data dictionary indicates it is a "4" and there is no check for this value in the extraction code. 2) There was an error case in the case file review reported as court ordered instead of voluntary. Data Quality *Frequency Report (N=5,555):* Voluntary = 226 (4.1%); Court Ordered = 5,127 (92.3%); Not Yet Determined = 0; Not Reported = 202 (3.6%). *Case File Review Findings*: There were 2 records found to have errors.	Program Code 1) Clarify if "90-Day Vol Plcmt Agrmnt" is being included in the mapping. 2) Verify that the program code will continue to correctly report "voluntary" when the child enters foster care and the manner of removal is a voluntary placement agreement and the agency subsequently obtains a court order.		
Actions or Conditions Associated With Child's Removal #26 Physical Abuse #27 Sexual Abuse	3	Data Quality *Frequency Report:* There were 129 records missing this information in all of the elements. *Case File Review Findings*: There were several errors across all of these elements. In eighteen cases there was only one item identified and reported to AFCARS as "applies."	Ensure that caseworkers/supervisors know that infants exposed in utero to drugs are to be entered as child drug abuse. Infants with Fetal Alcohol Syndrome are to be recorded as Child Alcohol abuse. The State may want to add these, and other		

Data Element	Rating Factor	Findings	Task	Date	Notes
#28 Neglect #29 Parent Alcohol Abuse #30 Parent Drug Abuse #31 Child Alcohol Abuse #32 Child Drug Abuse #33 Child Disability #34 Child's Behavior Problem #35 Death of Parent #36 Incarceration of Parent #37 Caretaker Inability to Cope Due to Illness or Other Reasons #38 Abandonment #39 Relinquishment #40 Inadequate Housing 0-Does not Apply 1-Applies		However, in eight of these cases the reviewers found between one and five additional reasons that applied and contributed to the reason associated with the child's removal from home. In 24 records there were two reasons reported, but the reviewers found between two and three additional reasons in nine records. See the Case File Findings document for additional details. <u>Screen:</u> Out of Home Placement>Service tab/Options>Removal from Home Reasons There are check boxes for all of the AFCARS removal reasons except "child's disability." Instead, child disability is in another section of this screen – Clinically Diagnosed Disabilities Contributing to Removal (check all that apply): mental retardation, visually impaired, hearing impaired, other medical, physically disabled, and emotionally disturbed. In the case file review 3 (5%) of the records analyzed did not match what was reported in AFCARS. Also, the frequency for the number of records reported as "applies" appears high for this element – 824 records (15%). Two of the three errors found in the case file review indicated this was not a contributing factor for the child's removal from home. 39. Relinquishment There is a field on the Basic Tab of the Person Management Screen to indicate if the child is a Safe Haven Baby.	reasons, to the list of conditions that are associated with a child's removal from home. Child disability: the agency needs to ensure workers do not check this when a child does have one of these conditions but it is not a reason for why they removed the child from home. For AFCARS reporting purposes, if an infant enters foster care under the Safe Haven Program report "relinquishment" as a circumstance associated with removal. The State can include a footnote to the file that indicates how many records reported as this value applying are Safe Haven infants.		
43. Most Recent Case Plan Goal 1 = Reunify with Parent(s) or Principal caretaker(s) 2 = Live with Other Relative(s)	2	<u>Screen:</u> Child in Placement Case Plan>Permanency Plan tab 1) There is a drop-down menu for Permanency Plan Goal that includes "N/A" (not applicable). 2) As of 10/1/2012 guardianships can be awarded to a non-relative. See the findings	<u>Screen</u> 1) Remove the value of "N/A" from the permanency plan goal. 2) Modify the screen fields to distinguish between a goal of guardianship to a relative from a guardianship to a non-relative.		

Data Element	Rating Factor	Findings	Task	Date	Notes
3 = Adoption 4 = Long Term Foster Care 5 = Emancipation 6 = Guardianship 7 = Case Plan Goal Not Yet Established		document for the State's proposed changes and the Federal team's comments. The goals for guardianship (relative and non-relative) needs to be separated. 2a) The State's goals related to APPLA need to account for whether the youth has a permanent connection to an adult. <u>Program Code Para. 22300, Para. 22320</u> 1) If a goal is not found, the program code was modified to determine the number of days between the end of the report period and the child's date of removal from home. If the number of days is greater than 60, this element is set to blank. Otherwise, this element is set to "case plan goal not yet established." 2) The programmer notes indicate changes that will be made to the code to address the goal of APPLA. The plan is: if there is a goal of APPLA and a permanent connection to an adult, the goal will be set to emancipation, if not then it will be set to long-term foster care. If it finds that there is no permanent connection to an adult but the child's living arrangement is "foster home – relative," then it will map this element to "living with other relatives."	2a) If the case worker selects one of the APPLA options, the system would verify against the IL Transitional Plan that there is a permanent connection to an adult established or not. If one is not identified, then the caseworker would have to resolve the conflict: either enter the information regarding the permanent connection if there is one, or select a more appropriate case plan goal. See the notes under program code for information related to extracting this information. <u>Program Code</u> 1) The requirement is that a goal is to be established within 60 days of the child's removal from home. Modify the code to check from the removal date and not from the end of the report period (date of removal + 59 = not yet established). 2) Make changes to the program as noted.		

Data Element	Rating Factor	Findings	Task	Date	Notes
		Data Quality *Frequency Report (N=5,555):* Reunify with Parent(s) or Principal Caretaker(s) = 1,897 (34.2%); Live With Other Relative(s) = 101 (1.8%); Adoption = 1,401 (25.2%); Long Term Foster Care = 1,471 (26.5%); Emancipation = 0; Guardianship = 383 (6.9%); Not Yet Established = 0; Not Reported = 302 (5.4%). *Case File Review Findings*: 14 (22%) of the records analyzed did not match what was reported in AFCARS.			
44. Caretaker Family Structure 1 = Married Couple 2 = Unmarried Couple 3 = Single Female 4 = Single Male 5 = Unable to Determine	3	Screen: Out of Home Placement>Service tab 1) Under the heading of Removal From Home Information, there is a field for Caretaker Structure. Data Quality *Frequency Report (N=5,555):* Married Couple = 1,033 (18.6%); Unmarried Couple = 1,009 (18.2%); Single Female = 2,753 (49.6%); Single Male = 301 (5.4%); Unable to Determine = 265 (4.8%); Not Reported = 194 (3.5%). *Case File Review Findings*: 17 (27%) of the records analyzed did not match what was reported in AFCARS.	Screen 1) The State needs to provide a screen shot with the drop-down list.		
45. Year of Birth (1st Principal Caretaker) 46. Year of Birth (2nd Principal Caretaker - if applicable)	3	Data Quality *#45 - Frequency Report (N 5,555):* There are 4 years of birth of 2002 or later; not reported = 224 (4.0%). There are 5,096 records reported in element #44 as married couple, unmarried couple, single female, and single male. There are 5,331 records reported for this element with a year of birth. See the errors identified in the case file review for element #44. #46 - *Frequency Report (N 5,555):* There are 29 years of birth of 2002 or later; 1,529 = not reported (27.5%). There are 2,042 records reported in element			

Data Element	Rating Factor	Findings	Task	Date	Notes
		#44 as married couple or unmarried couple. This number should match the total number reported in this element (4,026) with a year of birth. *Case File Review Findings*: 15 (23%) of the records analyzed did not match what was reported in AFCARS. There were several inconsistencies between this element and element 44.			
47. Date of Mother's Parental Rights Termination (if applicable) 48. Date of Legal or Putative Father's Parental Rights Termination (if applicable)	3	Data Quality *#47 - Case File Review Findings*: 6 (9%) of the records analyzed did not match what was reported in AFCARS. In five of the error cases the mother's parental rights had been terminated but there was not a date reported. In the other case, the mother was deceased. *#47 - Case File Review Findings*: 2 (3%) of the records analyzed did not match what was reported in AFCARS. In the error cases the father's parental rights had been terminated but there was not a date reported.			
49. Foster Family Structure 0=Not Applicable 1 = Married Couple 2 = Unmarried Couple 3 = Single Female 4 = Single Male	3	Screen: Home Provider>Home tab The option of "unable to determine" should be removed from this list as it has no practical meaning for the family structure of a foster family. See prior discussions regarding using actual reasons for not having the information. In this case, declined might be the only other option. Data Quality The program code was modified by adding a step to set this element to "not applicable" if it finds that the current setting is not a foster home (values 1 – 3 in element #41). *Frequency Report (N=5,555):* Married Couple = 2,069 (37.3%); Unmarried Couple = 272 (4.9%);	Screen 1) The State intends to remove the drop-down selection of "Unable to Determine."		

Data Element	Rating Factor	Findings	Task	Date	Notes
		Single Female = 1,320 (23.8%); Single Male = 78 (1.4%); Not reported = 1,816 (32.7%) *Case File Review Findings*: In one of the error cases the child was living with a relative and this field was blank.			
50. Year of Birth (1st Foster Caretaker) 51. Year of Birth (2nd Foster Caretaker)	3	Screen: Person Management>Basic tab. Data Quality *#50 - Frequency Report (N=5,555):* Reported = 3,838 (69%); Not Reported = 1,717 (30.9%) The number reported in #49 as married, unmarried, single female and single male = 3,739. There are more years of birth for this element. The two should match. *Case File Review Findings*: In one of the error cases the child was living with a relative and this field was blank. *#51 - Frequency Report (N=5,555):* Reported = 2,485 (44.7%); Not Reported = 3,070 (55.3%). The number reported in #49 as married or unmarried = 2,341. The number of records for these two elements should be the same. Ensure that the caseworkers are entering the marital status and demographic data correctly. *Case File Review Findings*: In one of the error cases the child was living with a relative and this field was blank.			
56. Date of Discharge from Foster Care	2	Screen: Out of Home Placement>Service tab Program Code 1) Based on discussions with the State, there is an issue related to subsidized guardianships and adoptions. These cases are being reported after they are closed, or are closed during the report period. Cases that closed during the report period (i.e., were discharged from foster care) should have the date of the child's last placement. Since these cases have been	Program Code 1) Verify that the program code is reporting cases that are subsidized guardianships or adoptions are entered as a discharge and reported correctly. (See GR1.)		

Data Element	Rating Factor	Findings	Task	Date	Notes
		discharged from foster care, and only have a payment open and not a foster care or placement episode open, then the program code should be able to identify these cases and exclude the initially from the reporting population. 2) The program code has several routines that are run to obtain the discharge date. 3) Youth who are no longer eligible for title IV-E are to be reported as of the youth's 18th birthday or the date the youth is no longer eligible for title IV-E. <u>Data Quality</u> *Frequency Report (N=5,555):* 2011 = 378 (6.8%); 2012 = 467 (8.4%); invalid data (21120111) = 1 (0.02%). *Case File Review Findings*: 3 (5%) of the records analyzed did not match what was reported in AFCARS.	2) The State needs to re-evaluate these routines and determine if they are still necessary. 3) Modify the program code to report a youth's 18th birthday if the youth is not receiving title IV-E. 3a) For youth who are 18 and eligible for title IV-E foster care maintenance payments, the same logic applies but at the time they are no longer eligible.		
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	2	<u>Screen:</u> Out of Home Placement>Service tab Note there are items listed that are not discharge/outcome reasons. Expiration of order, Protective Supervision, and trial home visit ended are not outcome reasons. <u>Program Code</u> The discharge reason code is moved from the record to the output field. 2) This element is set to blank instead of "Not Applicable" when the child is still in care at the end of the report period. 3) Youth who are no longer eligible for title IV-E are to be reported as of the youth's 18th birthday	<u>Screen</u> 1) The State needs to provide a copy of the screen print with the drop-down list. <u>Program Code</u> 1) The State needs to provide the mapping of its values to AFCARS. 2) Modify the program code to set this element to "not applicable" for children who have not exited foster care. 3) Modify the program code to report a youth who is 18 and not receiving title IV-E as		

Data Element	Rating Factor	Findings	Task	Date	Notes
		or the date the youth is no longer eligible for title IV-E. Data Quality *Frequency Report (N=5,555):* Not applicable = 89 (1.6%); Reunify with parents or primary caretakers = 433 (7.8%); Living with other relatives = 33 (0.59%); Adoption = 184 (3.3%); Emancipation = 33 (0.59%); Guardianship = 21 (0.38%); Transfer to Another Agency = 46 (0.83%); Runaway = 5 (0.09%); Death of Child = 0; Invalid values (9) = 2 (0.04%); Not reported = 4,709 (84.8%) It may be that the values noted above that are not outcomes/discharge reasons are the records reported with an invalid value. *Case File Review Findings*: 3 (5%) of the records analyzed did not match what was reported in AFCARS.	"emancipation." 3a) For youth who are 18 and eligible for title IV-E foster care maintenance payments, report them as discharged to "emancipation" when they are no longer eligible for title IV-E.		
59. Title IV-E (Foster Care)	3	Data Quality *Frequency Report (N=5,555):* Does not apply = 3,616 (65.1%); Applies = 1,939 (34.9%) Post-Site Visit Program Code Modifications LNs 179910 - 181280 The program code was modified to comment out previous lines of code that made element #59 dependent on actual payments being made. If the child has an eligibility record on the MAXIMUS input file with a status indicating eligible then #59 is set to "1" (applies). Otherwise it is set to "0" (does not apply). The Federal definition of eligibility also includes the setting is an eligible. If this is the case for the information received from Maximus, a child identified as eligible for title IV-E has met all criteria, then the approach is fine. If it means the child is eligible but in a reimbursable setting,	1) Verify the use of "eligible" in the file from Maximus. 2) Note there is still the issue related to the timing of when the agency determines a child eligible for title IV-E. See the findings document for more information.		

Data Element	Rating Factor	Findings	Task	Date	Notes
		this does not meet the Federal definition of eligible. Note there is still the issue related to when the agency determines a child eligible for title IV-E.			
62. Title IV-D (Child Support)	2	Program Code There is a payment table but it is not being used. The program code will be updated and will check the child support field on the eligibility screen. This will be done approximately after January, 2013. Data Quality *Frequency Report (N=5,555):* Does not apply = 5,555 (100%); Applies = 0 This information is now collected on the new eligibility screen.	Program Code 1) The State's plan is to modify the program code in early 2013.		
63. Title XIX (Medicaid)	2	Data Quality *Frequency Report (N=5,555):* Does not apply = 5,518 (99.3%); Applies = 37 (0.67%) This information is now collected on the new eligibility screen. Program Code The value of element #63 is set to "1" if any record is found for the child on the TITLE_XIX table with a benefit coverage date range that falls anywhere within the reporting period and an active status code. Otherwise it is set to "0."	Program Code 1) Modify the program code to check the appropriate field on the eligibility screen.		
64. SSI or Other Social Security Benefits	2	Program Code The value of element #64 is set to "1" when any asset record is found for the child that is effective within the reporting period, has an amount value greater than zero, and an asset type of "8" (SSA benefit), "9" (SSI benefit), "10" (VA benefit), or "12" (RR benefit). Otherwise it is set to "0."	Program Code 1) Modify the program code to not include VA or RR benefits in this element. These assets are to be mapped to element #65.		

Data Element	Rating Factor	Findings	Task	Date	Notes
		Data Quality *Frequency Report (N=5,555):* Does not apply = 5,091 (91.7%); Applies = 464 (8.4%)			
65. None of the Above	2	Program Code Para 28800 Since this section of the program code is going to be re-written, the State should incorporate a check for other sources of State, Federal, or non-Federal sources of support regardless of the responses to #59 - 64. Currently, VA and RR benefits are checked for but are incorrectly mapped to element #64. Post-Site Visit Program Code Modifications The program code has been changed to comment out previous lines of code that made element #65 dependent on actual payments being made. If the child has all sources of support coded as "0" (does not apply) then #65 is set to "1" (applies). Otherwise it is set to "0" (does not apply).	Program Code 1) Modify the program code to not include VA or RR benefits in this element. These assets are to be mapped to element #65.		
66. Amount of Monthly Foster Care Payment	3	Data Quality *Frequency Report (N=5,555):* Questionably low and high amounts. 0 = 791 (14.2%); over 5000 = 931 (16.8%) Post-Site Visit Program Code Modifications The program code has been changed to comment out previous lines of code that calculated element #66. New logic selects the last full monthly payment (within the reporting period) for the child from the payment table. The service type is "monthly," the payment type is "ongoing," the payment amount is greater than zero, and the time period of the payment is for a full month. When found this value is used to populate element #66. If not found element #66 is set to "0".			

Data Element	Rating Factor	Findings	Tasks	Date	Notes
5. Child's Date of Birth	3	Screen: Adoption Decree>Child and Applicants tab This field is not being pre-populated from child's person management screen. It is being entered on the adoption decree screen.	Screen 1) Modify the system to link the Person Management Screen with the Adoption Decree/Child and Applicants tab.		
6. Sex 1=Male 2=Female	3	Screen: Adoption Decree>Child and Applicants tab This field is not pre-populated from child's person management screen. It is being entered on the adoption decree screen. Data Quality *Frequency Report (N=293):* Male = 162 (55%); Female = 130 (44%); Not Reported = 1 (0.34%).	Screen 1) Modify the system to link the Person Management Screen with the Adoption Decree/Child and Applicants tab.		
7. 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	2	Screen: Adoption Decree>Child and Applicants tab 1) This field is not being pre-populated from child's person management screen but is instead being entered on the adoption decree screen. 2) Issues as identified in FC8: a) The option Multi-racial is misleading. It appears that this option and a race can be selected based on the State's proposal. If that is the case, there needs to be a system edit to check that a race has also been selected. Or, add a popup message. If there is space on the screen, another option would be language similar to "Multi-racial/other race(s) not known." b) The proposed popup message for the use of abandoned indicates that this option should only be used if the child is very young or disabled and there is no	Screen 1) Modify the system to link the Person Management Screen with the Adoption Decree/Child and Applicants tab. 2) Implement the proposed modifications to the screen. See notes to left. a) *Multi-Racial*. See note to left. b) Abandoned. Implement the popup message if "abandoned" is selected. See note to left and remove the phrase marked by italics.		

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		person available to identify the child's race; also used if *parent, relative or guardian is unwilling to identify child's race.* There is an issue with this message. The second part of the message has to do with a person declining to provide the information which is a separate option on the screen. c) There is not an option on the list of races (either existing or proposed) to reflect that the race of the child is not known due to entering under Safe Haven. An option needs to be specific to this circumstance so as not to be used for other reasons. The option "abandoned" noted above reflects that the agency would be actively finding the parents and/or relatives and may obtain more details about the child. There is a field on the Basic Tab of the Person Management Screen to indicate if the child is a Safe Haven Baby. <u>Program Code Para 22500</u> This information is obtained from the adoption person record. 1) The program code does not check the ethnicity field for those items that are also races. 2) The program code incorrectly maps "multi-racial" to "unable to determine."	c) Either add another option "Safe Haven" or link the checkbox to this element. d) Declined/Not Disclosed add to production. <u>Program Code</u> 1) Modify the program code to check if a selected ethnicity from the ethnicity list. If one is selected and it is one that is listed in the AFCARS definition of race, map accordingly to this element. 2) Map the option "multi-racial" to blank.		

Data Element	Rating Factor	Findings	Tasks	Date	Notes
#25 Adoptive Mother's Race[5] #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	2	Screen: Adoption Decree>Child and Applicants tab Even though this information is being re-entered on a different screen, the same issues appear for this element as other race fields previously described (see foster care element #8). Program Code Para 25240 1) The program code does not check the ethnicity field for those items that are also races. 2) The program code incorrectly maps "multi-racial" to "unable to determine."	Screen 1) Modify the system to link the Provider Screen (if applicable) with the Adoption Decree/Child and Applicants tab. 2) Implement the proposed modifications to the screen. See notes in element 7. a) *Multi-Racial*. b) Declined/Not Disclosed add to Program Code 1) Modify the program code to check if a selected ethnicity from the ethnicity list. If one is selected and it is one that is listed in the AFCARS definition of race, map accordingly to this element. 2) Map the option "multi-racial" to blank.		
8. Child's Hispanic or Latino Ethnicity 1=Yes 2=No 3=Unable to determine	3	Screen: Adoption Decree>Child and Applicants tab This field is not being pre-populated from child's person management screen but is instead being entered on the adoption decree screen. . 2) The State does not have options on the screen that would match the AFCARS administrative value "unable to determine." See suggested options listed in element #8.	Screen 1) Modify the system to link the Person Management Screen with the Adoption Decree/Child and Applicants tab. 2) Screen Recommendations: Add the options: declined, incapacitated, Safe Haven, and abandoned.		
#26 Adoptive Mother's Hispanic Origin	3	Screen: Adoption Decree>Child and Applicants tab	Screen 1) Modify the system to link the Person		

[5] The elements related to the adoptive parent's race was moved to here in order to have the race elements grouped together.

Data Element	Rating Factor	Findings	Tasks	Date	Notes
#28 Adoptive Father's Hispanic Origin 0=Not Applicable 1=Yes 2=No 3=Unable to determine		Even though this information is being re-entered on a different screen, the same issues appear for this element as other Hispanic origin fields previously described (see foster care element #9).	Management Screen with the Adoption Decree/Child and Applicants tab. 2) Screen Recommendations: Add the option declined.		
9. Has the title IV-E agency determined that the child has special needs? 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 1=Yes 2=No	2	Screen: Plan>Assessment tab. 1) There are two screens with criteria for special needs – the assessment tab of the adoption plan and certification of special needs tab. The State indicated the certification screen accurately reflects their eligibility criteria. In order to avoid duplicative data entry, information on primary basis for special needs should only be collected in one location. 2) There are issues with the list on the Plan/Assessment Screen a) The option "Phys Disabil And Visual/Hearing Impaired" incorrectly combines two distinct different types of conditions. b) The option "Mental Disability/Mental Retardation" are two distinct different categories. Program Code Para 24000 1) The program code sets element #9 based on the entry of element #10. In of itself, this is fine. However, there are issues as noted above and below.	Screen 1) The certification of special needs screen should be the primary screen used and checked for the reporting of the information in elements 9 and 10. a) A field needs to be added to identify the primary factor for special needs. One idea is to utilize the Plan screen by populating it with the criteria selected in the Certification screen. Then add a field here that the worker would use to identify of the factors carried over, which one is the primary factor for special needs. 2a) These options need to be separated. 2b) These options need to be separated. Program Code 1) The program code needs to be modified to identify for element #9 if the agency determined special needs and that the child was determined to be eligible for special needs services and subsidies.		

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		2) The extraction code determines whether or not the child has special needs and it is not based on the eligibility status of the child. See the notes for element #10. 3) There are issues with the mapping in paragraph 24410: a) The option "Phys Disabil And Visual/Hearing Impaired" is incorrectly mapped to element #12. This option contains items that would be mapped to either #12 or #13. These options need to be separated. b) The option "Recognized High Risk-Phys/Mntl Disabil" is incorrectly mapped to the value 4 for this element and to element #14. This option indicates high risk and should be mapped to the value 5 for this element and elements 11 – 15 are "do not apply." c) The option "Mental Disability/Mental Retardation" is incorrectly mapped to element ##14. The State's option also includes mental retardation which is mapped to AFCARS element #11. <u>Data Quality</u> *#9 Frequency Report (N=293)*: Yes = 43 (14.7%); No = 250 (85.3%).	a) The program code will need to be modified based on changes made to address the screen issues above. 2) The program code related to setting these elements must be based on what was entered and determined to be the primary factor of special needs. There can be no hierarchy in the extraction code. 3a) Once changes are made to the screen map the categories to the correct element in 11 – 15. 3b) Once changes are made to the screen map the categories to the correct element in 11 – 15. 3c) Once changes are made to the screen map the categories to the correct element in 11 – 15.		

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		#35 Frequency Report (N=293): Yes = 207 (70.7%); No = 86 (29.4%). Note that there is a significant discrepancy between the responses of these two elements. Element #35 reflects children who are receiving a monthly adoption subsidy. *Case File Review Findings*: 13 (65%) of the records analyzed did not match what was reported in AFCARS. In all cases the response reported to AFCARS was "no." In 10 cases the AFCARS data for elements 35 – 37 (is the child receiving a monthly subsidy, the amount of the subsidy, and if it is title IV-E assistance) were reported correctly indicating the child is receiving a subsidy. *#10 Frequency Report (N=293):* Not Applicable = 250 (85.3%); Racial/ethnic background = 1 (0.34%); Age = 4 (1.4%); Sibling group = 2 (0.68%); Medical condition = 35 (12.0%); Other = 1 (0.34%). *Case File Review Findings*: 15 (75%) of the records analyzed did not match what was reported in AFCARS.			
#11 Mental Retardation #12 Visually/Hearing Impaired #13 Physically Disabled #14 Emotionally Disturbed #15 Other Diagnosed Condition	2	<u>Program Code</u> 1) The extraction code gets the diagnosed conditions from the child's medical profile table. These elements are incorrectly reported regardless of what is reported as primary basis in element #10. <u>Data Quality</u> The frequencies for elements 11-15 do not align with frequencies for #10, Medical	<u>Program Code</u> 1) Modify the program code to only report any of these conditions that apply/exist when the response to element #10 is Medical conditions or Mental, Physical or Emotional Disabilities. 2) See changes noted for foster care elements 11 – 15 regarding mapping		

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		Conditions.	issues. 3) See notes for element #10 above.		
17. Father's year of birth	3	Screen: Maintain Case>Participants tab *Case File Review Findings*: 4 (20%) of the records analyzed did not match what was reported in AFCARS.	The Federal team will continue to monitor for accuracy.		
18. Was the Mother Married at the Time of the Child's Birth? 1=Yes 2=No 3-Unable to determine	3	Frequency Report (N=293): Yes = 33 (11.3%); No = 209 (71.3%); Unable to Determine = 15 (5.1%); Not reported = 36 (12.3%).	The Federal team will continue to monitor for accuracy.		
19. Date of Mother's termination of parental rights 20. Date of Father's termination of parental rights	3	Screen: Adoption Decree>Child and Applicants tab There is a field for TPR Mother. This field is not being pre-populated from child's legal screen. It is being entered on the adoption decree screen. Data Quality *#19 Frequency Report (N=293):* Not reported = 35 (12.0%); Reported = 258 (88.0%). There are 35 records reported with no information. The state needs to confirm if these are records of stepparent adoptions or foreign adoptions. *Case File Review Findings*: 2 (10%) of the records analyzed did not match what was reported in AFCARS. *#20 Frequency Report (N=293):* Not reported = 23 (7.9%); Reported = 270 (92.2%).	Screen 1) Modify the system to link the Legal Screen with the Adoption Decree/Child and Applicants tab. The Federal Team will continue to monitor for data accuracy.		

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		There are 23 records reported with no information. The state needs to confirm if these are records of stepparent adoptions or foreign adoptions. *Case File Review Findings*: 2 (10%) of the records analyzed did not match what was reported in AFCARS.			
21. Date adoption legalized	3	Screen: Adoption Decree>Child and Applicants tab There are fields for date received and decree date. This field is not being pre-populated from child's legal screen or the discharge from foster care field.	Screen 1) Modify the system to link the Legal Screen with the Adoption Decree/Child and Applicants tab.		
22. Adoptive parents' family structure #23 Adoptive Mother's Year of Birth #24 Adoptive Father's Year of Birth		These fields are not being pre-populated from the provider screen but are instead being entered on the adoption decree screen.	Screen 1) Modify the system to link the provider screen to the Adoption Decree screen for the cases where the adoptive parents had been foster parents.		
#29 –32 29. Relationship to Adoptive Parent-Stepparent 30. Relationship to Adoptive Parent -Other relative 31. Relationship to Adoptive Parent -Foster parent 32. Relationship to Adoptive Parent -Other non-relative 0 = Does not Apply 1 = Applies	3	Screen: Adoption Decree screen The field does not allow for more than one option to be selected. Foster Parent is not an option on this list, but is instead a check box on the same screen. It appears that both foster parent and one of the options from the drop-down list can be selected at the same time, meaning that all that applies could be selected. However, the frequency report, test cases, and the case file review findings only reflect one option being selected. The data does not show multi-selection and therefore needs to be assessed to determine if it is a data entry or program code issue.	Screen 1) The screen needs to be modified to allow for more than one selection to be entered. 2) Identify whether there is an error in the program code or if caseworkers are not checking the foster parent box.		

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		Program Code Para 25300 The program first evaluates what is entered in the type field. Then it will check the flag for foster parents. This means that if there is a selection in both fields all relationship types are being reported. #29 Frequency Report (N=293): Applies = 38 (13.0%); Does not apply = 252 (86.0%). #30 Frequency Report (N=293): Applies = 41 (14.0%); Does not apply = 252 (86.0%) #31 Frequency Report (N=293): Applies = 4 (1.4%); Does not apply = 289 (98.6%). The percent of foster parent adoptions is very low. *Case File Review Findings*: 20 (100%) of the records analyzed did not match what was reported in AFCARS. In all cases, the child was adopted by a foster parent. #32 Frequency Report (N=293): Applies = 214 (73.0%); Does not apply = 79 (27%)			
33. Child was placed from 1=Within State or Tribal Service Area 2=Another State or Tribal Service Area 3=Another Country	1	Screen: Adoption Decree>Agency and Record tab There is no field in the system to identify where the child was placed from for the adoption. Program Code Para 28100 The program code is incorrectly looking at the provider's address and not the agency. Frequency Report (N=293): Within State = 292 (99.7%); Another State = 1 (0.34%); Another Country = 0.	Screen 1) Add a field where the worker can select where the child was placed from, with options of: Within State, Another State, and Another Country. Program Code 1) Once the field has been added to the system, map the categories to AFCARS.		

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		The staff indicated that there was not an adoption from a private agency in another state.			
34. Child was placed by 1=Public agency 2=Private agency 3=Tribal Agency 4=Independent person 5=Birth parent	2	Program Code Para 28200 LNs 16860 – 169940 There are issues with the data being reported. There is not a distinct field in the system to enter this data. The program code checks for a pre-adoptive case and the provider type code on the adoption decree record. Frequency Report (N=293): Public Agency = 213 (72.7%); Private Agency = 39 (13.3%); Tribal Agency = 0; Independent person = 38 (13.0%); Birth parent = 0; Not reported = 3 (1.0%). The staff indicated that there were not 39 private agency subsidized adoptions.	The State needs to re-evaluate its method for assessing who is placing the child for adoption. Some of the options used in provider type (business, authorized respite home, CPA home) do not seem applicable.		
35. Is the Child Receiving a Monthly Subsidy? 1=Yes 2=No	2	Screen There is not an option for "Medicaid only" subsidy. Program Code Para 27000 The program code is only checking for a payment and not for Medicaid only subsidy. Frequency Report (N=293): Yes = 207 (70.7%); No = 86 (29.4%). *Case File Review Findings*: 2 (10%) of the records analyzed did not match what was reported in AFCARS.	Screen 1) Modify the adoption subsidy eligibility screen to include Medicaid-only subsidy adoption agreements. Program Code 1) The program code will need to be modified to check if the only subsidy in the agreement is Medicaid.		
36. Monthly amount	2	Program Code Para 27000 The program code incorrectly sums the	Program Code 1) Modify the program code to check the		

Data Element	Rating Factor	Findings	Tasks	Date	Notes
		average amount. It does not check the amount entered into the adoption agreement. This amount in the agreement is a per diem rate.	amount entered in the adoption agreement and multiply the per diem amount by 30. 2) The program code should only check for a payment amount that is no later than the date of the finalized adoption date.		
37. Is Child Receiving title IV-E Adoption Subsidy? 1=Yes 2=No	2	Program Code Para 27000 The program code is not checking the eligibility screen and the eligibility status of the child. Frequency Report (N=293): Yes = 105 (35.8%); No = 188 (64.2%). *Case File Review Findings*: 6 (30%) of the records analyzed did not match what was reported in AFCARS.	Program Code 1) Modify the program code to check whether the child is eligible for title IV-E, AA not whether a payment has been made. It is possible that at the time of the adoption a payment has not yet been issued.		