

**Juan F. v. Malloy Exit Plan
Quarterly Report
July 1, 2012 - September 30, 2012
Civil Action No. 2:89 CV 859 (SRU)**

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**Juan F. v Malloy Exit Plan Quarterly Report
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Highlights

- The Court Monitor's quarterly review of the Department's efforts to meet the Exit Plan Outcome Measures during the period of July 1, 2012 through September 30, 2012 indicates the Department achieved 15 of the 22 Outcome Measures. The seven measures not met include: Outcome Measure 3 (Case Planning), Outcome Measure 7 (Reunification), Outcome Measure 10 (Sibling Placements), Outcome Measure 11 (Re-Entry into DCF Custody), Outcome Measure 14 (Placement within Licensed Capacity), Outcome Measure 15 (Children's Needs Met), and Outcome Measure 17 (Worker-Child Visitation In-Home)¹.
- During the Third Quarter 2012, Pre-Certification Reviews of Outcome Measure 8 (Adoption), Outcome Measure 9 (Transfer of Guardianship), and Outcome Measure 22 (Multi Disciplinary Exams) were completed. The results were discussed by the *Juan F.* parties. Each of these measures was found to be pre-certified and strengths and weakness of the practice associated with each measure were reviewed.

First Quarter 2012 Outcome Measure 8 results did not meet the benchmark standard. This was an aberration in the quarterly results for Outcome Measure 8 (Adoption), and the parties agreed to pre-certify the measure with an understanding that future performances will be closely monitored.

The findings for Outcome Measure 22 were especially significant for the Department. At the time of development of the Exit Plan 2003-2004 only 5.0% of the children entering care received a Multi Disciplinary Exam (MDE). The pre-certification review found that well over 90.0% of children received a timely MDE (within 30 days of placement) and even more noteworthy 100.0% of the reviewed children (506) received an MDE. The 17 children who did not receive the MDE within the required 30 days, did receive one, in only a slightly longer timeframe. The strength of imbedding this practice principle routinely is a foundational component that can be utilized as a springboard for appropriate early assessment and initial case planning at the earliest stages of DCF involvement with children requiring placement services.

The final Pre-Certification reports on these measures can be found in Appendices 2, 3, and 4. In addition, a revised table of Pre-Certification results can be found beginning on page 11.

- There are emerging factors that must be considered that have direct impact the Department's work; especially the work related to Outcome Measures 3 (Case Planning) and 15 (Meeting Children's Needs). The diversion of low risk cases to the Differential Response System (DRS) track has resulted in changes to caseloads. A two tier Investigation caseload now exists where

¹ Outcome Measure 17 Worker-Child Visitation In-Home - Current automated reporting indicates the measure as statistically achieved, however this does not accurately reflect performance findings. The Outcome Measure 17 Pre-Certification Review indicated that compliance is not achieved. While DCF reports are numerically accurate based upon the algorithms utilized, user error in selection of narrative entry types, and a failure to demonstrate that workers are meeting the specific steps called for with the definition of 'visit' calls into question the automated report findings. As such, the Monitor will not indicate achievement of the measure based solely on the current reporting.

in addition to the traditional investigation case assessment practices, lower risk cases are offered short term assessment and community linkages. The Ongoing Services staff is now faced with caseloads made up almost entirely of moderate and high-risk or otherwise complex cases. A full component of these cases present unique challenges to ensuring appropriate case planning and timely service provision. The Department has been effecting case practice improvements to better engage families and stakeholders. The focus is a strength-based approach. Implementation of formal child and family teaming approaches is well underway and demonstrating positive outcomes for children and families in the cases that it has been utilized. Another initiative, funded through a federal CONCEPT grant, involves the implementation of the trauma-informed practice approach. All of these require working in partnership to plan with families and stakeholders effectively, which is very time consuming. The "workload" capacity required to implement and practice this fundamental reform with caseloads made up of extremely challenging situations and needs is substantial. Consideration must be given to both the workload demands as well as caseload standards since the Consent Decree caseload standards were not developed with current demands and capacities factored into the equation.

The Department is also succeeding in reducing the use of congregate care and promoting the use of family-based care, especially relative and kin families. This requires additional models of support, as well as new models and increased levels of timely and well coordinated community-based-service. These essential changes in the Department's approach promoted by the current administration and supported by the Court Monitor, present daunting workload and service provision challenges for social workers that could undermine their ability to effectively service children and families.

It is clear that in order to realize the overwhelming benefits of these collaborative approaches it is necessary to ensure that there is a full complement of staff and adequate levels of service provision. In addition, in order to ensure that children diverted from restrictive levels of care, including out-of-state programs, receive appropriate and coordinated service there must be ample in-home, outpatient and community services as well as sufficient in-state capacity to service special populations of children in short-term congregate programs.

- Statewide, of the Third Quarter 2012 sample reviewed for Outcome Measure 3, a total of 34 of the 69 cases or 49.3% achieved the measure. This is a decline over the prior quarter's result of 63.0%. It is concerning that seven (7) case plans were not approved by the Social Work Supervisor. This issue had not been prevalent in the recent quarterly reviews and was immediately brought to the attention of the Commissioner and Regional Administrators as the findings became evident. With the exception of one of these seven cases; there were also significant concerns with the individual domains that the review measures, such as engagement, assessment, objectives, progress and action steps. Also, the Third Quarter 2012 findings show a sharp contrast in results when isolating the cases by in-home family cases versus child-in-placement cases. Only 29.6% (8 of 27 cases) of sample in-home cases were deemed appropriate as opposed to 65.0% (26 of 40 cases) of the child in placement case.

Liaison activities regarding OM 3 and 15 findings and improvement efforts have continued that include Court Monitor staff, Regional Office staff, and Administrative Case Review (ACR) staff. Over the last few quarters the communication patterns have become more efficient and timely. In addition, there was considerable evidence of Regional and/or Area Office initiatives attempting to address and strengthen the case planning process.

This quarter's review identified engagement, assessment, and action steps as the elements most in need of improvement. While there was some improvement noted, the Area Office staff still is not consistently utilizing the feedback from the Administrative Case Review (ACR) Social Work Supervisors. However, Court Monitor reviewers indicated that the value of the independent review is very evident in many of the reviewed cases.

- The Third Quarter 2012 findings for Outcome Measure 11 (Re-Entry) indicate that 9.1% of the children re-entered care during the quarter. These are children re-entering care after a previous placement episode that ended with a legal discharge from DCF placement to a parent or guardian. The measurement's standard is $\leq 7.0\%$. The reported percentage is the highest it has been since Third Quarter 2009. Re-Entry findings/percentages are based on the number of children re-entering care divided by the number of children-in-placement entries. Fluctuations or trends regarding the number of entries impact the findings as do policy changes (reducing congregate care utilization, increasing family based care as well as implementation of new initiatives such as the Differential Response System (DRS)). An analysis of the data related to Outcome Measure 11 over the last few years indicates a consistent decline in the number of children re-entering care and an even greater decrease in the number of children-in-placement. The Third Quarter 2012 results represent a slight increase in the number of re-entries into care as well as the number of children-in-placement. But, the number of children that re-entered this quarter (40) was exactly the same number that re-entered during this quarter one year ago. Due to the changes in the total number of children-in-care the finding last year was 7.2% as opposed to the 9.1% finding this year. As is typical, not all offices experienced the increase described above and trending data by office indicates only some offices have struggled with this measure in recent quarters.

An informal review of a sample of the 40 Third Quarter 2012 re-entries reveals evidence of discharge planning activities, service provision and reunification efforts prior to the children previously leaving care. A number of the children reviewed will continue to be prone to the risk of re-entry going forward due to the episodic nature of their specific behavioral health issues or the episodic nature of their parent/guardian's issues or conditions.

Given the changing landscape of DCF interventions with families under the direction of the current administration, the underlying baselines and standards will be challenged by emerging trends and patterns. The findings for Outcome Measure 11 will be analyzed over the following quarters to ascertain whether trends continue or emerge. Rather than simply reporting the findings, it is becoming more important than ever before to understand the underlying interplay of the changing dynamics including: case management, service provision, changes in populations, workload and the existing Exit Plan standards.

- Outcome Measure 15 (Children's Needs Met) was achieved at a rate of 53.6%, which is a decrease from the 61.6% achieved in the Second Quarter 2012. Of the 69 cases reviewed, 37 were assessed as having all of the priority needs of the children and families identified during

the period under review met timely and adequately. There is a marked difference between the in-home cases and the child in placement case findings for Third Quarter 2012. Only 33.0% (9 of 27 cases) of the sample in-home cases found that the child's priority needs were met as opposed to the 70.0% (28 of 40 cases) findings for child in placement cases.

The Department is in the midst of implementing or procuring a number of important service programs that will assist in addressing identified concerns including: recruitment and retention of the State's foster care resources, congregate care diversion, timely identification of relative/kin and utilization for placement and family ties, and both targeted congregate care facilities and community mental health services to address the needs for special populations of children currently served out of state. All of these efforts are helpful and necessary to address some of the needs routinely identified for children and families.

In order to ensure that children diverted from the most restrictive levels of care, including out-state programs, receive appropriate service there must be ample in-home, outpatient, community services as well as sufficient in-state capacity to service special populations of children discharging from congregate treatment programs. Focused changes must continue that improve the quality and efficiency of the full service continuum. The current fiscal constraints may challenge the Department's ability to meet the need for additional service that will fully promote the reforms underway, address the comprehensive scope of children and family needs, and allow for exit from the *Juan F.* Consent Decree.

As with previous reviews, the most problematic areas for meeting the service needs for the children and families within our 69 sample cases were the domains Permanency: DCF Case Management-Contracting or Providing Services to Achieve the Permanency Goal during the Prior Six Months (statewide score of 43.5%) and Well Being: Mental Health, Behavioral Health and Substance Abuse Services (statewide score of 67.7%). In addition, Well Being: Education (statewide score of 78.6%) did not reach the 80.0% level. All of the other domains were above 80.0%.

Individually identified Unmet Needs are provided for the Third Quarter Sample set on pages 30 to 37 (Priority needs unmet in the period under review) and (Priority needs identified but unplanned for in the case plan going forward). The table reveals a combined total of 360 instances of needs where barriers presented obstacles to service provision. These included both internal and external issues such as: delays in making a referral, the lack of properly assessing a need, the lack of available service, the lack of a service provider ability to meet the child or families need due to internal provider issues or wait lists, the lack of communication between the provider and DCF or refusal by clients to utilize the services existed.

- As of November 2012, there were 252 *Juan F.* children placed in residential facilities. This is a decrease of 21 children compared to the 273 children reported last quarter. Compared to August of last year there has been a decrease of 151 children in residential care. The number of children residing in residential care for greater than 12 months was 76, which is a decrease of 13 children in comparison to the 89 reported last quarter and 43 less children than November 2011 (119).

- The Department continues to make significant strides in reducing the number of *Juan F.* children residing and receiving treatment in out-of-state residential facilities. As of December 2012, the number of children decreased by 23 to 83 compared to the 106 reported for August 2012.
- The number of children age 12 years old or younger in congregate care rose slightly to 58 as of November 2012. This increase was primarily due to SAFE Home placements.
- As of November 2012, there were no children aged 1 to 5 years of age residing in Congregate Care placements.
- The number of children utilizing SAFE Home temporary placements increased to 49 as of November 2012 compared with the 45 reported as of August 2012. The number of children in SAFE Home overstay status (>60 days), decreased to 31 children compared with the 35 children reported last quarter but the Third Quarter data indicates that 63.2% (31 of 49) of the children are in overstay status. There were 8 children with lengths of stay in excess of six months as of August 2012. The lack of sufficient foster/adoptive resources or the need for continued reunification efforts remain the significant barriers to timely discharge for these children.
- There were 78 youth in STAR programs as of August 2012, 6 less than the 84 reported in August 2012. The number of youth in overstay status (>60 days) in STAR placements was 40 youth, compared with the 53 youth noted last quarter. Over half (51.2%) of the youth (40 of 78) in STAR programs were in overstay status as of November 2012. There were 9 children with lengths of stay longer than six months as of August 2012. The lack of sufficient and appropriate treatment/placement services especially family-based settings for older youth hamper efforts to reduce the utilization of STAR services and manage short lengths of stay.
- The Division of Foster Care's monthly report for June 2012 indicates that there are 2,245 licensed DCF foster homes. This is a decrease of 54 homes when compared with the Second Quarter 2012 report. The number of approved private provider foster care homes is 879. The number of private provider foster homes currently available for placement is 70. The Department's goal as outlined in the Stipulation Regarding Outcome Measures 3 and 15 required (1) a statewide gain of 350 foster homes by June 30, 2009; and (2) an additional statewide gain of 500 foster homes by June 30, 2010. The baseline set in June 2008 and revised during the Second Quarter 2011 is 3,287 foster homes. The Department's status as of June 2012 is 3,124 homes, a net loss of 163 homes compared with the baseline set in June 2008. Additional foster care and adoptive resources remain an essential component required to address the needs of children, reduce discharge delays, avoid overcapacity placements, and ensure placement in the most appropriate and least restrictive setting.
- The number of children with the goal of Another Planned Permanent Living Arrangement (APPLA) decreased by 5 from the 634 to 629 this quarter. The Department's efforts to appropriately pursue APPLA goals for youth, including modifying the goal of children with an APPLA goal to a more preferred goal, and the continued age-out of older youth contributes to the continued reduction in the number of children with APPLA over the last few years. In conjunction with the Child Welfare Group, the Department is set to begin an initiative that could be very beneficial to these children. A review all APPLA children will be conducted in an attempt to identify the best permanency options available for those youth.

- The Monitor’s quarterly review of the Department for the period of July 1, 2012 through September 30, 2012 indicates that the Department did not achieve compliance with seven (7) measures:
 - Treatment Planning (49.3%)
 - Reunification (52.0%)
 - Sibling Placements (87.5%)
 - Placement within Licensed Capacity (95.3%)
 - Re-Entry into DCF care (9.1%)
 - Children's Needs Met (53.6%)
 - Worker-Child Visitation In-Home (N/A)²

- The Monitor’s quarterly review of the Department for the period of July 1, 2012 through September 30, 2012 indicates the Department has achieved compliance with the following 15 Outcome Measures:
 - Commencement of Investigations (95.7%)
 - Completion of Investigations (92.5%)
 - Search for Relatives (87.5%)
 - Repeat Maltreatment (4.3%)
 - Maltreatment of Children in Out-of Home Cases (0.2%)
 - Adoption (39.0%)
 - Transfer of Guardianship (84.0%)
 - Multiple Placements (96.4%)
 - Foster Parent Training (100.0%)
 - Worker-Child Visitation Out-of Home Cases (93.6% Monthly/98.7% Quarterly)
 - Residential Reduction (6.3%)
 - Discharge Measures regarding Education, Work, and Military Status (89.2%)
 - Discharge to DMHAS and DMR (100.0%)
 - Multi-disciplinary Exams (95.5%)

² Outcome Measure 17 Worker-Child Visitation In-Home - Current automated reporting indicates the measure as statistically achieved, however this does not accurately reflect performance findings. The Outcome Measure 17 Pre-Certification Review indicated that compliance is not achieved. While DCF reports are numerically accurate based upon the algorithms utilized, user error in selection of narrative entry types, and a failure to demonstrate that workers are meeting the specific steps called for with the definition of 'visit' calls into question the automated report findings. As such, the Monitor will not indicate achievement of the measure based solely on the current reporting.

- The Department has maintained compliance for at least two (2) consecutive quarters³ with 13 of the Outcome Measures reported as achieved this quarter. (Measures are shown designating the number of consecutive quarters for which the measure was achieved):
 - Commencement of Investigations (thirty-second consecutive quarter)
 - Completion of Investigations (thirty-second consecutive quarter)
 - Search for Relatives (twenty-seventh consecutive quarter)
 - Repeat Maltreatment (twenty-second consecutive quarter)
 - Maltreatment of Children in Out-of-Home Care (thirty-fifth consecutive quarter)
 - Adoption (second consecutive quarter)
 - Transfer of Guardianship (fifteenth consecutive quarter)
 - Multiple Placements (seventeenth consecutive quarter)
 - Foster Parent Training (thirty-fourth consecutive quarter)
 - Visitation Out-of-Home (twenty-eighth consecutive quarter)
 - Residential Reduction (twenty-sixth consecutive quarter)
 - Discharge to DMHAS and DMR (fourth consecutive quarter)
 - Multi-disciplinary Exams (twenty-seventh consecutive quarter)

A full copy of the Department's Third Quarter 2012 submission including the Commissioner's Highlights may be found on page 52.

³ The Defendants must be in compliance with all of the outcome measures, and in sustained compliance with all of the outcome measures for at least two consecutive quarters (six-months) prior to asserting compliance and shall maintain compliance through any decision to terminate jurisdiction.

| Statewide Positive Outcomes For Children | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|----------------------|----------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|
| Measure | Measure | Baseline | 3Q 2012 | 2Q 2012 | 1Q 2012 | 4Q 2011 | 3Q 2011 | 2Q 2011 | 1Q 2011 | 4Q 2010 | 3Q 2010 | 2Q 2010 | 1Q 2010 | 4Q 2009 | 3Q 2009 | 2Q 2009 | 1Q 2009 | 4Q 2008 | 3Q 2008 | 2Q 2008 | 1Q 2008 | 4Q 2007 | 3Q 2007 | 2Q 2007 | 1Q 2007 | 4Q 2006 | 3Q 2006 |
| 1: Commencement of Investigation | >=90% | X | 95.7% | 96.1% | 96.6% | 97.1% | 97.3% | 97.2% | 97.2% | 96.8% | 97.4% | 97.6% | 97.4% | 97.8% | 97.6% | 97.7% | 97.6% | 97.9% | 97.4% | 97.5% | 97.8% | 97.4% | 97.0% | 97.1% | 96.5% | 95.5% | 98.7% |
| 2: Completion of the Investigation | >=85% | 73.7% | 92.5% | 92.4% | 91.9% | 93.3% | 94.0% | 94.4% | 92.7% | 90.0% | 91.5% | 92.9% | 93.7% | 94.3% | 94.0% | 91.8% | 91.3% | 91.4% | 89.9% | 93.7% | 91.5% | 92.9% | 94.2% | 93.7% | 93.0% | 93.7% | 94.2% |
| 3: Treatment Plans | >=90% | X | 49.3% | 63.0% | 39.6% | 44.4% | 50.9% | N/A | 81.1% | 67.9% | 66.0% | 75.5% | 86.5% | 47.2% | 53.8% | 73.1% | 65.4% | 81.1% | 62.3% | 55.8% | 58.8% | 51.0% | 30.0% | 30.3% | 41.3% | 41.1% | 54.3% |
| 4: Search for Relatives | >=85% | 58% | 87.5% | 89.5% | 89.3% | 92.8% | 94.5% | 94.5% | 90.1% | 88.8% | 90.9% | 91.2% | 92.0% | 90.0% | 91.0% | 91.2% | 94.3% | 94.3% | 96.3% | 95.8% | 95.3% | 93.6% | 91.4% | 93.8% | 92.0% | 91.4% | 93.1% |
| 5: Repeat Maltreatment of In-Home Children | <=7% | 9.3% | 4.3% | 4.1% | 4.3% | 6.0% | 6.1% | 5.4% | 5.7% | 6.2% | 6.5% | 6.5% | 5.8% | 6.0% | 5.4% | 4.8% | 5.8% | 6.1% | 5.7% | 5.9% | 5.7% | 5.4% | 6.1% | 6.3% | 7.4% | 7.9% | 7.9% |
| 6: Maltreatment of Children in Out-of-Home Care | <=2% | 1.2% | 0.2% | 0.2% | 0.1% | 0.1% | 0.2% | 0.1% | 0.1% | 0.4% | 0.2% | 0.1% | 0.2% | 0.3% | 0.4% | 0.1% | 0.3% | 0.2% | 0.3% | 0.3% | 0.2% | 0.2% | 0.3% | 0.0% | 0.2% | 0.2% | 0.7% |
| 7: Reunification | >=60% | 57.8% | 52.0% | 61.1% | 58.9% | 65.8% | 65.3% | 73.1% | 61.7% | 64.9% | 68.3% | 67.1% | 61.2% | 71.4% | 56.0% | 71.9% | 68.1% | 69.6% | 62.5% | 64.4% | 66.4% | 61.0% | 64.2% | 67.9% | 70.5% | 61.3% | 62.5% |
| 8: Adoption | >=32% | 12.5% | 39.0% | 34.3% | 23.7% | 33.6% | 40.0% | 32.7% | 35.6% | 38.5% | 25.8% | 36.0% | 34.7% | 35.2% | 36.7% | 33.2% | 44.7% | 27.2% | 32.3% | 33.0% | 41.5% | 35.5% | 36.2% | 40.6% | 34.5% | 33.6% | 27.0% |
| 9: Transfer of Guardianship | >=70% | 60.5% | 84.0% | 76.7% | 81.4% | 83.1% | 83.6% | 78.4% | 86.2% | 87.3% | 78.6% | 74.6% | 82.3% | 76.3% | 81.8% | 75.7% | 75.3% | 64.9% | 71.7% | 70.0% | 70.4% | 80.8% | 76.8% | 88.0% | 78.0% | 76.4% | 70.2% |
| 10: Sibling Placement | >=95% | 57% | 87.5% | 89.2% | 88.5% | 91.8% | 89.3% | 85.8% | 86.7% | 83.3% | 81.9% | 84.8% | 85.6% | 83.4% | 84.7% | 83.1% | 83.4% | 82.1% | 82.6% | 86.8% | 86.7% | 85.2% | 83.3% | 79.1% | 84.9% | 85.5% | 84.8% |
| 11: Re-Entry into DCF Custody | <=7% | 6.9% | 9.1% | 6.8% | 5.8% | 6.4% | 7.2% | 4.4% | 7.7% | 6.3% | 7.3% | 6.7% | 8.4% | 7.8% | 9.9% | 8.8% | 8.2% | 8.2% | 4.3% | 7.5% | 6.7% | 7.6% | 7.2% | 8.5% | 7.5% | 8.2% | 4.3% |
| 12: Multiple Placements | >=85% | X | 96.4% | 96.6% | 96.6% | 96.4% | 96.4% | 96.1% | 96.1% | 96.1% | 95.7% | 95.8% | 95.9% | 95.4% | 95.7% | 95.8% | 96.0% | 95.8% | 95.9% | 96.3% | 91.2% | 92.7% | 94.4% | 96.0% | 96.3% | 95.0% | 95.6% |
| 13: Foster Parent Training | 100% | X | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% |
| 14: Placement Within Licensed Capacity | >=96% | 94.9% | 95.8% | 95.3% | 97.7% | 96.1% | 95.2% | 95.6% | 96.8% | 96.8% | 95.4% | 95.1% | 96.9% | 96.9% | 96.3% | 96.6% | 96.6% | 96.6% | 97.0% | 96.8% | 96.4% | 96.8% | 96.9% | 97.1% | 96.8% | 96.5% | 96.7% |
| 15: Children's Needs Met | >=80% | X | 53.6% | 61.1% | 60.4% | 55.6% | 60.4% | N/A | 58.5% | 56.6% | 58.5% | 52.8% | 67.3% | 45.3% | 55.8% | 63.5% | 61.5% | 58.5% | 62.0% | 55.8% | 58.8% | 47.1% | 64.0% | 51.3% | 45.3% | 52.1% | 62.0% |
| 16: Worker-Child Visitation (Out-of-Home) | >=85%(M) =100%(O) | X | 93.6% | 92.7% | 95.1% | 92.3% | 95.0% | 95.1% | 95.8% | 95.3% | 95.3% | 95.7% | 96.2% | 95.8% | 95.1% | 95.7% | 95.7% | 95.0% | 95.4% | 94.9% | 95.9% | 94.6% | 94.8% | 94.6% | 95.1% | 94.7% | 92.5% |
| 17: Worker-Child Visitation (In-Home) | >=85% | X | N/A | 85.8% | 84.8% | 85.9% | 86.3% | 89.7% | 88.5% | 89.7% | 89.4% | 89.7% | 89.6% | 88.5% | 88.8% | 89.6% | 90.5% | 89.7% | 90.3% | 91.4% | 90.8% | 89.9% | 89.4% | 90.9% | 89.0% | 89.2% | 85.7% |
| 18: Caseload Standards | 100% | 69.2% | 100.0% | 99.7% | 99.8% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 99.9% | 100.0% | 100.0% | 99.9% | 99.6% | 99.6% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% |
| 19: Reduction in the Number of Children Placed in Residential Care | <=11% | 13.5% | 6.3% | 6.9% | 7.5% | 8.5% | 8.8% | 9.8% | 10.0% | 9.9% | 9.4% | 10.1% | 10.0% | 9.9% | 9.6% | 9.7% | 10.0% | 10.0% | 10.0% | 10.4% | 10.5% | 10.9% | 10.8% | 11.0% | 10.9% | 11.0% | 10.9% |
| 20: Discharge Measures | >=85% | 61% | 89.2% | 85.7% | 86.9% | 76.5% | 88.0% | 79.4% | 82.9% | 87.2% | 88.5% | 87.9% | 86.0% | 86.9% | 80.0% | 92.2% | 85.3% | 92.2% | 93.0% | 92.0% | 92.0% | 96.0% | 95.0% | X | X | 100.0% | 100.0% |
| 21: Discharge of Mentally Ill or Mentally Retarded Children | 100% | X | 100.0% | 100.0% | 100.0% | 100.0% | 95.7% | 92.0% | 97.0% | 96.1% | 97.3% | 98.1% | 100.0% | 97.6% | 100.0% | 97.2% | 96.7% | 95.0% | 95.0% | 98.0% | 97.0% | 96.0% | 95.0% | X | X | 97.0% | 100.0% |
| 22: Multi-disciplinary Exams (MDE) | >=85% | 5.6% | 95.5% | 93.8% | 90.0% | 93.4% | 93.3% | 96.3% | 91.9% | 97.5% | 96.1% | 96.4% | 95.7% | 95.7% | 91.4% | 94.5% | 93.6% | 90.1% | 94.0% | 93.6% | 98.7% | 96.4% | 95.2% | 96.8% | 91.1% | 94.2% | 86.0% |

Outcome Measure 17 Worker-Child Visitation In-Home - Current automated reporting indicates the measure as statistically achieved, however this does not accurately reflect performance findings. The Outcome Measure 17 Pre-Certification Review indicated that compliance is not achieved. While DCF reports are numerically accurate based upon the algorithms utilized, user error in selection of narrative entry types, and a failure to demonstrate that workers are meeting the specific steps called for with the definition of 'visit' calls into question the automated report findings. As such, the Monitor will not indicate achievement of the measure based solely on the current reporting.

Juan F. Pre-Certification Review-Status Update Third Quarter 2012

Under the Revised Exit Plan (¶5), the Court Monitor is required to conduct what the parties and the Court Monitor refer to as a “Certification” review as follows:

The Defendants must be in compliance with all of the outcome measures, and in sustained compliance with all of the outcome measures for at least two quarters (six months) prior to asserting compliance and shall maintain compliance through any decision to terminate jurisdiction. The Court Monitor shall then conduct a review of a statistically significant valid sample of case files at a 96% confidence level, and such other measurements as are necessary, to determine whether Defendants are in compliance. The Court Monitor shall then present findings and recommendations to the District Court. The parties shall have a meaningful opportunity to be heard by the Court Monitor before rendering his findings and recommendations.

In recognition of the progress made and sustained by the Department with respect to a number of Outcome Measures, and the fact that the well-being of the *Juan F.* class members will be promoted by the earliest possible identification and resolution of the any quantitative or qualitative problems affecting class members that may be identified by the review required by Revised Exit Plan ¶5, the parties and the Court Monitor agree that it is in the best-interests of the *Juan F.* class members to create a “Pre-Certification” review process. It is expected that this “pre-certification” process may, in certain instances, obviate the need to implement the full certification review for certain outcome measures after sustained compliance is achieved for all Outcome Measures.

The “Pre-Certification” process that parties and the Court Monitor have created, and to which they have agreed, is as follows:

If DCF has sustained compliance as required by the Revised Exit Plan for at least two consecutive quarters (6 months) for any Outcome Measure (“OM”), the Court Monitor may, in his discretion, conduct a “pre-certification review” of that OM (“Pre-Certification Review”). The purpose of the Pre-Certification Review is to recognize DCF’s sustained improved performance, to identify and provide a prompt and timely opportunity to remedy any problem areas that are affecting the well-being of *Juan F.* class members, and to increase the efficiency of DCF’s eventual complete compliance and exit from the Consent Decree.

Other than conducting the Pre-Certification Review earlier than the review mandated by Revised Exit Plan ¶5, the Pre-Certification Review will be conducted in accordance with the provision for review as described in the Revised Exit Plan ¶5 unless otherwise agreed upon by the parties and the Court Monitor.

If the Pre-Certification Review does not identify any material issues requiring remediation, and no assertions of noncompliance with the specific Outcome Measures(s) at issue are pending at the time Defendants assert sustained compliance with all Outcome Measures, the Parties agree that the full review as per paragraph 5 of the Revised Exit Plan will not be required after the

Defendants assert sustained compliance with all Outcome Measures. Upon Defendants' assertion of sustained compliance with all Outcome Measures, the parties, with the involvement and consent of the Court Monitor, agree to present for the Court's review, any agreement to conduct less than the full review process required by Revised Exit Plan (§5) for any specific Outcome Measures, as a proposed modification of the Revised Exit Plan.

This report contains three additional Pre-Certification reviews conducted per the agreement of the parties and consistent with the required statistical methodology outlined in the *Juan F.* v Rell Revised Exit Plan July 1, 2004. (See Appendices 2, 3, and 4 for results on OM 8, OM 9 and OM 22 Pre-Certification Reviews.) This brings the total number of reviews completed to nine (9). One additional review, OM7 (Reunification) has undergone data collection and is currently in the data entry stage.

The *Juan F.* parties and the Court Monitor have determined that the results from eight of the nine completed pre-certification reviews have met the quantitative and qualitative standards set forth for each of them and are thus pre-certified while one Pre-Certification Review was determined to not meet either the quantitative or qualitative standard. While pre-certified, these reviews have identified systemic issues that undermine DCF's successful path to achieving timely outcomes for children. These issues are more prominent in some of the reviewed measures than others. Consistency in supervision, documentation of casework efforts and communication and collaboration with families and external stakeholders all were identified as issues that impede the quality of the Department's casework and require improvement. In brief, the results of pre-certification determinations to date are reported below.

| Outcome Measure | Statement of Outcome | Status |
|---|--|---------------|
| OM 7: Reunification | At least 60% of the children, who are reunified with their parents or guardians, shall be reunified within 12 months of their most recent removal from home. | In Progress |
| OM 8: Adoption | At least 32% of the children who are adopted shall have their adoptions finalized within 24 months of the child's most recent removal from his/her home. | Pre-Certified |
| OM 9: Transfer of Guardianship | At least 70% of all children whose custody is legally transferred shall have their guardianship transferred within 24 months of the child's most recent removal from his/her home. | Pre-Certified |
| OM 12: Multiple Placements | Beginning on January 1, 2004, at least 85% of the children in DCF custody shall experience no more than three (3) placements during any twelve month period. | Pre-Certified |
| OM 14: Placement within Licensed Capacity | At least 96% of all children placed in foster homes shall be in foster homes operating within their licensed capacity, except when necessary to accommodate sibling groups. | Pre-Certified |
| OM 16: Worker/ Child Visitation (Child in Placement) | DCF shall visit at least 85% of all out-of-home children at least once a month, except for probate, interstate, or voluntary cases. All children must be seen by their DCF Social Worker at least quarterly. | Pre-Certified |

| Outcome Measure | Statement of Outcome | Status |
|---|---|--|
| OM 17: Worker-Child Visitation (In-Home) | DCF shall visit at least 85% of all in-home family cases at least twice a month, except for probate, interstate or voluntary cases. Definitions and Clarifications: 1. Twice monthly visitation must be documented with each active child participant in the case. Visitation occurring in the home, school or other community setting will be considered for Outcome Measure 17. | Not Pre-Certified on the quantitative or in relation to achieving the qualitative standards. |
| OM 20: Discharge Measures | At least 85.0% of all children age 18 or older shall have achieved one or more of the following prior to discharge from DCF custody: (a) Graduation from High School; (b) Acquisition of GED; (c) Enrollment in or completion of college or other post secondary training program full-time; (d) Enrollment in college or other post secondary training program part-time with part-time employment; (e) Full-time employment; (f) Enlistment full-time member of the military. | Pre-Certified |
| OM 21: Discharge of Mentally Ill or Developmentally Disabled Youth | DCF shall submit a written discharge plan to either/or DMHAS or DDS for all children who are mentally ill or developmentally delayed and require adult services." | Pre-Certified |
| OM22: Multi-disciplinary Exams | At least 85% of the children entering the custody of DCF for the first time shall have an MDE conducted within 30 days of placement." | Pre-Certified |

Pre-Certification Next Steps

In discussion with the parties it was determined that prior to proceeding with additional statistically valid methodologies outlined in the Revised Exit Plan for the remaining outcome measures, the Court Monitor would establish the need for such intensive and resource heavy focused review efforts/evaluation, with proposals for conducting reviews of the remaining outcome measures to be shared with the parties for consideration and approval.

This work has been completed and the Court Monitor has begun the task of organizing to conduct additional reviews over the next year. Future reports will update both completed reviews and reviews in progress. As part of the discussion with the parties, steps are also in place to assist the Department in replication of the Congregate Care Discharge Review that was undertaken in early 2012 to assess the impact of the decline in the population in residential care due to diversion efforts and the discharges from that placement type.

Review of Outcome Measure 3 and Outcome Measure 15 for the Third Quarter 2012

Statewide, the Third Quarter 2012 result for Outcome Measure 3 (OM3) - Case Plans, is 49.3%. This is a decline over the prior quarter's result of 63.0%, and represents 34 of the 69 case plans achieving the score of "Appropriate Case Plan". One area office achieved the required 90.0% benchmark requirement for the measure as Danbury reached 100.0% compliance among the three plans reviewed. Bridgeport achieved the second highest individual area office performance with 83.3%, closely followed by Manchester with 80.0%. Region IV achieved the highest combined regional performance with 64.3% across all sample cases scored.

Crosstabulation 1: What is the social worker's area office assignment? * Overall Score for OM3 * DCF Region

| DCF Region | What is the social worker's area office assignment? | | Overall Score for OM 3 | | |
|---------------------|---|----------------------|------------------------|------------------------------|--------|
| | | | Appropriate Case Plan | Not an Appropriate Case Plan | Total |
| Region I | Bridgeport | Count | 5 | 1 | 6 |
| | | % within Area Office | 83.3% | 16.7% | 100.0% |
| | Norwalk | Count | 0 | 2 | 2 |
| | | % within Area Office | 0.0% | 100.0% | 100.0% |
| | Stamford | Count | 0 | 1 | 1 |
| | | % within Area Office | 0.0% | 100.0% | 100.0% |
| <i>Region Total</i> | Count | 5 | 4 | 9 | |
| | % within Area Office | 55.6% | 44.4% | 100.0% | |
| Region II | Milford | Count | 2 | 3 | 5 |
| | | % within Area Office | 40.0% | 60.0% | 100.0% |
| | New Haven | Count | 4 | 2 | 6 |
| | | % within Area Office | 66.7% | 33.3% | 100.0% |
| | <i>Region Total</i> | Count | 6 | 5 | 11 |
| | | % within Area Office | 54.5% | 45.5% | 100.0% |
| Region III | Middletown | Count | 0 | 3 | 3 |
| | | % within Area Office | 0.0% | 100.0% | 100.0% |
| | Norwich | Count | 1 | 5 | 6 |
| | | % within Area Office | 16.7% | 83.3% | 100.0% |
| | Willimantic | Count | 4 | 2 | 6 |
| | | % within Area Office | 66.7% | 33.3% | 100.0% |
| <i>Region Total</i> | Count | 5 | 10 | 15 | |
| | % within Area Office | 33.3% | 66.7% | 100.0% | |
| Region IV | Hartford | Count | 5 | 4 | 9 |
| | | % within Area Office | 55.6% | 44.4% | 100.0% |
| | Manchester | Count | 4 | 1 | 5 |
| | | % within Area Office | 80.0% | 20.0% | 100.0% |
| | <i>Region Total</i> | Count | 9 | 5 | 14 |
| | | % within Area Office | 64.3% | 35.7% | 100.0% |
| Region V | Danbury | Count | 3 | 0 | 3 |
| | | % within Area Office | 100.0% | 0.0% | 100.0% |
| | Torrington | Count | 1 | 2 | 3 |
| | | % within Area Office | 33.3% | 6.7% | 100.0% |
| | Waterbury | Count | 0 | 5 | 5 |
| | | % within Area Office | 0.0% | 100.0% | 100.0% |
| <i>Region Total</i> | Count | 4 | 7 | 11 | |
| | % within Area Office | 36.4% | 63.6% | 100.0% | |
| Region VI | Meriden | Count | 1 | 2 | 3 |
| | | % within Area Office | 33.3% | 66.7% | 100.0% |
| | New Britain | Count | 4 | 2 | 6 |
| | | % within Area Office | 66.7% | 33.3% | 100.0% |
| | <i>Region Total</i> | Count | 5 | 4 | 9 |
| | | % within Area Office | 55.6% | 44.4% | 100.0% |

All 69 case plans and case planning efforts were accommodating of the family's primary language. Seven case plans were not approved by the Social Work Supervisor. One of the cases had all of the other domains within the very good or optimal range and via our review of the LINK record and area office feedback demonstrated supervisory oversight; and therefore was granted an override. The others had lower scores identified in areas such as engagement, assessment, objective, progress or action steps and therefore would not have passed our review for these other factors in addition to the lack of supervisory approval. This issue was called to the attention of the Area Directors as it has not been prevalent in recent review findings. Statewide scores are reflected in the column headings. All other domain areas were in the eight or ninety percentile range for compliance with the set standards.

Table 1: Case Summaries for Outcome Measure 3

| Area Office | Case | Has the Case plan been approved by the SWS 89.9% | Reason for DCF Involvement 95.7% | Identifying Information 94.2% | Engagement of Child and Family (formerly Strengths, Needs and Other Issues) 53.6% | Present Situation and Assessment to Date of Review 58.0% | Determining the Goals/ Objectives 69.6% | Progress 79.7% | Action Steps to Achieving Goals Identified for the Upcoming Six Month Period 68.1% | Planning for Permanency 88.4% | Overall Score for OM3 47.8% |
|-------------------|------|---|-------------------------------------|----------------------------------|--|---|--|-------------------|---|----------------------------------|--------------------------------|
| Bridgeport | 1 | yes | Very Good | Very Good | Marginal | Marginal | Very Good | Very Good | Very Good | Optimal | Appropriate Case Plan* |
| | 2 | yes | Optimal | Optimal | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Appropriate Case Plan |
| | 3 | yes | Optimal | Very Good | Very Good | Very Good | Optimal | Very Good | Optimal | Very Good | Appropriate Case Plan |
| | 4 | no | Very Good | Optimal | Marginal | Marginal | Very Good | Very Good | Very Good | Optimal | Not an Appropriate Case Plan |
| | 5 | yes | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Optimal | Appropriate Case Plan |
| | 6 | yes | Optimal | Optimal | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Appropriate Case Plan |
| | | | 83.3% | 100.0% | 100.0% | 66.7% | 66.7% | 100.0% | 100.0% | 100.0% | 100.0% |
| Danbury | 1 | yes | Very Good | Very Good | Very Good | Very Good | Optimal | Very Good | Very Good | Optimal | Appropriate Case Plan |
| | 2 | yes | Very Good | Very Good | Optimal | Very Good | Very Good | Very Good | Very Good | Very Good | Appropriate Case Plan |
| | 3 | yes | Very Good | Very Good | Marginal | Marginal | Very Good | Very Good | Very Good | Optimal | Appropriate Case Plan* |
| | | | 100.0% | 100.0% | 100.0% | 66.7% | 66.7% | 100.0% | 100.0% | 100.0% | 66.7% |

| Area Office | Case | Has the Case plan been approved by the SWS 89.9% | Reason for DCF Involvement 95.7% | Identifying Information 94.2% | Engagement of Child and Family (formerly Strengths, Needs and Other Issues) 53.6% | Present Situation and Assessment to Date of Review 58.0% | Determining the Goals/ Objectives 69.6% | Progress 79.7% | Action Steps to Achieving Goals Identified for the Upcoming Six Month Period 68.1% | Planning for Permanency 88.4% | Overall Score for OM3 47.8% | |
|-----------------|------|---|-------------------------------------|----------------------------------|--|---|--|-------------------|---|----------------------------------|--------------------------------|------------------------------|
| Milford | 1 | yes | Very Good | Very Good | Marginal | Marginal | Marginal | Marginal | Marginal | Very Good | Not an Appropriate Case Plan | |
| | 2 | yes | Optimal | Very Good | Very Good | Very Good | Very Good | Optimal | Very Good | Optimal | Appropriate Case Plan | |
| | 3 | yes | Very Good | Very Good | Marginal | Marginal | Marginal | Marginal | Very Good | Very Good | Not an Appropriate Case Plan | |
| | 4 | yes | Very Good | Very Good | Marginal | Marginal | Marginal | Very Good | Marginal | Very Good | Not an Appropriate Case Plan | |
| | 5 | yes | Optimal | Optimal | Very Good | Marginal | Very Good | Very Good | Very Good | Very Good | Appropriate Case Plan* | |
| | | | 100.0% | 100.0% | 100.0% | 40.0% | 20.0% | 40.0% | 60.0% | 60.0% | 100.0% | 40.0% |
| Hartford | 1 | yes | Optimal | Very Good | Very Good | Very Good | Very Good | Optimal | Very Good | Optimal | Appropriate Case Plan | |
| | 2 | yes | Very Good | Very Good | Marginal | Marginal | Very Good | Marginal | Very Good | Very Good | Not an Appropriate Case Plan | |
| | 3 | yes | Very Good | Very Good | Marginal | Very Good | Marginal | Very Good | Very Good | Optimal | Not an Appropriate Case Plan | |
| | 4 | yes | Very Good | Very Good | Optimal | Optimal | Very Good | Very Good | Very Good | Marginal | Appropriate Case Plan* | |
| | 5 | yes | Optimal | Very Good | Optimal | Very Good | Very Good | Very Good | Very Good | Optimal | Appropriate Case Plan | |
| | 6 | yes | Very Good | Very Good | Marginal | Very Good | Very Good | Very Good | Very Good | Very Good | Appropriate Case Plan* | |
| | 7 | yes | Very Good | Very Good | Very Good | Very Good | Marginal | Marginal | Too early to note progress | Marginal | Very Good | Not an Appropriate Case Plan |
| | 8 | yes | Optimal | Optimal | Marginal | Optimal | Optimal | Optimal | Very Good | Very Good | Optimal | Appropriate Case Plan* |
| | 9 | yes | Optimal | Optimal | Very Good | Very Good | Very Good | Marginal | Very Good | Marginal | Very Good | Not an Appropriate Case Plan |
| | | 100.0% | 100.0% | 100.0% | 55.6% | 77.8% | 66.7% | 87.5% | 77.8% | 88.9% | 55.6% | |

| Area Office | Case | Has the Case plan been approved by the SWS | Reason for DCF Involvement | Identifying Information | Engagement of Child and Family (formerly Strengths, Needs and Other Issues) | Present Situation and Assessment to Date of Review | Determining the Goals/ Objectives | Progress | Action Steps to Achieving Goals Identified for the Upcoming Six Month Period | Planning for Permanency | Overall Score for OM3 |
|-------------------|------|--|----------------------------|-------------------------|---|--|-----------------------------------|---------------|--|-------------------------|------------------------------|
| | | 89.9% | 95.7% | 94.2% | 53.6% | 58.0% | 69.6% | 79.7% | 68.1% | 88.4% | 47.8% |
| Manchester | 1 | yes | Optimal | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Appropriate Case Plan |
| | 2 | yes | Optimal | Optimal | Very Good | Optimal | Very Good | Marginal | Marginal | Optimal | Appropriate Case Plan* |
| | 3 | yes | Very Good | Very Good | Marginal | Marginal | Very Good | Very Good | Very Good | Very Good | Not an Appropriate Case Plan |
| | 4 | yes | Very Good | Very Good | Very Good | Very Good | Very Good | Optimal | Very Good | Optimal | Appropriate Case Plan |
| | 5 | yes | Optimal | Optimal | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Appropriate Case Plan |
| | | | 100.0% | 100.0% | 100.0% | 80.0% | 80.0% | 100.0% | 80.0% | 80.0% | 100.0% |
| Meriden | 1 | yes | Optimal | Very Good | Marginal | Marginal | Very Good | Very Good | Marginal | Very Good | Not an Appropriate Case Plan |
| | 2 | yes | Optimal | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Optimal | Appropriate Case Plan |
| | 3 | yes | Very Good | Very Good | Very Good | Very Good | Marginal | Very Good | Marginal | Very Good | Not an Appropriate Case Plan |
| | | | 100.0% | 100.0% | 100.0% | 66.7% | 66.7% | 66.7% | 100.0% | 33.3% | 100.0% |
| Middletown | 1 | no | Optimal | Very Good | Marginal | Very Good | Very Good | Optimal | Very Good | Optimal | Not an Appropriate Case Plan |
| | 2 | no | Optimal | Very Good | Marginal | Marginal | Very Good | Very Good | Very Good | Very Good | Not an Appropriate Case Plan |
| | 3 | yes | Very Good | Marginal | Marginal | Marginal | Marginal | Marginal | Marginal | Very Good | Not an Appropriate Case Plan |
| | | | 33.3% | 100.0% | 66.7% | 0.0% | 33.3% | 66.7% | 66.7% | 66.7% | 100.0% |

| Area Office | Case | Has the Case plan been approved by the SWS 89.9% | Reason for DCF Involvement 95.7% | Identifying Information 94.2% | Engagement of Child and Family (formerly Strengths, Needs and Other Issues) 53.6% | Present Situation and Assessment to Date of Review 58.0% | Determining the Goals/ Objectives 69.6% | Progress 79.7% | Action Steps to Achieving Goals Identified for the Upcoming Six Month Period 68.1% | Planning for Permanency 88.4% | Overall Score for OM3 47.8% |
|--------------------|------|---|-------------------------------------|----------------------------------|--|---|--|----------------------------|---|----------------------------------|--------------------------------|
| New Britain | 1 | yes | Very Good | Very Good | Very Good | Marginal | Very Good | Very Good | Marginal | Very Good | Not an Appropriate Case Plan |
| | 2 | yes | Optimal | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Appropriate Case Plan |
| | 3 | yes | Very Good | Very Good | Very Good | Very Good | Optimal | Optimal | Very Good | Very Good | Appropriate Case Plan |
| | 4 | yes | Optimal | Very Good | Optimal | Optimal | Very Good | Optimal | Very Good | Very Good | Appropriate Case Plan |
| | 5 | no | Optimal | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Appropriate Case Plan* |
| | 6 | yes | Marginal | Very Good | Marginal | Marginal | Marginal | Too early to note progress | Marginal | Very Good | Not an Appropriate Case Plan |
| | | | 83.3% | 83.3% | 100.0% | 83.3% | 66.7% | 83.3% | 100.0% | 66.7% | 100.0% |
| New Haven | 1 | yes | Very Good | Very Good | Marginal | Marginal | Very Good | Optimal | Marginal | Very Good | Not an Appropriate Case Plan |
| | 2 | yes | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Appropriate Case Plan |
| | 3 | yes | Optimal | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Optimal | Appropriate Case Plan |
| | 4 | yes | Very Good | Very Good | Very Good | Marginal | Very Good | Very Good | Very Good | Very Good | Appropriate Case Plan* |
| | 5 | yes | Optimal | Very Good | Marginal | Marginal | Marginal | Very Good | Very Good | Very Good | Not an Appropriate Case Plan |
| | 6 | yes | Very Good | Very Good | Marginal | Very Good | Very Good | Very Good | Very Good | Optimal | Appropriate Case Plan* |
| | | | 100.0% | 100.0% | 100.0% | 50.0% | 50.0% | 83.3% | 100.0% | 83.3% | 100.0% |
| Norwalk | 1 | yes | Optimal | Very Good | Marginal | Marginal | Marginal | Marginal | Marginal | Marginal | Not an Appropriate Case Plan |
| | 2 | yes | Optimal | Marginal | Marginal | Marginal | Marginal | Marginal | Very Good | Marginal | Not an Appropriate Case Plan |
| | | | 100.0% | 100.0% | 50.0% | 0.0% | 0.0% | 0.0% | 0.0% | 50.0% | 0.0% |

| Area Office | Case | Has the Case plan been approved by the SWS | Reason for DCF Involvement | Identifying Information | Engagement of Child and Family (formerly Strengths, Needs and Other Issues) | Present Situation and Assessment to Date of Review | Determining the Goals/ Objectives | Progress | Action Steps to Achieving Goals Identified for the Upcoming Six Month Period | Planning for Permanency | Overall Score for OM3 |
|-------------|------|--|----------------------------|-------------------------|---|--|-----------------------------------|----------------------------|--|-------------------------|------------------------------|
| | | 89.9% | 95.7% | 94.2% | 53.6% | 58.0% | 69.6% | 79.7% | 68.1% | 88.4% | 47.8% |
| Norwich | 1 | yes | Very Good | Marginal | Very Good | Marginal | Very Good | Very Good | Very Good | Very Good | Not an Appropriate Case Plan |
| | 2 | yes | Very Good | Very Good | Marginal | Marginal | Marginal | Very Good | Marginal | Very Good | Not an Appropriate Case Plan |
| | 3 | yes | Very Good | Very Good | Very Good | Marginal | Very Good | Too early to note progress | Optimal | Optimal | Appropriate Case Plan* |
| | 4 | no | Optimal | Very Good | Marginal | Marginal | Marginal | Very Good | Marginal | Marginal | Not an Appropriate Case Plan |
| | 5 | yes | Very Good | Optimal | Marginal | Marginal | Very Good | Too early to note progress | Very Good | Very Good | Not an Appropriate Case Plan |
| | 6 | yes | Very Good | Very Good | Marginal | Very Good | Very Good | Marginal | Very Good | Marginal | Not an Appropriate Case Plan |
| | | | 83.3% | 100.0% | 83.3% | 33.3% | 16.7% | 66.7% | 75.0% | 66.7% | 66.7% |
| Stamford | 1 | yes | Poor | Marginal | Marginal | Poor | Marginal | Poor | Poor | Poor | Not an Appropriate Case Plan |
| | | | 100.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% |
| Torrington | 1 | yes | Very Good | Very Good | Marginal | Marginal | Very Good | Marginal | Marginal | Very Good | Not an Appropriate Case Plan |
| | 2 | yes | Very Good | Very Good | Very Good | Optimal | Marginal | Optimal | Very Good | Very Good | Appropriate Case Plan* |
| | 3 | no | Very Good | Very Good | Marginal | Very Good | Marginal | Very Good | Very Good | Very Good | Not an Appropriate Case Plan |
| | | | 66.7% | 100.0% | 100.0% | 33.3% | 66.7% | 33.3% | 66.7% | 66.7% | 100.0% |

| Area Office | Case | Has the Case plan been approved by the SWS | Reason for DCF Involvement | Identifying Information | Engagement of Child and Family (formerly Strengths, Needs and Other Issues) | Present Situation and Assessment to Date of Review | Determining the Goals/ Objectives | Progress | Action Steps to Achieving Goals Identified for the Upcoming Six Month Period | Planning for Permanency | Overall Score for OM3 |
|-----------------|------|--|----------------------------|-------------------------|---|--|-----------------------------------|----------------------------|--|-------------------------|------------------------------|
| | | 89.9% | 95.7% | 94.2% | 53.6% | 58.0% | 69.6% | 79.7% | 68.1% | 88.4% | 47.8% |
| Waterbury | 1 | yes | Optimal | Very Good | Very Good | Very Good | Very Good | Very Good | Marginal | Marginal | Not an Appropriate Case Plan |
| | 2 | no | Very Good | Very Good | Very Good | Poor | Very Good | Marginal | Marginal | Marginal | Not an Appropriate Case Plan |
| | 3 | yes | Optimal | Optimal | Marginal | Very Good | Marginal | Optimal | Marginal | Very Good | Not an Appropriate Case Plan |
| | 4 | yes | Very Good | Very Good | Marginal | Very Good | Marginal | Very Good | Marginal | Very Good | Not an Appropriate Case Plan |
| | 5 | yes | Marginal | Very Good | Marginal | Marginal | Marginal | Marginal | Marginal | Very Good | Not an Appropriate Case Plan |
| | | | 80.0% | 80.0% | 100.0% | 40.0% | 60.0% | 40.0% | 60.0% | 0.0% | 60.0% |
| Willimantic | 1 | yes | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Appropriate Case Plan |
| | 2 | yes | Optimal | Very Good | Very Good | Optimal | Very Good | Very Good | Very Good | Very Good | Appropriate Case Plan |
| | 3 | yes | Optimal | Optimal | Very Good | Very Good | Very Good | Too early to note progress | Optimal | Optimal | Appropriate Case Plan |
| | 4 | yes | Optimal | Very Good | Very Good | Very Good | Marginal | Very Good | Marginal | Very Good | Not an Appropriate Case Plan |
| | 5 | yes | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Optimal | Appropriate Case Plan |
| | 6 | yes | Very Good | Optimal | Marginal | Very Good | Very Good | Marginal | Very Good | Very Good | Not an Appropriate Case Plan |
| | | | 100.0% | 100.0% | 100.0% | 83.3% | 100.0% | 83.3% | 80.0% | 83.3% | 100.0% |
| Statewide Total | N | 69 | 69 | 69 | 69 | 69 | 69 | 69 | 69 | 69 | 69 |
| | % | 89.9% | 95.7% | 94.2% | 53.6% | 58.0% | 69.6% | 79.7% | 68.1% | 88.4% | 47.8% |

* indicates the presence of a Court Monitor's Override to allow for overall appropriate score due to information presented in the case documentation or in conversation with the area office related to case planning that may be marginal within the identified area of the case plan document, but can be demonstrated to have been achieved via other avenues.

Outcome Measure 15 was achieved at a rate of 53.6% down slightly from the 61.1% achieved in Second Quarter 2012. This translates to 37 of the 69 cases reviewed being assessed as having all of the priority needs of the children and families identified during the period under review met timely and adequately. Several offices did meet or exceed this mark during the quarter: Manchester (100.0%), New Britain (83.3%), and Willimantic (83.3%). None of the six designated regions achieved 80.0%. The two highest performing regions were Region IV with 78.6% and Region VI with 77.8%.

Crosstabulation 2: What is the social worker's area office assignment? * Overall Score for Outcome Measure 15 * DCF Region

| DCF Region | | | Overall Score for Outcome Measure 15 | | |
|-----------------|-------------|-----------------|--------------------------------------|---------------|--------|
| | | | Needs Met | Needs Not Met | Total |
| Region I | Bridgeport | Count | 3 | 3 | 6 |
| | | % within Office | 50.0% | 50.0% | 100.0% |
| | Norwalk | Count | 0 | 2 | 2 |
| | | % within Office | .0% | 100.0% | 100.0% |
| | Stamford | Count | 0 | 1 | 1 |
| | | % within Office | .0% | 100.0% | 100.0% |
| | Total | Count | 3 | 6 | 9 |
| % within Region | 33.3% | 66.7% | 100.0% | | |
| Region II | Milford | Count | 1 | 4 | 5 |
| | | % within Office | 20.0% | 80.0% | 100.0% |
| | New Haven | Count | 3 | 3 | 6 |
| | | % within Office | 50.0% | 50.0% | 100.0% |
| | Total | Count | 4 | 7 | 11 |
| % within Region | 36.4% | 63.6% | 100.0% | | |
| Region III | Middletown | Count | 2 | 1 | 3 |
| | | % within Office | 66.7% | 33.3% | 100.0% |
| | Norwich | Count | 2 | 4 | 6 |
| | | % within Office | 33.3% | 66.7% | 100.0% |
| | Willimantic | Count | 5 | 1 | 6 |
| | | % within Office | 83.3% | 16.7% | 100.0% |
| | Total | Count | 9 | 6 | 15 |
| % within Region | 60.0% | 40.0% | 100.0% | | |
| Region IV | Hartford | Count | 6 | 3 | 9 |
| | | % within Office | 66.7% | 33.3% | 100.0% |
| | Manchester | Count | 5 | 0 | 5 |
| | | % within Office | 100.0% | .0% | 100.0% |
| | Total | Count | 11 | 3 | 14 |
| % within Region | 78.6% | 21.4% | 100.0% | | |
| Region V | Danbury | Count | 2 | 1 | 3 |
| | | % within Office | 66.7% | 33.3% | 100.0% |
| | Torrington | Count | 0 | 3 | 3 |
| | | % within Office | .0% | 100.0% | 100.0% |
| | Waterbury | Count | 1 | 4 | 5 |
| | | % within Office | 20.0% | 80.0% | 100.0% |
| Total | Count | 3 | 8 | 11 | |
| % within Region | 27.3% | 72.7% | 100.0% | | |
| Region VI | Meriden | Count | 2 | 1 | 3 |
| | | % within Office | 66.7% | 33.3% | 100.0% |
| | New Britain | Count | 5 | 1 | 6 |
| | | % within Office | 83.3% | 16.7% | 100.0% |
| | Total | Count | 7 | 2 | 9 |
| % within Region | 77.8% | 22.2% | 100.0% | | |

The most problematic areas for meeting the service needs for the children and families sampled within our 54 cases were in the domains of Permanency: DCF Case Management - Contracting or Providing Services to Achieve the Permanency Goal during the Prior Six Months (statewide score of 43.5%) and Well-Being: Mental Health, Behavioral and Substance Abuse Services (statewide score of 67.7%). In addition, the domain Well-Being: Education (statewide score of 78.6%) did not meet the 80.0% level. All other individual domain areas were above the 80.0% threshold. Domain percentages are indicated in the column headings below. Area Office performances are indicated at the bottom of each area case count in the summary.

Table 2: Case Summaries for Third Quarter 2012 Outcome Measure 15

| Area Office | | Risk: In-Home 90.6% | Risk: Child In Placement 95.5% | Permanency: Securing the Permanent Placement - Action Plan for the Next Six Months 100.0% | Permanency: DCF Case Mgmt - Legal Action to Achieve the Permanency Goal During the Prior Six Months 91.3% | Permanency: DCF Case Mgmt - Recruitment for Placement Providers to Achieve the Permanency Goal during the Prior Six Months 100.0% | Permanency: DCF Case Mgmt - Contracting or Providing Services to Achieve the Permanency Goal during the Prior Six Months 43.5% | Well-Being: Medical Needs 82.6% | Well-Being: Dental Needs 84.1% | Well-Being: Mental Health, Behavioral and Substance Abuse Services 67.7% | Well-Being: Child's Current Placement 92.9% | Well-Being: Education 78.6% | Overall Score for Outcome Measure 15 53.6% |
|-------------|---|------------------------|-----------------------------------|--|--|--|---|------------------------------------|-----------------------------------|---|--|--------------------------------|---|
| Bridgeport | 1 | Very Good | N/A to Case Type | N/A to Case Type | Optimal | N/A to Case Type | Very Good | Optimal | Very Good | Very Good | N/A to Case Type | N/A to Case Type | Needs Met |
| | 2 | N/A to Case Type | Very Good | Very Good | Very Good | Very Good | Marginal | Optimal | Poor | Marginal | Very Good | Marginal | Needs Not Met |
| | 3 | N/A to Case Type | Optimal | Very Good | Very Good | Very Good | Very Good | Optimal | Optimal | Very Good | Very Good | Very Good | Needs Met |
| | 4 | Marginal | N/A to Case Type | N/A to Case Type | Optimal | N/A to Case Type | Marginal | Marginal | Marginal | Marginal | N/A to Case Type | Very Good | Needs Not Met |
| | 5 | N/A to Case Type | Very Good | Optimal | Optimal | Optimal | Marginal | Optimal | Marginal | Very Good | Optimal | Very Good | Needs Met |
| | 6 | N/A to Case Type | Very Good | Very Good | Very Good | Very Good | Marginal | Very Good | Very Good | Marginal | Very Good | Poor | Needs Not Met |
| | | | 50.0% | 100.0% | 100.0% | 100.0% | 100.0% | 33.3% | 83.3% | 50.0% | 50.0% | 100.0% | 60.0% |

| Area Office | | Risk: In-Home 90.6% | Risk: Child In Placement 95.5% | Permanency: Securing the Permanent Placement - Action Plan for the Next Six Months 100.0% | Permanency: DCF Case Mgmt - Legal Action to Achieve the Permanency Goal During the Prior Six Months 91.3% | Permanency: DCF Case Mgmt - Recruitment for Placement Providers to Achieve the Permanency Goal during the Prior Six Months 100.0% | Permanency: DCF Case Mgmt - Contracting or Providing Services to Achieve the Permanency Goal during the Prior Six Months 43.5% | Well-Being: Medical Needs 82.6% | Well-Being: Dental Needs 84.1% | Well-Being: Mental Health, Behavioral and Substance Abuse Services 67.7% | Well-Being: Child's Current Placement 92.9% | Well-Being: Education 78.6% | Overall Score for Outcome Measure 15 53.6% |
|----------------|---|------------------------|-----------------------------------|--|--|--|---|------------------------------------|-----------------------------------|---|--|--------------------------------|---|
| Danbury | 1 | N/A to Case Type | Optimal | Optimal | Optimal | Optimal | Very Good | Optimal | Optimal | Optimal | Optimal | Optimal | Needs Met |
| | 2 | N/A to Case Type | Very Good | Very Good | Optimal | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Needs Met |
| | 3 | Very Good | N/A to Case Type | N/A to Case Type | Absent/Averse | N/A to Case Type | Very Good | Very Good | Very Good | Very Good | N/A to Case Type | Very Good | Needs Not Met |
| | | 100.0% | 100.0% | 100.0% | 66.7% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% |
| Milford | 1 | Very Good | N/A to Case Type | N/A to Case Type | Very Good | N/A to Case Type | Marginal | Marginal | Very Good | Marginal | N/A to Case Type | Marginal | Needs Not Met |
| | 2 | N/A to Case Type | Optimal | Very Good | Optimal | Very Good | Very Good | Very Good | Optimal | Very Good | Very Good | Optimal | Needs Met |
| | 3 | Very Good | Optimal | N/A to Case Type | Very Good | Optimal | Marginal | Optimal | Optimal | Very Good | N/A to Case Type | N/A to Case Type | Needs Not Met |
| | 4 | Very Good | N/A to Case Type | N/A to Case Type | Very Good | N/A to Case Type | Marginal | Marginal | Very Good | Very Good | N/A to Case Type | Marginal | Needs Not Met |
| | 5 | N/A to Case Type | Very Good | Very Good | Very Good | Optimal | Marginal | Very Good | Very Good | Very Good | Very Good | Optimal | Needs Not Met |
| | | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 20.0% | 60.0% | 100.0% | 80.0% | 100.0% | 50.0% | 20.0% |

| Area Office | Risk: In-Home | Risk: Child In Placement | Permanency: Securing the Permanent Placement - Action Plan for the Next Six Months | Permanency: DCF Case Mgmt - Legal Action to Achieve the Permanency Goal During the Prior Six Months | Permanency: DCF Case Mgmt - Recruitment for Placement Providers to Achieve the Permanency Goal during the Prior Six Months | Permanency: DCF Case Mgmt - Contracting or Providing Services to Achieve the Permanency Goal during the Prior Six Months | Well-Being: Medical Needs | Well-Being: Dental Needs | Well-Being: Mental Health, Behavioral and Substance Abuse Services | Well-Being: Child's Current Placement | Well-Being: Education | Overall Score for Outcome Measure 15 | |
|-------------|---------------|--------------------------|--|---|--|--|---------------------------|--------------------------|--|---------------------------------------|-----------------------|--------------------------------------|---------------|
| | 90.6% | 95.5% | 100.0% | 91.3% | 100.0% | 43.5% | 82.6% | 84.1% | 67.7% | 92.9% | 78.6% | 53.6% | |
| Hartford | 1 | N/A to Case Type | Optimal | Optimal | Optimal | Optimal | Very Good | Optimal | Optimal | Optimal | Very Good | N/A to Case Type | Needs Met |
| | 2 | Optimal | N/A to Case Type | N/A to Case Type | Very Good | N/A to Case Type | Marginal | Marginal | Poor | Marginal | N/A to Case Type | Marginal | Needs Not Met |
| | 3 | N/A to Case Type | Very Good | Optimal | Optimal | Optimal | Marginal | Marginal | Very Good | Optimal | Optimal | Optimal | Needs Not Met |
| | 4 | N/A to Case Type | Optimal | Optimal | Very Good | Optimal | Very Good | Optimal | Optimal | Optimal | Optimal | Optimal | Needs Met |
| | 5 | N/A to Case Type | Very Good | Very Good | Optimal | Optimal | Marginal | Optimal | Optimal | Optimal | Optimal | Very Good | Needs Not Met |
| | 6 | Very Good | Very Good | Optimal | Optimal | Optimal | Very Good | Very Good | Optimal | Optimal | Very Good | Very Good | Needs Met |
| | 7 | N/A to Case Type | Very Good | Very Good | Optimal | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Needs Met |
| | 8 | N/A to Case Type | Optimal | Very Good | Very Good | Optimal | Very Good | Optimal | Very Good | Very Good | Very Good | N/A to Case Type | Needs Met |
| | 9 | Very Good | N/A to Case Type | N/A to Case Type | Optimal | N/A to Case Type | Very Good | Marginal | Marginal | Very Good | N/A to Case Type | Very Good | Needs Met* |
| | | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 66.7% | 66.7% | 77.8% | 88.9% | 100.0% | 85.7% | 66.7% |

| Area Office | | Risk: In-Home | Risk: Child In Placement | Permanency: Securing the Permanent Placement - Action Plan for the Next Six Months | Permanency: DCF Case Mgmt - Legal Action to Achieve the Permanency Goal During the Prior Six Months | Permanency: DCF Case Mgmt - Recruitment for Placement Providers to Achieve the Permanency Goal during the Prior Six Months | Permanency: DCF Case Mgmt - Contracting or Providing Services to Achieve the Permanency Goal during the Prior Six Months | Well-Being: Medical Needs | Well-Being: Dental Needs | Well-Being: Mental Health, Behavioral and Substance Abuse Services | Well-Being: Child's Current Placement | Well-Being: Education | Overall Score for Outcome Measure 15 |
|-------------------|---|------------------|--------------------------|--|---|--|--|---------------------------|--------------------------|--|---------------------------------------|-----------------------|--------------------------------------|
| | | 90.6% | 95.5% | 100.0% | 91.3% | 100.0% | 43.5% | 82.6% | 84.1% | 67.7% | 92.9% | 78.6% | 53.6% |
| Manchester | 1 | N/A to Case Type | Very Good | Very Good | Very Good | Optimal | Very Good | Very Good | Optimal | Very Good | Optimal | N/A to Case Type | Needs Met |
| | 2 | N/A to Case Type | Optimal | Optimal | Optimal | Optimal | Very Good | Optimal | Optimal | Very Good | Optimal | Optimal | Needs Met |
| | 3 | Very Good | N/A to Case Type | N/A to Case Type | Very Good | N/A to Case Type | Marginal | Very Good | Very Good | Very Good | N/A to Case Type | Very Good | Needs Met* |
| | 4 | Very Good | N/A to Case Type | N/A to Case Type | Optimal | N/A to Case Type | Very Good | Optimal | Optimal | Marginal | N/A to Case Type | Optimal | Needs Met* |
| | 5 | N/A to Case Type | Very Good | Very Good | Optimal | Optimal | Marginal | Optimal | Optimal | Very Good | Optimal | Very Good | Needs Met* |
| | | | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 60.0% | 100.0% | 100.0% | 80.0% | 100.0% | 100.0% |
| Meriden | 1 | Very Good | N/A to Case Type | N/A to Case Type | Very Good | N/A to Case Type | Marginal | Optimal | Very Good | Marginal | N/A to Case Type | Marginal | Needs Not Met |
| | 2 | N/A to Case Type | Optimal | Optimal | Optimal | Very Good | Very Good | Very Good | Very Good | Very Good | Optimal | Very Good | Needs Met |
| | 3 | N/A to Case Type | Very Good | Very Good | Very Good | Very Good | Marginal | Optimal | Optimal | Very Good | Very Good | Very Good | Needs Met* |
| | | | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 33.3% | 100.0% | 100.0% | 66.7% | 100.0% | 66.7% |

| Area Office | | Risk: In-Home | Risk: Child In Placement | Permanency: Securing the Permanent Placement - Action Plan for the Next Six Months | Permanency: DCF Case Mgmt - Legal Action to Achieve the Permanency Goal During the Prior Six Months | Permanency: DCF Case Mgmt - Recruitment for Placement Providers to Achieve the Permanency Goal during the Prior Six Months | Permanency: DCF Case Mgmt - Contracting or Providing Services to Achieve the Permanency Goal during the Prior Six Months | Well-Being: Medical Needs | Well-Being: Dental Needs | Well-Being: Mental Health, Behavioral and Substance Abuse Services | Well-Being: Child's Current Placement | Well-Being: Education | Overall Score for Outcome Measure 15 |
|--------------------|---|------------------|--------------------------|--|---|--|--|---------------------------|--------------------------|--|---------------------------------------|-----------------------|--------------------------------------|
| | | 90.6% | 95.5% | 100.0% | 91.3% | 100.0% | 43.5% | 82.6% | 84.1% | 67.7% | 92.9% | 78.6% | 53.6% |
| Middletown | 1 | N/A to Case Type | Optimal | Optimal | Optimal | Optimal | Marginal | Optimal | Optimal | Very Good | Optimal | Optimal | Needs Met* |
| | 2 | N/A to Case Type | Very Good | Very Good | Very Good | Very Good | Very Good | Optimal | Optimal | Very Good | Optimal | N/A to Case Type | Needs Met |
| | 3 | Very Good | N/A to Case Type | N/A to Case Type | Very Good | N/A to Case Type | Marginal | Poor | Very Good | Marginal | N/A to Case Type | Marginal | Needs Not Met |
| | | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 33.3% | 66.7% | 100.0% | 66.7% | 100.0% | 50.0% | 66.7% |
| New Britain | 1 | Very Good | N/A to Case Type | N/A to Case Type | Very Good | N/A to Case Type | Very Good | Very Good | Very Good | Very Good | N/A to Case Type | Very Good | Needs Met |
| | 2 | Very Good | N/A to Case Type | N/A to Case Type | Optimal | N/A to Case Type | Very Good | Marginal | Marginal | Very Good | N/A to Case Type | Very Good | Needs Met* |
| | 3 | N/A to Case Type | Very Good | Optimal | Optimal | Optimal | Very Good | Optimal | Optimal | Very Good | Optimal | Optimal | Needs Met |
| | 4 | N/A to Case Type | Very Good | Very Good | Very Good | Optimal | Optimal | Optimal | Optimal | Very Good | Very Good | Optimal | Needs Met |
| | 5 | N/A to Case Type | Very Good | Very Good | Optimal | Very Good | Very Good | Optimal | Optimal | Very Good | Very Good | Very Good | Needs Met |
| | 6 | N/A to Case Type | Optimal | Optimal | Optimal | Optimal | Marginal | Optimal | Very Good | Marginal | Optimal | N/A to Case Type | Needs Not Met |
| | | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 83.3% | 83.3% | 83.3% | 83.3% | 100.0% | 100.0% | 83.3% |

| Area Office | | Risk: In-Home 90.6% | Risk: Child In Placement 95.5% | Permanency: Securing the Permanent Placement - Action Plan for the Next Six Months 100.0% | Permanency: DCF Case Mgmt - Legal Action to Achieve the Permanency Goal During the Prior Six Months 91.3% | Permanency: DCF Case Mgmt - Recruitment for Placement Providers to Achieve the Permanency Goal during the Prior Six Months 100.0% | Permanency: DCF Case Mgmt - Contracting or Providing Services to Achieve the Permanency Goal during the Prior Six Months 43.5% | Well-Being: Medical Needs 82.6% | Well-Being: Dental Needs 84.1% | Well-Being: Mental Health, Behavioral and Substance Abuse Services 67.7% | Well-Being: Child's Current Placement 92.9% | Well-Being: Education 78.6% | Overall Score for Outcome Measure 15 53.6% |
|-------------|---|------------------------|-----------------------------------|--|--|--|---|------------------------------------|-----------------------------------|---|--|--------------------------------|---|
| New Haven | 1 | Optimal | N/A to Case Type | N/A to Case Type | Optimal | N/A to Case Type | Very Good | Optimal | Optimal | Very Good | N/A to Case Type | N/A to Case Type | Needs Met |
| | 2 | Very Good | N/A to Case Type | N/A to Case Type | Optimal | N/A to Case Type | Very Good | Optimal | Optimal | Very Good | N/A to Case Type | Very Good | Needs Met |
| | 3 | N/A to Case Type | Very Good | Optimal | Optimal | Optimal | Marginal | Very Good | Optimal | Very Good | Very Good | Very Good | Needs Met* |
| | 4 | Marginal | Very Good | Very Good | Marginal | Very Good | Marginal | Very Good | Very Good | Marginal | Very Good | Marginal | Needs Not Met |
| | 5 | Very Good | Very Good | Very Good | Very Good | Very Good | Marginal | Marginal | Marginal | Marginal | Marginal | Optimal | Needs Not Met |
| | 6 | Very Good | Very Good | N/A to Case Type | Very Good | N/A to Case Type | Marginal | Very Good | Very Good | Marginal | N/A to Case Type | Very Good | Needs Not Met |
| | | | 83.3% | 100.0% | 100.0% | 83.3% | 100.0% | 33.3% | 83.3% | 83.3% | 50.0% | 33.3% | 80.0% |
| Norwalk | 1 | N/A to Case Type | Very Good | Very Good | Very Good | Very Good | Marginal | Optimal | Optimal | Very Good | Optimal | N/A to Case Type | Needs Not Met |
| | 2 | Optimal | N/A to Case Type | N/A to Case Type | Optimal | N/A to Case Type | Marginal | Optimal | Optimal | Very Good | N/A to Case Type | Marginal | Needs Not Met |
| | | | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 0.0% | 100.0% | 100.0% | 100.0% | 100.0% | 0.0% |

| Area Office | | Risk: In-Home 90.6% | Risk: Child In Placement 95.5% | Permanency: Securing the Permanent Placement - Action Plan for the Next Six Months 100.0% | Permanency: DCF Case Mgmt - Legal Action to Achieve the Permanency Goal During the Prior Six Months 91.3% | Permanency: DCF Case Mgmt - Recruitment for Placement Providers to Achieve the Permanency Goal during the Prior Six Months 100.0% | Permanency: DCF Case Mgmt - Contracting or Providing Services to Achieve the Permanency Goal during the Prior Six Months 43.5% | Well-Being: Medical Needs 82.6% | Well-Being: Dental Needs 84.1% | Well-Being: Mental Health, Behavioral and Substance Abuse Services 67.7% | Well-Being: Child's Current Placement 92.9% | Well-Being: Education 78.6% | Overall Score for Outcome Measure 15 53.6% |
|-------------|---|------------------------|-----------------------------------|--|--|--|---|------------------------------------|-----------------------------------|---|--|--------------------------------|---|
| Norwich | 1 | N/A to Case Type | Marginal | Very Good | Very Good | Very Good | Poor | Marginal | Optimal | Marginal | Very Good | Very Good | Needs Not Met |
| | 2 | Marginal | N/A to Case Type | N/A to Case Type | Marginal | N/A to Case Type | Marginal | Optimal | Optimal | Marginal | N/A to Case Type | Very Good | Needs Not Met |
| | 3 | N/A to Case Type | Optimal | Optimal | Optimal | Optimal | Very Good | Very Good | Very Good | Optimal | Marginal | N/A to Case Type | Needs Met* |
| | 4 | Very Good | Marginal | Very Good | Very Good | Optimal | Marginal | Very Good | Optimal | Very Good | Very Good | Very Good | Needs Not Met |
| | 5 | Very Good | N/A to Case Type | N/A to Case Type | Very Good | N/A to Case Type | Marginal | Very Good | Very Good | Marginal | N/A to Case Type | Marginal | Needs Not Met |
| | 6 | N/A to Case Type | Very Good | Very Good | Optimal | Very Good | Marginal | Optimal | Optimal | Very Good | Very Good | Optimal | Needs Met* |
| | | | 66.7% | 50.0% | 100.0% | 83.3% | 100.0% | 16.7% | 83.3% | 100.0% | 50.0% | 75.0% | 80.0% |
| Stamford | 1 | Very Good | N/A to Case Type | N/A to Case Type | Very Good | N/A to Case Type | Poor | Very Good | Very Good | Marginal | N/A to Case Type | Marginal | Needs Not Met |
| | | 100.0% | N/A | N/A | 100.0% | N/A | 0.0% | 100.0% | 100.0% | 0.0% | N/A | 0.0% | 0.0% |
| Torrington | 1 | Very Good | N/A to Case Type | N/A to Case Type | Very Good | N/A to Case Type | Marginal | Very Good | Very Good | Very Good | N/A to Case Type | Very Good | Needs Not Met |
| | 2 | Very Good | N/A to Case Type | N/A to Case Type | Marginal | N/A to Case Type | Marginal | Very Good | Marginal | Marginal | N/A to Case Type | Very Good | Needs Not Met |
| | 3 | N/A to Case Type | Very Good | Very Good | Optimal | Optimal | Marginal | Very Good | Optimal | Marginal | Very Good | Optimal | Needs Not Met |
| | | 100.0% | 100.0% | 100.0% | 66.7% | 100.0% | 0.0% | 100.0% | 66.7% | 33.3% | 100.0% | 100.0% | 0.0% |

| Area Office | | Risk: In-Home | Risk: Child In Placement | Permanency: Securing the Permanent Placement - Action Plan for the Next Six Months | Permanency: DCF Case Mgmt - Legal Action to Achieve the Permanency Goal During the Prior Six Months | Permanency: DCF Case Mgmt - Recruitment for Placement Providers to Achieve the Permanency Goal during the Prior Six Months | Permanency: DCF Case Mgmt - Contracting or Providing Services to Achieve the Permanency Goal during the Prior Six Months | Well-Being: Medical Needs | Well-Being: Dental Needs | Well-Being: Mental Health, Behavioral and Substance Abuse Services | Well-Being: Child's Current Placement | Well-Being: Education | Overall Score for Outcome Measure 15 | |
|-------------|-------------|------------------|--------------------------|--|---|--|--|---------------------------|--------------------------|--|---------------------------------------|-----------------------|--------------------------------------|---------------|
| | | 90.6% | 95.5% | 100.0% | 91.3% | 100.0% | 43.5% | 82.6% | 84.1% | 67.7% | 92.9% | 78.6% | 53.6% | |
| Waterbury | 1 | N/A to Case Type | Very Good | Very Good | Very Good | Optimal | Very Good | Very Good | Marginal | N/A to Case Type | Very Good | N/A to Case Type | Needs Met* | |
| | 2 | N/A to Case Type | Very Good | Very Good | Optimal | Very Good | Marginal | Marginal | Optimal | Marginal | Marginal | N/A to Case Type | Needs Not Met | |
| | 3 | Very Good | N/A to Case Type | N/A to Case Type | Optimal | N/A to Case Type | Optimal | Very Good | Very Good | Marginal | N/A to Case Type | Very Good | Needs Not Met | |
| | 4 | Very Good | N/A to Case Type | N/A to Case Type | Poor | N/A to Case Type | Marginal | Marginal | Poor | Very Good | N/A to Case Type | Poor | Needs Not Met | |
| | 5 | N/A to Case Type | Very Good | Very Good | Very Good | Very Good | Marginal | Very Good | Marginal | Marginal | Very Good | Very Good | Needs Not Met | |
| | | | 100.0% | 100.0% | 100.0% | 80.0% | 100.0% | 40.0% | 60.0% | 40.0% | 25.0% | 66.7% | 66.7% | 20.0% |
| | Willimantic | 1 | Very Good | N/A to Case Type | N/A to Case Type | Marginal | N/A to Case Type | Marginal | Very Good | Optimal | Marginal | N/A to Case Type | Very Good | Needs Not Met |
| 2 | | N/A to Case Type | Very Good | Very Good | Very Good | Very Good | Marginal | Optimal | Very Good | Very Good | Very Good | Very Good | Needs Met* | |
| 3 | | Very Good | Optimal | Optimal | Optimal | Optimal | Very Good | Very Good | Very Good | Very Good | Very Good | Very Good | Needs Met | |
| 4 | | N/A to Case Type | Very Good | Optimal | Optimal | Very Good | Marginal | Optimal | Optimal | Very Good | Very Good | N/A to Case Type | Needs Met* | |
| 5 | | N/A to Case Type | Very Good | Optimal | Optimal | Optimal | Very Good | Optimal | Very Good | Very Good | Optimal | Very Good | Needs Met | |
| 6 | | Very Good | N/A to Case Type | N/A to Case Type | Optimal | N/A to Case Type | Very Good | Optimal | Optimal | Very Good | N/A to Case Type | Very Good | Needs Met | |
| | | | 100.0% | 100.0% | 100.0% | 83.3% | 100.0% | 50.0% | 100.0% | 100.0% | 83.3% | 100.0% | 100.0% | 83.3% |

* Indicates Court Monitor's application of the Override exception to achieve "met" status in one or more of the cases within the area office.

The individual needs identified within the cases sampled included the following 254 needs:

Table 3: Unmet Needs Identified during Period under Review

| Unmet Need | Barrier | Frequency |
|--|---|------------------|
| Adoption Recruitment | Service Deferred Pending Completion of Another | 1 |
| Adoption Supports (PPSP) | Delay in Referral | 1 |
| Adoption Training | Delay in Referral | 1 |
| Anger Management | No Service Identified to Meet this Need | 2 |
| Anger Management | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 2 |
| ARG Consultation | Delay in Referral | 8 |
| ARG Consultation | No Service Identified to Meet this Need | 1 |
| ARG Consultation | Other | 1 |
| ARG Consultation | Lack of Communication between AO and ARG | 1 |
| ARG Consultation | Client referred but refused contact by ARG | 1 |
| Behavior Management | UTD - Client subsequently engaged in recommended service | 1 |
| Behavior Management | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 1 |
| Behavior Management | Lack of Communication between DCF and Provider | 1 |
| Dental or Orthodontic Services | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 2 |
| Dental or Orthodontic Services | Delay in Referral | 2 |
| Dental or Orthodontic Services | Approval Process | 1 |
| Dental or Orthodontic Services | Financing Unavailable | 1 |
| Dental or Orthodontic Services | No Service Identified to Meet this Need | 3 |
| Dental or Orthodontic Services | Mother failed to make appointment for needed sealants | 1 |
| Dental Screening or Evaluation | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 5 |
| Dental Screening or Evaluation | UTD - Client subsequently engaged in recommended service | 3 |
| Dental Screening or Evaluation | Issues with Release of Information and Verification have prevented DCF from obtaining necessary information from provider | 2 |
| Dental Screening or Evaluation | UTD from Case Plan or Area Office Response | 2 |
| Dental Screening or Evaluation | Delay in Referral | 1 |
| Dental Screening or Evaluation | Insurance Issues | 1 |
| Dental Screening or Evaluation | Provider Issues - untimely provision of services related to staffing, lack of follow through, etc | 1 |
| Domestic Violence Services - Perpetrators | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 2 |
| Domestic Violence Services - Victims | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 4 |
| Domestic Violence Services - Victims | Delay in Referral | 1 |
| Domestic Violence Services - Victims | Referred Service is Unwilling to Engage Client | 1 |
| Domestic Violence Shelter | Client Referred but refused or was subsequently discharged for noncompliance | 1 |
| Drug/Alcohol Testing - Parent | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 1 |

| Unmet Need | Barrier | Frequency |
|--|--|------------------|
| Education: IEP Programming | Provider Issue - untimely provision of services or gaps in service related to staffing, lack of follow through, etc. | 1 |
| Education: IEP Programming | Lack of Communication between DCF and Provider | 1 |
| Education: IEP Programming | IEP is unclear - Meeting is needed to clarify goals and services for child | 1 |
| Educational Screening or Evaluation | No Service Identified to Meet this Need | 2 |
| Educational Screening or Evaluation | Delay in Referral | 1 |
| Educational Screening or Evaluation | Lack of Communication between DCF and Provider | 1 |
| Extended Day Treatment | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 1 |
| Family or Marital Counseling | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 5 |
| Family or Marital Counseling | Service Deferred Pending Completion of Another | 1 |
| Family or Marital Counseling | No Service Identified to Meet this Need | 1 |
| Family or Marital Counseling | Delay in Referral | 1 |
| Family Preservation Services | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 2 |
| Family Preservation Services | No Service Identified to Meet this Need | 1 |
| Family Preservation Services | Delay in Referral | 1 |
| Family Preservation Services | Referred Service is Unwilling to Engage Client | 1 |
| Family Reunification Services | Wait List | 1 |
| Family Reunification Services | Provider Issue - untimely provision of services or gaps in service related to staffing, lack of follow through, etc. | 1 |
| Flex Funds for Basic Needs | Delay in Referral | 1 |
| Group Counseling - Parents | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 1 |
| Head Start | Delay in Referral | 1 |
| Health/Medical - Other Intervention (Multiple Testing) | Client Refusal | 1 |
| Health/Medical - Other Intervention (Scoliosis Testing) | No Verification of Services by DCF | 1 |
| Health/Medical - Other Intervention (Weight Management - Obese) | No Service Identified | 1 |
| Health/Medical - Other Intervention (Weight Management - Obese) | Client Refusal and Conflicting Opinions related to Need | 1 |
| Health/Medical Screening or Evaluation | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 6 |
| Health/Medical Screening or Evaluation | Delay in Referral | 4 |
| Health/Medical Screening or Evaluation | No Service Identified to Meet this Need | 1 |
| Health/Medical Screening or Evaluation | Lack of Communication between DCF and Provider | 1 |
| Health/Medical Screening or Evaluation | UTD from Case Plan, narrative or Area Office Response Provided | 1 |
| Health/Medical Screening or Evaluation | UTD - Client subsequently engaged in recommended service | 1 |

| Unmet Need | Barrier | Frequency |
|---|--|------------------|
| Individual Counseling - Child | Delay in Referral | 2 |
| Individual Counseling - Child | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 1 |
| Individual Counseling - Child | Provider Issue - untimely provision of services or gaps in service related to staffing, lack of follow through, etc. (specifically poor relationship with child/therapist) | 1 |
| Individual Counseling - Child | Child changed Placements | 1 |
| Individual Counseling - Parent | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 14 |
| Individual Counseling - Parent | Delay in Referral | 1 |
| Individual Counseling - Parent | Lack of Communication between DCF and Provider | 1 |
| Individual Counseling - Parent | UTD from Case Plan, narrative or Area Office Response | 1 |
| In-Home Parent Education and Support | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 6 |
| In-Home Parent Education and Support | Delay in Referral | 2 |
| In-Home Parent Education and Support | Wait List | 1 |
| In-Home Parent Education and Support | Provider Issue - untimely provision of services or gaps in service related to staffing, lack of follow through, etc. | 1 |
| In-Home Treatment | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 2 |
| In-Home Treatment | UTD from Case Plan, narrative or Area Office Response | 1 |
| In-Home Treatment | Provider Issue - untimely provision of services or gaps in service related to staffing, lack of follow through, etc. | 1 |
| In-Home Treatment | UTD - Client subsequently engaged in recommended service | 1 |
| Inpatient Substance Abuse Treatment - Parent | No Service Identified to Meet this Need | 1 |
| Job Coaching/Placement | Provider Issues - untimely provision of services related to staffing, lack of follow through, etc | 1 |
| Life Skills Training | Delay in Referral | 1 |
| Life Skills Training | Provider Issues - untimely provision of services related to staffing, lack of follow through, etc | 1 |
| Medication Management - Child | Lack of Communication between DCF and Provider | 1 |
| Medication Management - Parent | Lack of Communication between DCF and Provider | 2 |
| Mental Health Screening or Evaluation - Child | Lack of Communication between DCF and Provider | 1 |
| Mental Health Screening or Evaluation - Child | Delay in Referral | 1 |
| Mental Health Screening or Evaluation - Child | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 1 |
| Mental Health Screening or Evaluation - Parent | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 2 |
| Mental Health Screening or Evaluation - Parent | Other - Parents are incarcerated and service is therefore unavailable | 1 |

| Unmet Need | Barrier | Frequency |
|--|--|------------------|
| Mentoring | Delay in Referral | 1 |
| Mentoring | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 1 |
| Mentoring | Service Deferred Pending Completion of Another | 1 |
| Mentoring | Wait List | 1 |
| Other In-Home Service - Resource Management/Budgeting | No Service Identified | 1 |
| Other Out of Home Service - Clinical Services to address stuttering | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 1 |
| Other Out of Home Service - True Colors | Delay in Referral | 2 |
| Other State Agency | Approval Process | 1 |
| Outpatient Substance Abuse Treatment - Parent | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 6 |
| Parenting Classes | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 2 |
| Parenting Classes | No Service Identified to Meet this Need | 1 |
| Parenting Classes | Delay in Referral | 1 |
| Parenting Classes | Referred Service is Unwilling to Engage Client | 1 |
| Parenting Groups | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 1 |
| Permanency Diagnostic Center (PDC) | No Slots Available | 1 |
| Problem Sexual Behavior Evaluation | Service Deferred Pending Completion of Another | 1 |
| Psychiatric Evaluation - Parent | Per Follow Up Response - Service Not Available in Area | 1 |
| Psychiatric Evaluation - Parent | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 1 |
| Psychological or Psychosocial Evaluation - Parent | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 1 |
| Psychological or Psychosocial Evaluation - Parent | Delay in Referral | 1 |
| Psychological or Psychosocial Evaluation - Parent | Wait List | 1 |
| Relapse Prevention - Child | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 1 |
| Relapse Prevention - Parent | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 2 |
| Relapse Prevention - Parent | UTD - Client subsequently engaged in recommended service | 1 |
| Residential Facility | Approval Process | 1 |
| Respite | No Service Identified to Meet this Need | 1 |

| Unmet Need | Barrier | Frequency |
|---|--|-----------|
| Substance Abuse Screening - Child | Delay in Referral | 3 |
| Substance Abuse Screening - Parent | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 6 |
| Substance Abuse Screening - Parent | Delay in Referral | 1 |
| Substance Abuse Screening - Parent | UTD from Case Plan, narrative or Area Office Response | 1 |
| Substance Abuse Screening - Parent | Other - Father incarcerated and pending sentencing therefore services are not available at present time | 1 |
| Supervised Visitation | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 1 |
| Supervised Visitation | No Service Identified to Meet this Need | 1 |
| Supportive Housing for Recovering Families (SHRF) | Delay in Referral | 2 |
| SW/Child Visitation | Case Management/Supervision: Visitation below Benchmark/Policy | 15 |
| SW/Parent Visitation | Case Management/Supervision: Visitation below Benchmark/Policy | 14 |
| SW/Provider Contacts | Case Management/Supervision: Contacts below Benchmark/Policy | 23 |
| WIC | Other - Father Needs Assistance with Application Process | 1 |
| | | 254 |

The ACR continues to be a process that reviewers identify as a strength for the Department. The new ACR-I process has been received by most as a positive advancement, however there are still some technical issues and issues with timing and ownership of narrative entries that must be resolved as the process goes forward.

This quarter there appeared to be a slight decline in the general engagement of families in case planning throughout the full period of review up to the point of the ACR or family conference as narrated within the visitation documentation. In all, just over half of the sample: 53.6% of the cases showed very good or optimal engagement of families in the case planning process through documented discussions with the families and the Social Worker *throughout* the period under review.

At the ACR, findings reflect that 76.8% of the cases did document a discussion (or in the case of in-home family cases the family meeting or formal case conference) of some (46.4%) or all (30.4%) of the needs that were identified as unmet in the just completed six-month planning cycle. The reviewers identified only one case where the planning process did not address any needs that were unmet from the last planning cycle. In nine cases, the reviewers indicated that all needs identified at the prior ACR were "fully achieved" or "no longer needed" and did not need to be planned for. In six cases, the plan reviewed was the initial case plan.

Table 4: Were all needs and services unmet during the prior six month discussed at the ACR and, as appropriate, incorporated as action steps on the current case plan?

| Needs Unmet Incorporated into Current Case Plan | Frequency | Valid Percent | Cumulative Percent |
|---|-----------|---------------|--------------------|
| Yes - All | 21 | 30.4 | 30.4 |
| Yes - Partially | 32 | 46.4 | 76.8 |
| No - None | 1 | 1.4 | 78.3 |
| N/A - There are no Unmet Needs | 9 | 13.0 | 91.3 |
| N/A - this is the initial plan | 6 | 8.7 | 100.0 |
| Total | 69 | 100.0 | |

In 19 of 44 cases in which SDM was conducted (43.2%) a need was identified in the current SDM identical to that which was identified on the prior case plan assessment. (This would indicate an unmet need for greater than 6 months for a family or individual.)

In 50.7% of the 69 case plans reviewed, it was the opinion of the Court Monitor's staff that there was at least one priority need that was evident from the review of the documentation that was not incorporated into the newly developed case plan document. In many of these cases where an ACR was held, the ACR Social Work Supervisor also identified these areas and noted the need to address them in the assessment, objectives and/or action steps but the recommendations were not incorporated nor addressed within the supervisory documentation to reflect an alternate point of view.

The 106 unmet needs and the barrier related to each service not addressed/included on the case plan to be secured in the following planning cycle were:

Table 5: Unmet Needs Not Incorporated in Upcoming Six-Month Case Planning

| Unmet Need | Barrier | Frequency |
|--|--|-----------|
| Adoption Supports (PPSP) | No Service Identified to Meet this Need | 1 |
| Anger Management - Parent | No Service Identified to Meet this Need | 1 |
| Behavior Management | No Service Identified to Meet this Need | 2 |
| Care Coordination | Delay in Referral | 1 |
| Dental or Orthodontic Services | Delay in Referral | 2 |
| Dental or Orthodontic Services | No Service Identified to Meet this Need | 3 |
| Dental Screening or Evaluation | No Service Identified to Meet this Need | 8 |
| Dental Screening or Evaluation | UTD from the Area Office Response, narratives, or Case Plan | 1 |
| Dental Screening or Evaluation | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 1 |
| Domestic Violence Services - Perpetrators | No Service Identified to Meet this Need | 2 |
| Domestic Violence Services - Victims | No Service Identified to Meet this Need | 1 |
| Domestic Violence Services - Victims | Delay in Referral | 1 |
| Educational Screening or Evaluation | No Service Identified to Meet this Need | 5 |
| Educational Screening or Evaluation | Delay in Referral | 1 |
| Family or Marital Counseling | No Service Identified to Meet this Need | 3 |
| Head Start | Delay in Referral | 1 |

| Unmet Need | Barrier | Frequency |
|--|--|------------------|
| Health/Medical - Other Intervention (Blood work) | Provider Issues - untimely provision of services related to staffing, lack of follow through, etc | 1 |
| Health/Medical - Other Intervention (Weight Management) | No Service Identified to Meet this Need | 1 |
| Health/Medical Screening or Evaluation | Delay in Referral | 1 |
| Health/Medical Screening or Evaluation | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 2 |
| Health/Medical Screening or Evaluation | No Service Identified to Meet this Need | 6 |
| Individual Counseling - Child | Delay in Referral | 1 |
| Individual Counseling - Child | No Service Identified to Meet this Need | 4 |
| Individual Counseling - Parent | No Service Identified to Meet this Need | 3 |
| Individual Counseling - Parent | Lack of Communication between DCF and Provider | 1 |
| Individual Counseling - Parent | Delay in Referral | 1 |
| Inpatient Substance Abuse Treatment - Parent | No Service Identified to Meet this Need | 1 |
| In-Home Treatment | No Service Identified to Meet this Need | 1 |
| In-Home Treatment | Delay in Referral | 1 |
| Job Coaching/Placement | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 1 |
| Positive Youth Development Program | No Service Identified to Meet this Need | 1 |
| Preparation for Adult Living Services (PALS) | Delay in Referral | 1 |
| WIC Program | Other - Father Needs Assistance in Application Process | 1 |
| Life Skills Training | No Service Identified to Meet this Need | 1 |
| SW/Child Visitation | No Service Identified to Meet this Need | 1 |
| SW/Parent Visitation | No Service/Delays/UTD | 3 |
| SW/Provider Contacts | Delays/Lack of Communication/UTD | 5 |
| ARG Consultation | Delays in Referral | 3 |
| ARG Consultation | No Service Identified to Meet this Need/UTD | 3 |
| Housing Assistance (Section 8) | No Service Identified to Meet this Need | 1 |
| Medication Management - Child | No Service Identified to Meet this Need | 1 |
| Medication Management - Parent | No Service Identified to Meet this Need | 1 |
| Mental Health Screening or Evaluation - Parent | No Service Identified to Meet this Need | 1 |
| Mentoring | Delay in Referral | 2 |
| Respite Services | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 1 |
| Social Recreational Programs | Delay in Referral | 1 |
| Outpatient Substance Abuse Treatment - Parent | Delay in Referral | 1 |
| Parenting Classes | Delay in Referral | 1 |
| Parenting Classes | No Service Identified to Meet this Need | 3 |
| Other Out of Home Services - Budgeting/Resource Management Course | No Service Identified to Meet this Need | 1 |
| Other Out of Home Services - True Colors | Delay in Referral | 1 |
| Psychiatric Evaluation - Parent | No Service Identified to Meet this Need | 1 |
| Psychological or Psychosocial Evaluation - Parent | Delay in Referral | 1 |

| Unmet Need | Barrier | Frequency |
|--|--|------------------|
| Substance Abuse Screening - Parent | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 1 |
| Substance Abuse Screening - Child | Delay in Referral | 1 |
| Substance Abuse Screening - Child | No Service Identified to Meet this Need | 1 |
| Substance Abuse Screening - Parent | No Service Identified to Meet this Need | 3 |
| Psychological or Psychosocial Evaluation - Parent | Client Referred but was subsequently discharged for noncompliance/missed appointments/or refusal of follow-up services | 1 |
| In-Home Parent Education and Support Program | No Service Identified to Meet this Need | 3 |
| Transitional Living Program (TLAP) | No Service Identified to Meet this Need | 1 |
| | | 106 |

JUAN F. ACTION PLAN MONITORING REPORT

November 2012

This report includes data relevant to the permanency and placement issues and action steps embodied within the Action Plan. Data provided comes from several sources: the monthly point-in-time information from LINK, the Chapin Hall database and the Behavioral Health Partnership database.

A. PERMANENCY ISSUES

Progress Towards Permanency:

The following table developed using the Chapin Hall database provides a longitudinal view of permanency for annual admission cohorts from 2002 through 2012.

Figure 1: Children Exiting With Permanency, Exiting Without Permanency, Unknown Exits and Remaining In Care (Entry Cohorts)

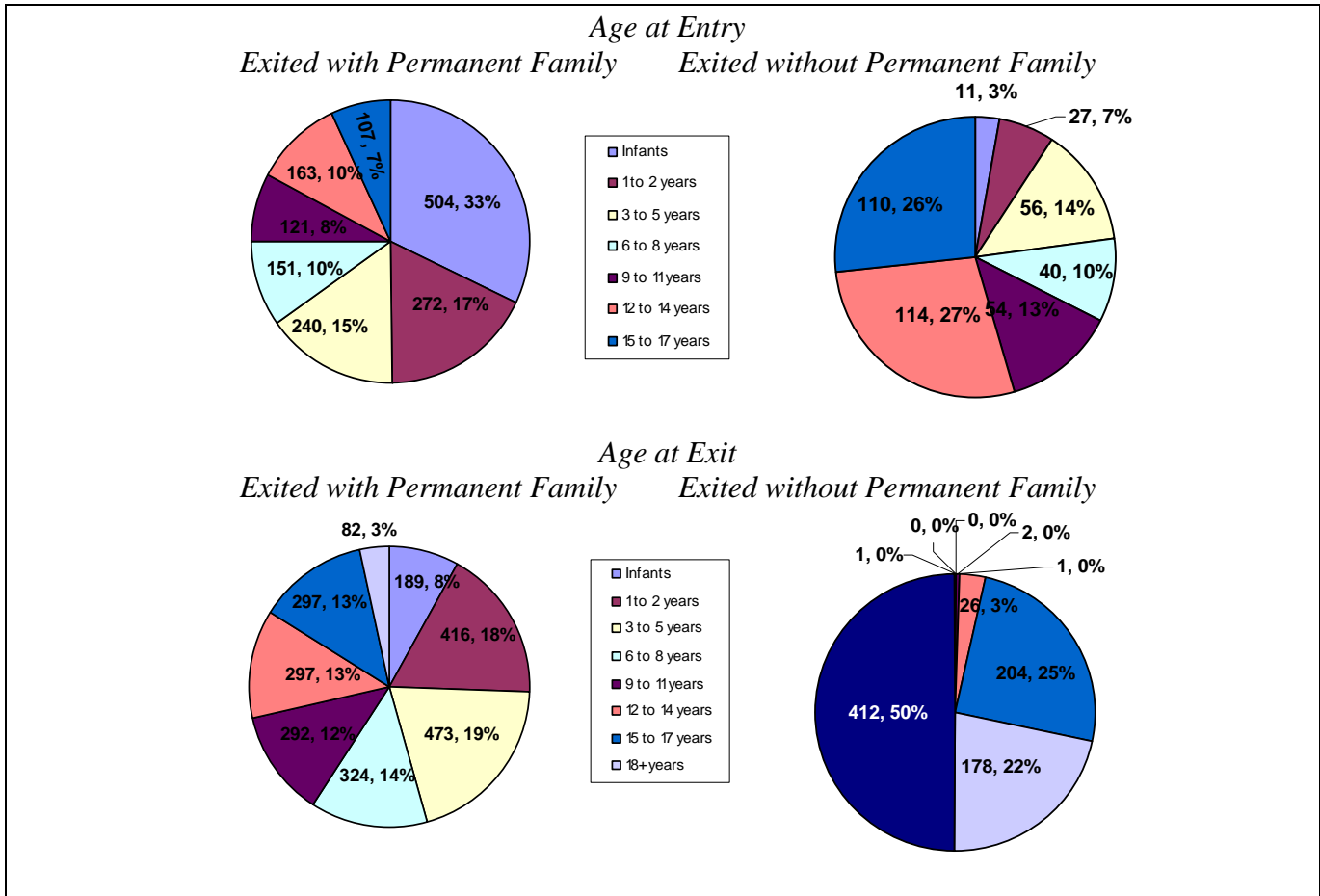
| | Period of Entry to Care | | | | | | | | | | |
|-------------------------------|-------------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|------------------|------------------|
| | 2002 | 2003 | 2004 | 2005 | 2006 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 |
| Total Entries | 3100 | 3547 | 3204 | 3092 | 3408 | 2854 | 2829 | 2629 | 2694 | 2297 | 1423 |
| <i>Permanent Exits</i> | | | | | | | | | | | |
| <i>In 1 yr</i> | 1178 38.0 % | 1406 39.6 % | 1229 38.4 % | 1131 36.6 % | 1263 37.1 % | 1095 38.4 % | 1098 38.8 % | 1091 41.5 % | 1023 38.0 % | | |
| <i>In 2 yrs</i> | 1637 52.8 % | 2078 58.6 % | 1806 56.4 % | 1742 56.3 % | 1973 57.9 % | 1675 58.7 % | 1676 59.2 % | 1580 60.1 % | | | |
| <i>In 3 yrs</i> | 1964 63.4 % | 2385 67.2 % | 2093 65.3 % | 2015 65.2 % | 2324 68.2 % | 1974 69.2 % | 1944 68.7 % | | | | |
| <i>In 4 yrs</i> | 2135 68.9 % | 2540 71.6 % | 2263 70.6 % | 2160 69.9 % | 2500 73.4 % | 2090 73.2 % | | | | | |
| To Date | 2302 74.3 % | 2704 76.2 % | 2364 73.8 % | 2247 72.7 % | 2600 76.3 % | 2138 74.9 % | 2042 72.2 % | 1814 69.0 % | 1445 53.6 % | 812 35.4 % | 216 15.2 % |

| Non-Permanent Exits | | | | | | | | | | | |
|----------------------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|-------------|-------------|------------|
| <i>In 1 yr</i> | 274 8.8% | 249 7.0% | 231 7.2% | 289 9.3% | 259 7.6% | 263 9.2% | 250 8.8% | 208 7.9% | 196 7.3% | | |
| <i>In 2 yrs</i> | 332 10.7% | 320 9.0% | 301 9.4% | 371 12.0% | 345 10.1% | 318 11.1% | 320 11.3% | 267 10.2% | | | |
| <i>In 3 yrs</i> | 365 11.8% | 366 10.3% | 366 11.4% | 431 13.9% | 401 11.8% | 354 12.4% | 363 12.8% | | | | |
| <i>In 4 yrs</i> | 406 13.1% | 392 11.1% | 403 12.6% | 461 14.9% | 449 13.2% | 392 13.7% | | | | | |
| <i>To Date</i> | 497 16.0% | 483 13.6% | 488 15.2% | 544 17.6% | 498 14.6% | 417 14.6% | 396 14.0% | 307 11.7% | 247 9.2% | 152 6.6% | 38 2.7% |

| | Period of Entry to Care | | | | | | | | | | |
|------------------------------|--------------------------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|
| | 2002 | 2003 | 2004 | 2005 | 2006 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 |
| <i>Unknown Exits</i> | | | | | | | | | | | |
| <i>In 1 yr</i> | 106 3.4% | 153 4.3% | 129 4.0% | 83 2.7% | 76 2.2% | 62 2.2% | 60 2.1% | 77 2.9% | 130 4.8% | | |
| <i>In 2 yrs</i> | 136 4.4% | 193 5.4% | 171 5.3% | 124 4.0% | 117 3.4% | 98 3.4% | 91 3.2% | 141 5.4% | | | |
| <i>In 3 yrs</i> | 161 5.2% | 220 6.2% | 208 6.5% | 163 5.3% | 140 4.1% | 125 4.4% | 126 4.5% | | | | |
| <i>In 4 yrs</i> | 179 5.8% | 244 6.9% | 234 7.3% | 181 5.9% | 167 4.9% | 158 5.5% | | | | | |
| <i>To Date</i> | 253 8.2% | 318 9.0% | 291 9.1% | 219 7.1% | 206 6.0% | 174 6.1% | 166 5.9% | 197 7.5% | 322 12.0% | 252 11.0% | 26 1.8% |
| <i>Remain In Care</i> | | | | | | | | | | | |
| <i>In 1 yr</i> | 1542 49.7% | 1739 49.0% | 1615 50.4% | 1589 51.4% | 1810 53.1% | 1434 50.2% | 1421 50.2% | 1253 47.7% | 1345 49.9% | | |
| <i>In 2 yrs</i> | 995 32.1% | 956 27.0% | 926 28.9% | 855 27.7% | 973 28.6% | 763 26.7% | 742 26.2% | 641 24.4% | | | |
| <i>In 3 yrs</i> | 610 19.7% | 576 16.2% | 537 16.8% | 483 15.6% | 543 15.9% | 401 14.1% | 396 14.0% | | | | |
| <i>In 4 yrs</i> | 380 12.3% | 371 10.5% | 304 9.5% | 290 9.4% | 292 8.6% | 214 7.5% | | | | | |
| <i>To Date</i> | 48 1.5% | 42 1.2% | 61 1.9% | 82 2.7% | 104 3.1% | 125 4.4% | 225 8.0% | 311 11.8% | 680 25.2% | 1081 47.1% | 1143 80.3% |

The following graphs show how the ages of children upon their entry to care, as well as at the time of exit, differ depending on the overall type of exit (permanent or non-permanent).

FIGURE 2: CHARACTERISTICS OF CHILDREN EXITING WITH AND WITHOUT PERMANENCY (2011 EXIT COHORT)



Permanency Goals:

The following chart illustrates and summarizes the number of children (which excludes youth ages 18 and older) at various stages of placement episodes, and provides the distribution of Permanency Goals selected for them.

FIGURE 3: DISTRIBUTION OF PERMANENCY GOALS ON THE PATH TO PERMANENCY (CHILDREN IN CARE ON NOVEMBER 1, 2012⁴)

| | | | | |
|---|--|--|-------------------|------------------|
| Is the child legally free (his or her parents' rights have been terminated)? | | | | |
| Yes | No | | | |
| 704 | ↓ 2716 | | | |
| <i>Goals of:</i> | Has the child been in care more than 15 months? | | | |
| 558 (79%) | No | Yes | | |
| Adoption | 1,533 | ↓ 1,183 | | |
| 135 (19%) | Has a TPR proceeding been filed? | | | |
| APPLA | Yes | No | | |
| 6 (1%) | 311 | ↓ 872 | | |
| Relatives | <i>Goals of:</i> | Is a reason documented not to file TPR? | | |
| 5 (1%) | 199 (64%) | Yes | No | |
| Trans. of | Adoption | 455 | 417 | |
| Guardian: | 74 (24%) | <i>Goals of:</i> | <i>Documented</i> | <i>Goals of:</i> |
| Sub/Unsub | APPLA | 241 (53%) | <i>Reasons:</i> | 138 (33%) |
| | 21 (7%) | APPLA | 71% | Reunify |
| | Reunify | 95 (21%) | Compelling | 107 (26%) |
| | 8 (3%) | Reunify | Reason | APPLA |
| | Relatives | 59 (13%) | 16% | 78 (19%) |
| | 8 (3%) | Trans. of | Child is with | Trans. of |
| | Trans. of | Guardian: | relative | Guardian: |
| | Guardian: | Sub/Unsub | 8% | Sub/Unsub |
| | Sub/Unsub | 35 (8%) | Petition in | 77 (18%) |
| | 1 (<1%) | Adoption | process 5% | Adoption |
| | Blank | 24 (5%) | Service not | 9 (2%) |
| | | Relatives | provided | Blank |
| | | 1 (<1%) | | 8 (2%) |
| | | Blank | | Relatives |

⁴ Children over age 18 are not included in these figures.

Preferred Permanency Goals:

| Reunification | Aug 2011 | Nov 2011 | Feb 2012 | May 2012 | Aug 2012 | Nov 2012 |
|--|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|
| Total number of children with Reunification goal, pre-TPR and post-TPR | 1585 | 1531 | 1495 | 1382 | 1300 | 1254 |
| Number of children with Reunification goal pre-TPR | 1584 | 1527 | 1494 | 1381 | 1298 | 1254 |
| <ul style="list-style-type: none"> Number of children with Reunification goal, pre-TPR, >= 15 months in care | 277 | 245 | 301 | 272 | 282 | 254 |
| <ul style="list-style-type: none"> Number of children with Reunification goal, pre-TPR, >= 36 months in care | 36 | 40 | 43 | 41 | 40 | 31 |
| Number of children with Reunification goal, post-TPR | 1 | 4 | 1 | 1 | 2 | 0 |

| Transfer of Guardianship (Subsidized and Non-Subsidized) | Aug 2011 | Nov 2011 | Feb 2012 | May 2012 | Aug 2012 | Nov 2012 |
|---|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|
| Total number of children with Transfer of Guardianship goal (subsidized and non-subsidized), pre-TPR and post TPR | 177 | 228 | 229 | 223 | 272 | 259 |
| Number of children with Transfer of Guardianship goal (subsidized and non-subsidized), pre-TPR | 177 | 225 | 226 | 220 | 268 | 254 |
| <ul style="list-style-type: none"> Number of children with Transfer of Guardianship goal (subsidized and non-subsidized), pre-TPR, >= 22 months | 39 | 49 | 43 | 31 | 58 | 63 |
| <ul style="list-style-type: none"> Number of children with Transfer of Guardianship goal (subsidized and non-subsidized), pre-TPR, >= 36 months | 15 | 13 | 15 | 9 | 9 | 11 |
| Number of children with Transfer of Guardianship goal (subsidized and non-subsidized), post-TPR | 0 | 3 | 3 | 3 | 4 | 5 |

| Adoption | Aug 2011 | Nov 2011 | Feb 2012 | May 2012 | Aug 2012 | Nov 2012 |
|---|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|
| Total number of children with Adoption goal, pre-TPR and post-TPR | 1103 | 1057 | 1042 | 1106 | 1117 | 1058 |
| Number of children with Adoption goal, pre-TPR | 632 | 626 | 583 | 573 | 528 | 500 |
| Number of children with Adoption goal, TPR not filed, >= 15 months in care | 129 | 98 | 94 | 88 | 106 | 112 |
| <ul style="list-style-type: none"> Reason TPR not filed, Compelling Reason | 15 | 4 | 6 | 6 | 10 | 6 |

| Adoption | Aug 2011 | Nov 2011 | Feb 2012 | May 2012 | Aug 2012 | Nov 2012 |
|---|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|
| • Reason TPR not filed, petitions in progress | 24 | 20 | 13 | 14 | 12 | 26 |
| • Reason TPR not filed , child is in placement with relative | 6 | 4 | 3 | 5 | 1 | 1 |
| • Reason TPR not filed, services needed not provided | 0 | 0 | 0 | 0 | 1 | 2 |
| • Reason TPR not filed, blank | 84 | 70 | 72 | 63 | 82 | 77 |
| Number of cases with Adoption goal post-TPR | 471 | 431 | 459 | 533 | 589 | 558 |
| • Number of children with Adoption goal, post-TPR, in care >= 15 months | 439 | 398 | 425 | 493 | 549 | 522 |
| • Number of children with Adoption goal, post-TPR, in care >= 22 months | 384 | 349 | 359 | 406 | 457 | 437 |
| Number of children with Adoption goal, post-TPR, no barrier, > 3 months since TPR | 33 | 25 | 21 | 17 | 18 | 22 |
| Number of children with Adoption goal, post-TPR, with barrier, > 3 months since TPR | 146 | 120 | 112 | 115 | 123 | 124 |
| Number of children with Adoption goal, post-TPR, with blank barrier, > 3 months since TPR | 203 | 200 | 203 | 272 | 312 | 283 |

| Progress Towards Permanency: | Aug 2011 | Nov 2011 | Feb 2012 | May 2012 | Aug 2012 | Nov 2012 |
|---|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|
| Total number of children, pre-TPR, TPR not filed, >=15 months in care, no compelling reason | 355 | 343 | 422 | 390 | 435 | 422 |

Non-Preferred Permanency Goals:

| Long Term Foster Care Relative: | Aug 2011 | Nov 2011 | Feb 2012 | May 2012 | Aug 2012 | Nov 2012 |
|---|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|
| Total number of children with Long Term Foster Care Relative goal | 79 | 70 | 65 | 70 | 61 | 61 |
| Number of children with Long Term Foster Care Relative goal, pre-TPR | 69 | 61 | 54 | 61 | 52 | 55 |
| • Number of children with Long Term Foster Care Relative goal, 12 years old and under, pre-TPR | 7 | 10 | 5 | 7 | 7 | 9 |
| Long Term Foster Care Rel. goal, post-TPR | 10 | 9 | 11 | 9 | 9 | 6 |
| • Number of children with Long Term Foster Care Relative goal, 12 years old and under, post-TPR | 0 | 0 | 0 | 0 | 1 | 0 |

| APPLA* | Aug 2011 | Nov 2011 | Feb 2012 | May 2012 | Aug 2012 | Nov 2012 |
|--|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|
| Total number of children with APPLA goal | 752 | 751 | 711 | 671 | 634 | 629 |
| Number of children with APPLA goal, pre-TPR | 596 | 588 | 559 | 533 | 504 | 494 |
| <ul style="list-style-type: none"> Number of children with APPLA goal, 12 years old and under, pre-TPR | 23 | 27 | 28 | 31 | 21 | 22 |
| Number of children with APPLA goal, post-TPR | 156 | 163 | 152 | 138 | 130 | 135 |
| <ul style="list-style-type: none"> Number of children with APPLA goal, 12 years old and under, post-TPR | 10 | 8 | 8 | 7 | 7 | 11 |

* Columns prior to Aug 07 had previously been reported separately as APPLA: Foster Care Non-Relative and APPLA: Other. The values from each separate table were added to provide these figures. Currently there is only one APPLA goal.

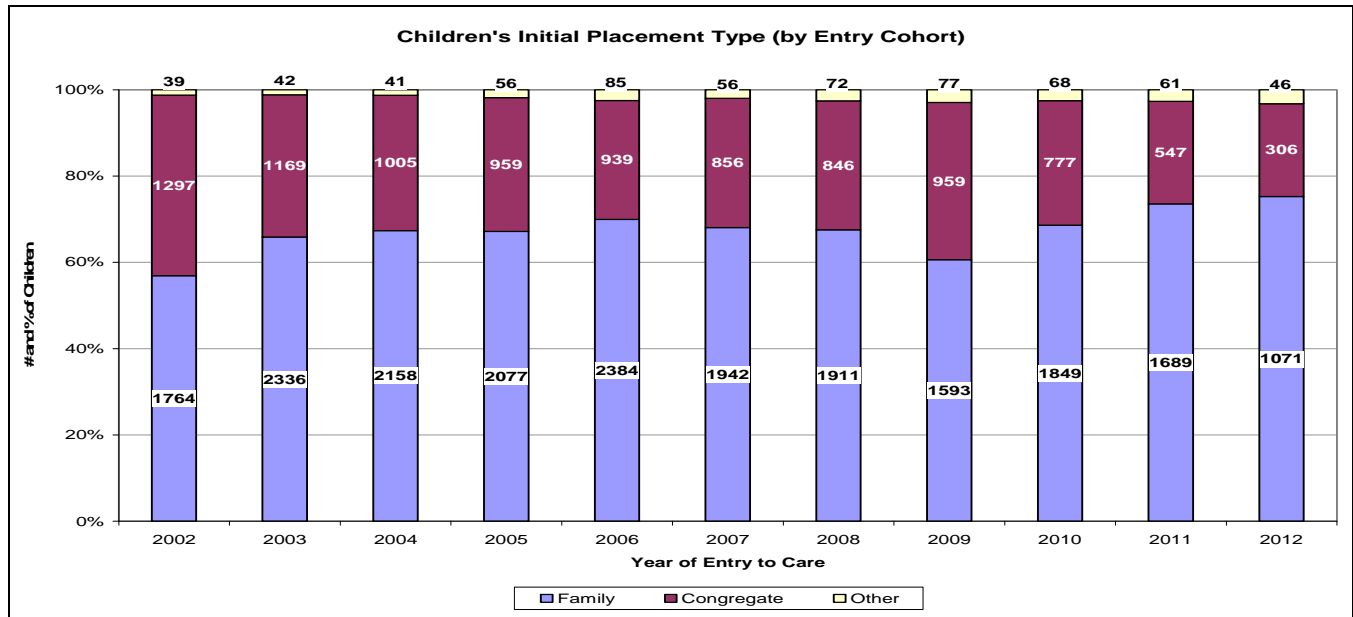
Missing Permanency Goals:

| | Aug 2011 | Nov 2011 | Feb 2012 | May 2012 | Aug 2012 | Nov 2012 |
|---|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|
| Number of children, with no Permanency goal, pre-TPR, >= 2 months in care | 16 | 17 | 25 | 24 | 21 | 21 |
| Number of children, with no Permanency goal, pre-TPR, >= 6 months in care | 7 | 8 | 10 | 11 | 16 | 13 |
| Number of children, with no Permanency goal, pre-TPR, >= 15 months in care | 2 | 5 | 6 | 5 | 9 | 11 |
| Number of children, with no Permanency goal, pre-TPR, TPR not filed, >= 15 months in care, no compelling reason | 2 | 3 | 3 | 2 | 6 | 9 |

B. PLACEMENT ISSUES

Placement Experiences of Children

The following chart shows the change in use of family and congregate care for admission cohorts between 2002 and 2012.

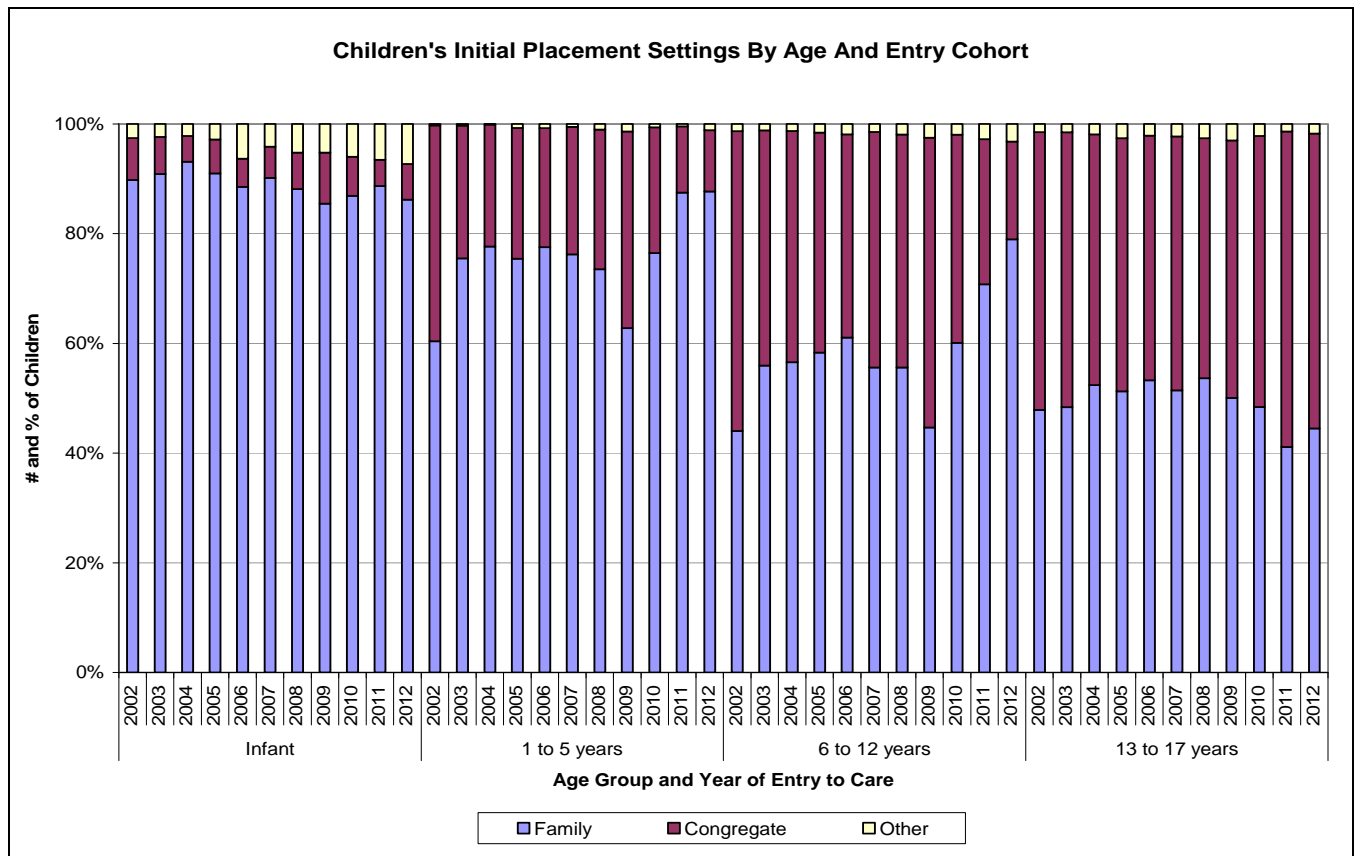


The next table shows specific care types used month-by-month for entries between October 2011 and September 2012.

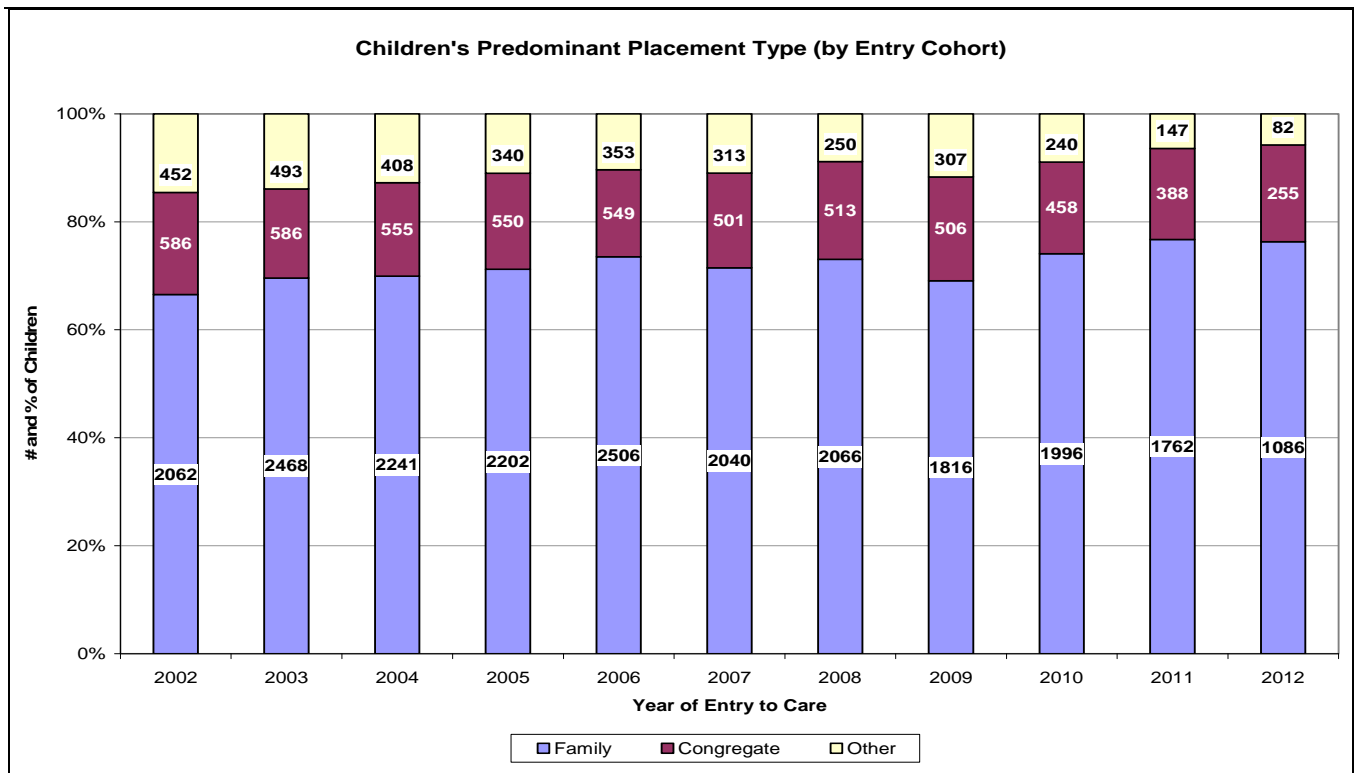
Case Summaries

| First placement type | enter Oct11 | enter Nov11 | enter Dec11 | enter Jan12 | enter Feb12 | enter Mar12 | enter Apr12 | enter May12 | enter Jun12 | enter Jul12 | enter Aug12 | enter Sep12 |
|----------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|
| Residential | N 10 % 5.6% | N 11 % 7.1% | N 11 % 7.9% | N 13 % 8.5% | N 9 % 6.1% | N 11 % 6.6% | N 7 % 5.0% | N 5 % 2.9% | N 8 % 5.4% | N 4 % 2.7% | N 12 % 6.8% | N 7 % 4.1% |
| DCF Facilities | N 4 % 2.2% | N 2 % 1.3% | N 2 % 1.4% | N 2 % 1.3% | N 4 % 2.7% | N 4 % 2.4% | N 6 % 4.3% | N 2 % 1.2% | N 2 % 1.4% | N 6 % 3.4% | N 2 % 1.2% | |
| Foster Care | N 82 % 45.6% | N 67 % 42.9% | N 61 % 43.9% | N 85 % 55.6% | N 69 % 46.6% | N 94 % 56.3% | N 68 % 48.2% | N 80 % 46.5% | N 67 % 45.3% | N 101 % 68.7% | N 89 % 50.6% | N 104 % 60.8% |
| Group Home | N 4 % 2.2% | N 4 % 2.6% | | N 6 % 3.9% | N 2 % 1.4% | | | N 4 % 2.3% | N 3 % 2.0% | N 2 % 1.4% | N 3 % 1.7% | N 4 % 2.3% |
| Independent Living | N % | | | | | | | N 1 % .6% | | | | |
| Relative Care | N 37 % 20.6% | N 30 % 19.2% | N 37 % 26.6% | N 21 % 13.7% | N 29 % 19.6% | N 30 % 18.0% | N 27 % 19.1% | N 39 % 22.7% | N 27 % 18.2% | N 21 % 14.3% | N 33 % 18.8% | N 27 % 15.8% |
| Medical | N 5 % 2.8% | N 4 % 2.6% | N 5 % 3.6% | N 4 % 2.6% | N 3 % 2.0% | N 1 % .6% | N 7 % 5.0% | N 8 % 4.7% | N 7 % 4.7% | N 2 % 1.4% | N 5 % 2.8% | N 8 % 4.7% |
| Safe Home | N 11 % 6.1% | N 18 % 11.5% | N 7 % 5.0% | N 3 % 2.0% | N 12 % 8.1% | N 9 % 5.4% | N 7 % 5.0% | N 10 % 5.8% | N 8 % 5.4% | N 3 % 2.0% | N 4 % 2.3% | N 5 % 2.9% |
| Shelter | N 12 % 6.7% | N 16 % 10.3% | N 8 % 5.8% | N 12 % 7.8% | N 10 % 6.8% | N 15 % 9.0% | N 14 % 9.9% | N 19 % 11.0% | N 15 % 10.1% | N 9 % 6.1% | N 15 % 8.5% | N 8 % 4.7% |
| Special Study | N 15 % 8.3% | N 4 % 2.6% | N 8 % 5.8% | N 7 % 4.6% | N 10 % 6.8% | N 3 % 1.8% | N 5 % 3.5% | N 4 % 2.3% | N 13 % 8.8% | N 3 % 2.0% | N 9 % 5.1% | N 6 % 3.5% |
| Total | N 180 % 100.0% | N 156 % 100.0% | N 139 % 100.0% | N 153 % 100.0% | N 148 % 100.0% | N 167 % 100.0% | N 141 % 100.0% | N 172 % 100.0% | N 148 % 100.0% | N 147 % 100.0% | N 176 % 100.0% | N 171 % 100.0% |

The chart below shows the change in level of care usage over time for different age groups.



It is also useful to look at where children spend most of their time in DCF care. The chart below shows this for admission the 2002 through 2012 admission cohorts.



The following chart shows monthly statistics of children who exited from DCF placements between October 2011 and September 2012, and the portion of those exits within each placement type from which they exited.

Case Summaries

| Last placement type in spell (as of censor date) | | exit Oct11 | exit Nov11 | exit Dec11 | exit Jan12 | exit Feb12 | exit Mar12 | exit Apr12 | exit May12 | exit Jun12 | exit Jul12 | exit Aug12 | exit Sep12 |
|--|---|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|
| Residential | N | 10 | 12 | 15 | 26 | 14 | 29 | 13 | 7 | 19 | 11 | 14 | 9 |
| | % | 5.6% | 7.7% | 6.3% | 15.5% | 8.9% | 14.8% | 7.9% | 3.8% | 10.7% | 6.1% | 5.9% | 7.0% |
| DCF Facilities | N | 2 | 3 | 6 | 2 | 3 | 2 | 3 | 2 | 4 | 5 | 6 | |
| | % | 1.1% | 1.9% | 2.5% | 1.2% | 1.9% | 1.0% | 1.8% | 1.1% | 2.3% | 2.8% | 2.5% | |
| Foster Care | N | 82 | 71 | 130 | 61 | 74 | 82 | 85 | 80 | 80 | 77 | 129 | 59 |
| | % | 46.3% | 45.8% | 54.4% | 36.3% | 46.8% | 41.8% | 51.5% | 44.0% | 45.2% | 42.8% | 54.7% | 45.7% |
| Group Home | N | 14 | 8 | 14 | 14 | 8 | 17 | 10 | 13 | 14 | 14 | 13 | 4 |
| | % | 7.9% | 5.2% | 5.9% | 8.3% | 5.1% | 8.7% | 6.1% | 7.1% | 7.9% | 7.8% | 5.5% | 3.1% |
| Independent Living | N | 1 | 4 | | 5 | 8 | 6 | 5 | 2 | | 2 | | 4 |
| | % | .6% | 2.6% | | 3.0% | 5.1% | 3.1% | 3.0% | 1.1% | | 1.1% | | 3.1% |
| Relative Care | N | 48 | 47 | 53 | 41 | 33 | 33 | 29 | 51 | 46 | 48 | 53 | 37 |
| | % | 27.1% | 30.3% | 22.2% | 24.4% | 20.9% | 16.8% | 17.6% | 28.0% | 26.0% | 26.7% | 22.5% | 28.7% |
| Medical | N | 1 | | 1 | 1 | | 3 | 1 | | 1 | 2 | 1 | 1 |
| | % | .6% | | .4% | .6% | | 1.5% | .6% | | .6% | 1.1% | .4% | .8% |
| Safe Home | N | 2 | 2 | 5 | 2 | 3 | 3 | | 6 | 3 | 2 | 6 | 1 |
| | % | 1.1% | 1.3% | 2.1% | 1.2% | 1.9% | 1.5% | | 3.3% | 1.7% | 1.1% | 2.5% | .8% |
| Shelter | N | 6 | 4 | 10 | 8 | 7 | 11 | 9 | 9 | 6 | 8 | 6 | 6 |
| | % | 3.4% | 2.6% | 4.2% | 4.8% | 4.4% | 5.6% | 5.5% | 4.9% | 3.4% | 4.4% | 2.5% | 4.7% |
| Special Study | N | 8 | 2 | 4 | 8 | 8 | 8 | 9 | 8 | 4 | 7 | 7 | 7 |
| | % | 4.5% | 1.3% | 1.7% | 4.8% | 5.1% | 4.1% | 5.5% | 4.4% | 2.3% | 3.9% | 3.0% | 5.4% |
| Unknown | N | 3 | 2 | 1 | | | 2 | 1 | 4 | | 4 | 1 | 1 |
| | % | 1.7% | 1.3% | .4% | | | 1.0% | .6% | 2.2% | | 2.2% | .4% | .8% |
| Total | N | 177 | 155 | 239 | 168 | 158 | 196 | 165 | 182 | 177 | 180 | 236 | 129 |
| | % | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% |

The next chart shows the primary placement type for children who were in care on October 1, 2012 organized by length of time in care.

Primary type of spell (>50%) * Duration Category Crosstabulation

| | | | Duration Category | | | | | | | Total |
|------------------------------|--------------------|--------|-------------------|------------------|-------------------|--------------------|--------------------|---------------------|----------------|--------|
| | | | 1 <= durat < 30 | 30 <= durat < 90 | 90 <= durat < 180 | 180 <= durat < 365 | 365 <= durat < 545 | 545 <= durat < 1095 | more than 1095 | |
| Primary type of spell (>50%) | Residential | Count | 0 | 1 | 22 | 55 | 36 | 105 | 89 | 308 |
| | | % Row | .0% | .3% | 7.1% | 17.9% | 11.7% | 34.1% | 28.9% | 100.0% |
| | | % Col | .0% | 3.8% | 5.5% | 7.9% | 5.2% | 9.2% | 7.7% | 7.5% |
| | DCF Facilities | Count | 0 | 1 | 7 | 9 | 7 | 4 | 6 | 34 |
| | | % Row | .0% | 2.9% | 20.6% | 26.5% | 20.6% | 11.8% | 17.6% | 100.0% |
| | | % Col | .0% | 3.8% | 1.8% | 1.3% | 1.0% | .4% | 5% | .8% |
| | Foster Care | Count | 1 | 9 | 170 | 282 | 310 | 604 | 647 | 2023 |
| | | % Row | .0% | .4% | 8.4% | 13.9% | 15.3% | 29.9% | 32.0% | 100.0% |
| | | % Col | 33.3% | 34.6% | 42.6% | 40.7% | 45.1% | 53.1% | 55.8% | 49.3% |
| | Group Home | Count | 0 | 0 | 7 | 17 | 29 | 47 | 115 | 215 |
| | | % Row | .0% | .0% | 3.3% | 7.9% | 13.5% | 21.9% | 53.5% | 100.0% |
| | | % Col | .0% | .0% | 1.8% | 2.5% | 4.2% | 4.1% | 9.9% | 5.2% |
| | Independent Living | Count | 0 | 0 | 0 | 0 | 0 | 4 | 2 | 6 |
| | | % Row | .0% | .0% | .0% | .0% | .0% | 66.7% | 33.3% | 100.0% |
| | | % Col | .0% | .0% | .0% | .0% | .0% | .4% | 2% | .1% |
| | Relative Care | Count | 0 | 6 | 104 | 225 | 226 | 237 | 83 | 881 |
| | | % Row | .0% | .7% | 11.8% | 25.5% | 25.7% | 26.9% | 9.4% | 100.0% |
| | | % Col | .0% | 23.1% | 26.1% | 32.5% | 32.9% | 20.8% | 7.2% | 21.5% |
| | Medical | Count | 1 | 1 | 4 | 3 | 6 | 1 | 2 | 18 |
| | | % Row | 5.6% | 5.6% | 22.2% | 16.7% | 33.3% | 5.6% | 11.1% | 100.0% |
| % Col | | 33.3% | 3.8% | 1.0% | .4% | .9% | .1% | 2% | .4% | |
| Mixed (none >50%) | Count | 0 | 0 | 4 | 10 | 22 | 70 | 163 | 269 | |
| | % Row | .0% | .0% | 1.5% | 3.7% | 8.2% | 26.0% | 60.6% | 100.0% | |
| | % Col | .0% | .0% | 1.0% | 1.4% | 3.2% | 6.2% | 14.1% | 6.6% | |
| Safe Home | Count | 0 | 1 | 17 | 20 | 6 | 9 | 3 | 56 | |
| | % Row | .0% | 1.8% | 30.4% | 35.7% | 10.7% | 16.1% | 5.4% | 100.0% | |
| | % Col | .0% | 3.8% | 4.3% | 2.9% | .9% | .8% | 3% | 1.4% | |
| Shelter | Count | 1 | 7 | 35 | 29 | 4 | 2 | 0 | 78 | |
| | % Row | 1.3% | 9.0% | 44.9% | 37.2% | 5.1% | 2.6% | .0% | 100.0% | |
| | % Col | 33.3% | 26.9% | 8.8% | 4.2% | .6% | .2% | .0% | 1.9% | |
| Special Study | Count | 0 | 0 | 25 | 39 | 40 | 53 | 43 | 200 | |
| | % Row | .0% | .0% | 12.5% | 19.5% | 20.0% | 26.5% | 21.5% | 100.0% | |
| | % Col | .0% | .0% | 6.3% | 5.6% | 5.8% | 4.7% | 3.7% | 4.9% | |
| Unknown | Count | 0 | 0 | 4 | 4 | 1 | 1 | 6 | 16 | |
| | % Row | .0% | .0% | 25.0% | 25.0% | 6.3% | 6.3% | 37.5% | 100.0% | |
| | % Col | .0% | .0% | 1.0% | .6% | .1% | .1% | 5% | .4% | |
| Total | Count | 3 | 26 | 399 | 693 | 687 | 1137 | 1159 | 4104 | |
| | % Row | .1% | .6% | 9.7% | 16.9% | 16.7% | 27.7% | 28.2% | 100.0% | |
| | % Col | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | |

Congregate Care Settings

| Placement Issues | Aug 2011 | Nov 2011 | Feb 2012 | May 2012 | Aug 2012 | Nov 2012 |
|--|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|
| Total number of children 12 years old and under, in Congregate Care | 132 | 105 | 90 | 78 | 55 | 58 |
| • Number of children 12 years old and under, in DCF Facilities | 4 | 2 | 5 | 5 | 5 | 4 |
| • Number of children 12 years old and under, in Group Homes | 31 | 28 | 24 | 23 | 21 | 22 |
| • Number of children 12 years old and under, in Residential | 40 | 34 | 25 | 15 | 10 | 7 |
| • Number of children 12 years old and under, in SAFE Home | 54 | 36 | 35 | 34 | 17 | 24 |
| • Number of children 12 years old and under, in Permanency Diagnostic Center | 0 | 0 | 0 | 0 | 0 | 0 |
| • Number of children 12 years old and under in Shelter | 3 | 5 | 1 | 1 | 2 | 1 |
| Total number of children ages 13-17 in Congregate Placements | 729 | 713 | 675 | 624 | 576 | 556 |

Use of SAFE Homes, Shelters and PDCs

The analysis below provides longitudinal data for children (which may include youth ages 18 and older) who entered care in Safe Homes, Permanency Diagnostic Centers and Shelters.

| | Period of Entry to Care | | | | | | | | | | |
|------------------------|--------------------------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|
| | 2002 | 2003 | 2004 | 2005 | 2006 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 |
| Total Entries | 3100 | 3547 | 3204 | 3092 | 3408 | 2854 | 2829 | 2629 | 2694 | 2297 | 1423 |
| SAFE Homes/PDCs | 728 23% | 629 18% | 453 14% | 394 13% | 395 12% | 382 13% | 335 12% | 471 18% | 331 12% | 146 6% | 61 4% |
| Shelters | 165 5% | 135 4% | 147 5% | 178 6% | 114 3% | 136 5% | 144 5% | 186 7% | 175 6% | 193 8% | 117 8% |
| Total | 893 29% | 764 22% | 600 19% | 572 18% | 509 15% | 518 18% | 479 17% | 657 25% | 506 19% | 339 15% | 178 13% |

| | Period of Entry to Care | | | | | | | | | | |
|------------------------------|--------------------------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|
| | 2002 | 2003 | 2004 | 2005 | 2006 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 |
| Total Initial Plcmnts | 893 | 764 | 600 | 572 | 509 | 518 | 479 | 657 | 506 | 339 | 178 |
| <= 30 days | 351 39% | 308 40% | 249 42% | 241 42% | 186 37% | 162 31% | 150 31% | 229 35% | 135 27% | 103 30% | 56 31% |
| 31 - 60 | 284 | 180 | 102 | 114 | 73 | 73 | 102 | 110 | 106 | 57 | 39 |

| | Period of Entry to Care | | | | | | | | | | |
|------------------------------|-------------------------|------------|------------|------------|------------|------------|------------|------------|------------|-----------|-----------|
| | 2002 | 2003 | 2004 | 2005 | 2006 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 |
| Total Initial Plcmnts | 893 | 764 | 600 | 572 | 509 | 518 | 479 | 657 | 506 | 339 | 178 |
| | 32% | 24% | 17% | 20% | 14% | 14% | 21% | 17% | 21% | 17% | 22% |
| 61 - 91 | 106 12% | 121 16% | 81 14% | 76 13% | 87 17% | 79 15% | 85 18% | 157 24% | 91 18% | 54 16% | 25 14% |
| 92 - 183 | 101 11% | 107 14% | 124 21% | 100 17% | 118 23% | 131 25% | 110 23% | 124 19% | 136 27% | 84 25% | 46 26% |
| 184+ | 51 6% | 48 6% | 44 7% | 41 7% | 45 9% | 73 14% | 32 7% | 37 6% | 38 8% | 41 12% | 12 7% |

The following is the point-in-time data taken from the monthly LINK data, and may include those youth ages 18 and older.

| Placement Issues | May 2011 | Aug 2011 | Nov 2011 | Feb 2012 | May 2012 | Aug 2012 | Nov 2012 |
|--|----------|----------|----------|----------|----------|----------|----------|
| Total number of children in SAFE Home | 70 | 79 | 63 | 60 | 63 | 45 | 49 |
| • Number of children in SAFE Home, > 60 days | 50 | 42 | 35 | 44 | 40 | 35 | 31 |
| • Number of children in SAFE Home, >= 6 months | 15 | 13 | 14 | 9 | 11 | 7 | 8 |
| Total number of children in STAR/Shelter Placement | 80 | 80 | 79 | 75 | 71 | 84 | 78 |
| • Number of children in STAR/Shelter Placement, > 60 days | 41 | 48 | 43 | 40 | 37 | 53 | 40 |
| • Number of children in STAR/Shelter Placement, >= 6 months | 4 | 3 | 11 | 7 | 9 | 9 | 9 |
| Total number of children in Permanency Planning Diagnostic Center | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
| • Total number of children in Permanency Planning Diagnostic Center, > 60 days | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
| • Total number of children in Permanency Planning Diagnostic Center, >= 6 months | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
| Total number of children in MH Shelter | 1 | 2 | 5 | 2 | 1 | 2 | 1 |
| • Total number of children in MH Shelter, > 60 days | 1 | 1 | 4 | 2 | 1 | 1 | 1 |
| • Total number of children in MH Shelter, >= 6 months | 0 | 1 | 1 | 1 | 0 | 0 | 0 |

Time in Residential Care

| Placement Issues | May 2011 | Aug 2011 | Nov 2011 | Feb 2012 | May 2012 | Aug 2012 | Nov 2012 |
|--|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|
| Total number of children in Residential care | 488 | 454 | 403 | 372 | 316 | 273 | 252 |
| <ul style="list-style-type: none"> Number of children in Residential care, >= 12 months in Residential placement | 132 | 126 | 119 | 124 | 113 | 89 | 76 |
| <ul style="list-style-type: none"> Number of children in Residential care, >= 60 months in Residential placement | 2 | 2 | 1 | 1 | 1 | 1 | 0 |

Appendix 1
Commissioner's Highlights from
The Department of Children & Families
Third Quarter 2012 Exit Plan Report

Commissioner Statement

As we approach the two-year mark of this administration and the well-documented transformation of the Department, the 2012 Third Quarter *Juan F.* Report affords us the opportunity to highlight the progress made by our staff and also the ongoing reforms necessary to build on this success. As the data demonstrates, significant positive trends have taken hold and are ongoing. As of December 1, 2012 and compared to a January 1, 2011 baseline, we have seen these advances:

- The number of children in care has declined by 14.2 percent;
- The share of children in care who are in a congregate setting has declined 20.3 percent;
- The share of children in care who are living with a relative has increased 32.9 percent;
- The share of children in care who are living in a family (traditional foster family, relative home, or special study home) has increased by 13.0 percent; and
- The number of children in care who are in an out-of-state placement has declined by 77.5 percent.

The data includes an additional fact that speaks volumes about the transformation underway: for the first time in anyone's memory, a higher percentage of children in care are living with someone they know -- a relative or special study home -- than are living in a congregate setting. This is an important threshold toward the goal of having every child get tucked into bed at night by the same person who wakes them in the morning.

Our staff have enthusiastically embraced the Strengthening Families Practice Model and Differential Response System and are immersed in their implementation. The Department's relationships with families and with children have been greatly improved through this strengths-based, solution-focused approach. By seeing and treating families as the solution to challenges, we are making substantial forward strides. This work is difficult, but by engaging families as partners and gaining their full participation in our efforts, we are much more effective.

While the progress is clearly evident, there are many areas that need continued reform. There are still too many children in temporary congregate settings for too long a period of time. There are too many children who are not living in a family. There are too many siblings we cannot keep together. Adolescents and children with complex medical needs also present special challenges for finding a foster resource. Too many adolescents exit the system without a permanent family resource. We must -- despite significant improvement since January 2011 -- continue to increase the percentage of children in care who live in a relative or special study home.

Accordingly, we will press forward with our agenda of reform. One of the most important initiatives in the overall effort of strengthening family participation is the evolution and expansion of child and family teaming. Teaming is a fundamental outgrowth of the practice model's strength-based, solution-focused approach. Originally focused on efforts to move children from congregate settings to family settings, we are now about to expand teaming to families where a removal comes under consideration. These "Considered Removal -- Child and Family Team" (CR-CFT) meetings are to occur prior to the removal or, where an emergency removal is necessary to ensure safety, immediately following the removal and prior to a court hearing.

The basic premise of the CR-CFT initiative is that all families have strengths, families are experts about themselves, and, when properly supported, families can make well-informed decisions about keeping

children safe. The meeting involves parents, family members, professionals, and interested community members in safety planning and placement-related decision making. Dedicated meeting facilitators have been identified in each office and training for the facilitators and their supervisors will occur in January 2013. In February, the teaming will be implemented in all "considered removal" cases, and, in March, coaching and consultation will be provided to embed these meetings in our practice. Data from other jurisdictions shows that children whose families participate in teaming were more likely to reunify, had shorter stays in foster care and were more likely to be placed in a family setting.

This implementation will be followed by a further expansion of teaming later this year to include a broad expanse of cases in which a child's permanency needs must be addressed. The goal is to use permanency planning teams as a case-planning and decision-making process throughout the life of a case and as a means of connecting youth with enduring family relationships to prevent aging out of the foster care system. Children who enter care or are in care will benefit from these team meetings -- especially older children who are approaching a transition out of the foster care system. Training for Permanency Child and Family Teaming will begin in September 2013 and implementation will follow in December 2013.

This "Permanency Child and Family Teaming" initiative will follow on the heels of another effort to establish greater permanency for adolescents in our care. Earlier in 2013, adolescent services workers will begin to conduct "Permanency Roundtables" for adolescents in care with an "APPLA" (Another Planned Permanent Living Arrangement) designation. The roundtables will convene the youth, staff and other individuals involved with the youth together to identify and plan to arrange permanent relationships for the youth so that they do not "age out" of foster care without them. It is expected that the training for adolescent services staff will begin in the spring of 2013, and the roundtables will commence immediately thereafter.

Another major initiative that continues to roll out is the trauma-informed practice promoted through the federal CONCEPT grant. This five-year \$3.2 million grant awarded the Department by the Administration for Children and Families moved from a scheduled planning phase that ended in October and is embarking on an ambitious, multiple-day, all-staff training that will be completed in the spring. The research has established that the traumas experienced by children and families in the child welfare system have a pervasive impact that must be addressed to ensure the effectiveness of our interventions. In addition, the secondary trauma experienced by child welfare staff is likewise a reality that must be confronted to maintain an effective workforce. Due to these substantial effects of trauma, our work will be enhanced considerably by developing our staff to more fully understand and respond to the multi-faceted impacts of trauma.

There is no doubt that many challenges -- those noted above and others -- continue to face the Department as we engage families in improving outcomes for children. Case planning and meeting children's needs remain areas demanding improvement. In addition, we find ourselves in a time in which state government in Connecticut is struggling under the weight of a slow economic recovery and tighter resources. Undoubtedly, there will be ideas for service expansions that will not proceed under these fiscal circumstances. We are fortunate that in reducing the number of children in care and the numbers of children in congregate settings, the Department has been able to absorb budget reductions while still advancing the needed reforms. I believe that having fewer children in care and fewer children in congregate care is the right thing for the children, and we will continue to move in this direction.

Lastly, I want to thank our staff and our families for making such important progress in this difficult work. Significant challenges lie ahead of us, but the staff has shown its mettle in overcoming the adversities -- much like the families and children we serve do every day themselves. This is a partnership in which mutual support will allow us to achieve the advances to which we all aspire.

Appendix 2

Outcome Measure 8 Pre-Certification Review - Adoption

Outcome Measure 8: Pre-Certification Review - Adoption

Overview:

This is a qualitative review on the timeliness of finalization of children's adoptions which is conducted to provide qualitative and quantitative data supplemental to the DCF LINK data verified by the Court Monitor on a quarterly basis. As with previously reported reviews, the purpose of this pre-certification review is to recognize DCF's sustained improved performance, to identify and provide a prompt and timely opportunity to remedy any problem areas which are affecting the well-being of *Juan F.* class members, and to increase the efficiency of DCF's eventual compliance with the Exit Plan and exit from the *Juan F.* Consent Decree.

If the pre-certification review does not identify any material issues requiring remediation and no assertions of noncompliance with the specific OM at issue are pending at the time the Defendants assert sustained compliance with all 22 Outcome Measures, the parties agree that the full review as outlined in paragraph 5 of the *Juan F.* Revised Exit Plan will not be a requirement to exit. The extent of the full review will be decided after discussions and agreement of the parties, and will be formalized in a modification of the *Juan F.* Revised Exit Plan at the time of assertion of compliance.

The Outcome Measure 8 requirement is for DCF to comply and sustain the following level of practice:

“At least 32% of the children who are adopted shall have their adoptions finalized within 24 months of the child’s most recent removal from his/her home.”

DCF has reported compliance with this measure in 24 of the 34 quarters as of the Second Quarter 2012 reporting. Though somewhat inconsistent, performance is vastly improved since the baseline of 12.5% was established in 2004. Most recent non-compliance occurred in the First Quarter 2012 when the Department dropped to 23.7% of adoptions finalized within 24 months of removal after five quarters of sustained compliance. This review will focus on the Outcome Measure results for the Second Quarter 2011 and Third Quarter 2011. During these quarters the Department reported quantitative compliance with the 32% requirement and the following performance for universe of all exits via adoption:

Second Quarter 2011 OM8 Reported by DCF: 32.7%

Third Quarter 2011 OM8 Reported by DCF: 40.0%

Our review of each sample from the respective quarters concurs with the assertion of compliance, as we have identified the following quantitative results:

Court Monitor Review Findings for Second Quarter 2011 OM8: 33.6%

Court Monitor Review Findings for Third Quarter 2011 OM8: 37.3%

On a case by case basis, the Court Monitor sample findings were quantitatively 99.2% consistent with the ROM data for the specific cases in the Second Quarter reporting and 100.0% consistent with the specific ROM data reported in the Third Quarter. The one inconsistent case was provided to DCF for further investigation. It was found to be the result of a social worker data

entry error related to the episode entry date when the child's case was created following a termination of parental rights (TPR).

Crosstabulation 1: Quarter that this sample represents? * Does your response related to compliance agree with the ROM/LINK assessment of compliance with OM8 reported in the quarter (as provided on ROM spreadsheet)?

| Quarter that this sample represents? | Does your response related to compliance agree with the ROM/LINK assessment of compliance with OM8 reported in the quarter (as provided on ROM spreadsheet)? | | |
|--------------------------------------|--|----|-------|
| | Yes | No | Total |
| 2nd Quarter 2011 Exit via Adoption | 130 | 1 | 131 |
| 3rd Quarter 2011 Exit via Adoption | 102 | 0 | 102 |
| Total | 232 | 1 | 233 |

With respect to the qualitative review, we find 85.5% of the cases were designated with scores reflecting strength in overall case practice: specified as either Good or Optimal quality of case practice. Supervision was designated as Good or Optimal in 71.8% of the cases. Cases in which both case practice and supervision concurrently achieved the Good and/or Optimal scores occurred in 69.5% of the 131 the cases reviewed for the second quarter. During the Third Quarter, the concurrent rate was 63.7% of the 102 case reviewed; with supervision scoring Good or Optimal in 64.7% and case practice identified as a strength in 87.3% of the cohort population reviewed.

Limitations

Since the sample is composed entirely of children that exited DCF care during Second Quarter 2011 and Third Quarter 2011, the results are solely applicable to those groups. Given the limitations of an exit cohort review, results should not be generalized to the entire population of children either entering or already in DCF care at that time with the goal of adoption, though certainly the findings can point to systemic factors in a qualitative manner.

Methodology

By agreement of the parties, the Monitor's Office requested the DCF provide the universe of all children that were discharged from DCF custody during the two consecutive quarters of April - June and July - September, 2011 with the reason being "adoption". This universe was provided and included a total of 289 children. 167 children were adopted during the quarter of April 1, 2011 to June 30, 2011 and 122 children were adopted during the quarter of July 1, 2011 to September 30, 2011. Sampling methodology was undertaken such that a sample was selected at a 95% confidence level (+/-4%). This resulted in the need to identify a minimum of 131 and 102 children per quarter for the sampling respectively. Samples were stratified by area office resulting in the following sample populations:

Table 1: Universe and Sample Set Designation by Area Office

| Area Office | Number of Children in 2nd Quarter 2011 Universe | | Number of Children in 2nd Quarter 2011 Sample Set | | Number of Children in 3rd Quarter 2011 Universe | | Number of Children in 3 rd Quarter 2011 Sample | |
|---------------------------|---|--------|---|--------|---|--------|---|--------|
| | | | | | | | | |
| Bridgeport | 11 | 6.6% | 9 | 6.9% | 7 | 5.7% | 6 | 5.9 |
| Danbury | 6 | 3.6% | 5 | 3.8% | 0 | 0.0% | 0 | 0 |
| Hartford Office | 23 | 13.8% | 18 | 13.7% | 19 | 15.6% | 16 | 15.7 |
| Manchester Office | 14 | 8.4% | 11 | 8.4% | 5 | 4.1% | 4 | 3.9 |
| Meriden Office | 2 | 1.2% | 2 | 1.5% | 6 | 4.9% | 5 | 4.9 |
| Middletown Office | 6 | 3.6% | 5 | 3.8% | 12 | 9.8% | 10 | 9.8 |
| Milford | 9 | 5.4% | 7 | 5.3% | 4 | 3.3% | 3 | 2.9 |
| New Britain Office | 25 | 15.0% | 19 | 14.5% | 12 | 9.8% | 10 | 9.8 |
| New Haven | 10 | 6.0% | 8 | 6.1% | 14 | 11.5% | 12 | 11.8 |
| Norwalk Office | 4 | 2.4% | 3 | 2.3% | 2 | 1.6% | 2 | 2.0 |
| Norwich Office | 25 | 15.0% | 19 | 14.5% | 21 | 17.2% | 18 | 17.6 |
| Stamford Office | 4 | 2.4% | 3 | 2.3% | 0 | 0.0% | 0 | 0 |
| Torrington Office | 5 | 3.0% | 4 | 3.1% | 6 | 4.9% | 5 | 4.9 |
| Waterbury Office | 14 | 8.4% | 11 | 8.4% | 10 | 8.2% | 8 | 7.8 |
| Willimantic Office | 9 | 5.4% | 7 | 5.3% | 4 | 3.3% | 3 | 2.9 |
| Grand Total | 167 | 100.0% | 131 | 100.0% | 122 | 100.0% | 102 | 100.0% |

Second Quarter 2011 Outcome Measure 8 Pre-Certification Findings

Population Description:

A number of data were collected in order to describe the population, and comparisons between outcome groups were drawn on each variable to evaluate those variables that may or may not have an impact on outcome performance. This Second Quarter 2011 adoption exit cohort sample included 131 children. There were 71 males and 60 female children ranging from birth to 14 years 8 months at the time of the most recent episode of DCF out of home placement. The children were of varying race and ethnicity as follows.

Crosstabulation 2: Second Quarter Adoption Exit Cohort - Child's Race * Child's Ethnicity

| Child's Race | | Child's Ethnicity | | | |
|--|----------------------------|-------------------|--------------|---------|--------|
| | | Hispanic | Non-Hispanic | Unknown | Total |
| Asian | Count | 0 | 1 | 0 | 1 |
| | % within Child's Race | .0% | 100.0% | .0% | 100.0% |
| | % within Child's Ethnicity | .0% | 1.2% | .0% | .8% |
| Black/African American | Count | 4 | 23 | 1 | 28 |
| | % within Child's Race | 14.3% | 82.1% | 3.6% | 100.0% |
| | % within Child's Ethnicity | 8.9% | 27.1% | 100.0% | 21.4% |
| White | Count | 37 | 46 | 0 | 83 |
| | % within Child's Race | 44.6% | 55.4% | .0% | 100.0% |
| | % within Child's Ethnicity | 82.2% | 54.1% | .0% | 63.4% |
| Multiracial (more than one race selected) | Count | 4 | 15 | 0 | 19 |
| | % within Child's Race | 21.1% | 78.9% | .0% | 100.0% |
| | % within Child's Ethnicity | 8.9% | 17.6% | .0% | 14.5% |
| Total | Count | 45 | 85 | 1 | 131 |
| | % within Child's Race | 34.4% | 64.9% | .8% | 100.0% |
| | % within Child's Ethnicity | 100.0% | 100.0% | 100.0% | 100.0% |

Race and ethnicity did not appear to have a significant impact on the timeliness of the adoption finalization.

There does appear to be a relationship between children's ages on entry and how quickly the court process takes from the point of filing to having TPR granted. Those children six and older at entry had slightly longer amounts of time pass between entry, filing of TPR and ultimately achieving the finalized adoption. The Crosstabulation below provide the point in time snapshots by age at entry.

**Crosstabulation 3: Second Quarter Adoption Exit Cohort - Adoption within 24 months*
Child's age on entry date**

| Child's Age on Entry Date (Categories) | Adoption Within 24 Months? | | | | Total | |
|--|----------------------------|--------------|-----------|--------------|------------|---------------|
| | Yes | | No | | | |
| | Count | % | Count | % | Count | % |
| <1 Year Old | 31 | 47.7% | 34 | 52.3% | 65 | 100.0% |
| 1 - 5 Years Old | 10 | 27.8% | 26 | 72.2% | 36 | 100.0% |
| 6 - 12 Years Old | 2 | 8.3% | 22 | 91.7% | 24 | 100.0% |
| 13 - 17 Years Old | 1 | 16.7% | 5 | 83.3% | 6 | 100.0% |
| Total | 44 | 33.6% | 87 | 66.4% | 131 | 100.0% |

Crosstabulation 4: Second Quarter Adoption Exit Cohort - Time between Dates of Entry and TPR Filing * Child's Age on Entry Date

| Child's Age on Entry Date (Categories) | Time Between Dates of Entry and TPR Filing | | | | | | Total | |
|--|--|--------------|----------------|--------------|------------|--------------|------------|---------------|
| | <12 Months | | 12 - 23 Months | | 24+ Months | | | |
| | # | % | # | % | # | % | # | % |
| <1 Year Old | 23 | 35.4% | 36 | 55.3% | 6 | 9.2% | 65 | 100.0% |
| 1 - 5 Years Old | 14 | 32.6% | 23 | 53.5% | 6 | 13.9% | 43 | 100.0% |
| 6 - 12 Years Old | 5 | 22.7% | 12 | 54.5% | 5 | 22.7% | 22 | 100.0% |
| 13 - 17 Years Old | 0 | .0% | 0 | .0% | 1 | 100.0% | 1 | 100.0% |
| Total | 42 | 32.1% | 71 | 54.2% | 18 | 13.7% | 131 | 100.0% |

Crosstabulation 5: Second Quarter Adoption Exit Cohort - Time between Dates of TPR Filing and TPR Granted * Child's Age on Entry Date

| Child's Age on Entry Date (Categories) | Time Between Dates of TPR Filing and TPR Granted | | | | | | Total | |
|--|--|-------------|----------------|--------------|------------|--------------|------------|---------------|
| | <12 Months | | 12 - 23 Months | | 24+ Months | | | |
| | # | % | # | % | # | % | # | % |
| <1 Year Old | 8 | 12.3% | 35 | 53.8% | 22 | 33.8% | 65 | 100.0% |
| 1 - 5 Years Old | 4 | 9.3% | 21 | 48.8% | 18 | 41.9% | 43 | 100.0% |
| 6 - 12 Years Old | 1 | 4.5% | 11 | 50.0% | 10 | 45.5% | 22 | 100.0% |
| 13 - 17 Years Old | 0 | .0% | 0 | .0% | 1 | 100.0% | 1 | 100.0% |
| Total | 13 | 9.9% | 67 | 51.1% | 51 | 38.9% | 131 | 100.0% |

**Crosstabulation 6: Second Quarter Adoption Exit Cohort - Child's Length of Stay *
Child's Age on Entry Date**

| Child's Age on Entry Date (Categories) | Child's Length of Stay (Categories) | | | | | | | | | | Total | |
|--|-------------------------------------|-------------|----------------|--------------|----------------|--------------|----------------|--------------|------------|--------------|------------|---------------|
| | 6 - 11 Months | | 12 - 23 Months | | 24 - 35 Months | | 36 - 47 Months | | 48+ Months | | | |
| | # | % | # | % | # | % | # | % | # | % | # | % |
| <1 Year Old | 2 | 3.1% | 22 | 33.8% | 29 | 44.6% | 6 | 9.2% | 6 | 9.2% | 65 | 100.0% |
| 1 - 5 Years Old | 1 | 2.3% | 9 | 20.9% | 17 | 39.5% | 9 | 20.9% | 7 | 16.3% | 43 | 100.0% |
| 6 - 12 Years Old | 0 | .0% | 3 | 13.6% | 7 | 31.8% | 4 | 18.2% | 8 | 36.4% | 22 | 100.0% |
| 13 - 17 Years Old | 0 | .0% | 0 | .0% | 1 | 100.0% | 0 | .0% | 0 | .0% | 1 | 100.0% |
| Total | 3 | 2.3% | 31 | 23.7% | 54 | 41.2% | 19 | 14.5% | 21 | 16.0% | 131 | 100.0% |

Placement Episode Characteristics:

Data were also gathered to describe the children’s placement episodes (from date of entry through legal discharge). A majority, 111 children (84.7%) were experiencing their first episode in DCF care during the time period reviewed. Sixteen of the twenty children were on their second episode, while the remaining four were on their third placement episode. There were no statistically significant differences found between these groups and achieving timely adoption.

Crosstabulation 7: Adoption within 24 months? * Was this the first placement episode experienced by this child?

| Was this the first placement episode experienced by this child? | Adoption Within 24 Months? | | | | Total | |
|---|----------------------------|--------------|-----------|--------------|------------|---------------|
| | Yes | | No | | | |
| | Count | % | Count | % | Count | % |
| Yes | 37 | 33.3% | 74 | 66.7% | 111 | 100.0% |
| No | 7 | 35.0% | 13 | 65.0% | 20 | 100.0% |
| Total | 48 | 33.6% | 87 | 66.4% | 131 | 100.0% |

It was not surprising to find a relationship between timely identification of adoption as the child’s primary permanency goal, filing of the TPR and the achievement of timely adoption.

Crosstabulation 8: Adoption within 24 months? * For how long had adoption been the primary permanency goal for this child as of the date child’s Adoption was finalized?

| CM.5. For how long had Adoption been the primary permanency goal for this child as of the date child’s Adoption was finalized? | Adoption Within 24 Months? | | | | Total | |
|--|----------------------------|--------------|-----------|--------------|------------|---------------|
| | Yes | | No | | | |
| | Count | % | Count | % | Count | % |
| <6 Months | 3 | 75.0% | 1 | 25.0% | 4 | 100.0% |
| 6 to <12 Months | 24 | 70.6% | 10 | 29.4% | 34 | 100.0% |
| 12 to <18 Months | 11 | 26.2% | 31 | 73.8% | 42 | 100.0% |
| 18 to <24 Months | 6 | 21.4% | 22 | 78.6% | 28 | 100.0% |
| >=24 Months | 0 | .0% | 23 | 100.0% | 23 | 100.0% |
| Total | 44 | 33.6% | 87 | 66.4% | 131 | 100.0% |

Crosstabulation 9: Child’s length of stay * Time from entry to date of TPR filing

| Time from Entry Date to TPR Filing (Categories) | Child’s Length of Stay (Categories) | | | | | | | | | | Total | |
|---|-------------------------------------|-------------|----------------|--------------|----------------|--------------|----------------|--------------|------------|--------------|------------|---------------|
| | 6 - 11 Months | | 12 - 23 Months | | 24 - 35 Months | | 36 - 47 Months | | 48+ Months | | | |
| | # | % | # | % | # | % | # | % | # | % | # | % |
| <6 Months | 3 | 20.0% | 7 | 46.7% | 3 | 20.0% | 0 | .0% | 2 | 13.3% | 15 | 100.0% |
| 6 - 11 Months | 0 | .0% | 17 | 58.6% | 9 | 31.0% | 1 | 3.4% | 1 | 3.4% | 29 | 100.0% |
| 12 - 23 Months | 0 | .0% | 16 | 22.9% | 33 | 47.1% | 11 | 15.7% | 10 | 14.3% | 70 | 100.0% |
| 24+ Months | 0 | .0% | 0 | .0% | 2 | 11.8% | 7 | 41.2% | 8 | 47.1% | 17 | 100.0% |
| Total | 3 | 2.3% | 41 | 31.3% | 46 | 35.1% | 19 | 14.5% | 20 | 15.3% | 131 | 100.0% |

It is also more likely that timely adoption occurs in cases where the time from TPR filing to when the court grants the petition is within 6 months.

Crosstabulation 10: Adoption within 24 months? * Time from TPR Filing to TPR granted

| Time from TPR Filing to Granted (Categories) | Adoption Within 24 Months? | | | | Total | |
|--|----------------------------|--------------|-----------|--------------|------------|---------------|
| | Yes | | No | | | |
| | Count | % | Count | % | Count | % |
| <3 Months | 14 | 60.9% | 9 | 39.1% | 23 | 100.0% |
| 3 - 6 Months | 19 | 44.2% | 24 | 55.8% | 43 | 100.0% |
| 7 - 11 Months | 7 | 17.9% | 32 | 82.1% | 39 | 100.0% |
| 12 - 17 Months | 4 | 19.0% | 17 | 81.0% | 21 | 100.0% |
| 18 - 23 Months | 0 | .0% | 5 | 100.0% | 5 | 100.0% |
| Total | 44 | 33.6% | 87 | 66.4% | 131 | 100.0% |

Crosstabulation 11: Adoption within 24 months? * Time from TPR granted to adoption finalized

| Time from TPR Granted to Adoption (Categories) | Adoption Within 24 Months? | | | | Total | |
|--|----------------------------|--------------|-----------|--------------|------------|---------------|
| | Yes | | No | | | |
| | Count | % | Count | % | Count | % |
| <3 Months | 12 | 70.6% | 5 | 29.4% | 17 | 100.0% |
| 3 - 6 Months | 21 | 38.2% | 34 | 61.8% | 55 | 100.0% |
| 6 - 11 Months | 11 | 35.5% | 20 | 64.5% | 31 | 100.0% |
| 12 - 17 Months | 0 | .0% | 9 | 100.0% | 9 | 100.0% |
| 18 - 23 Months | 0 | .0% | 11 | 100.0% | 11 | 100.0% |
| 24+ Months | 0 | .0% | 8 | 100.0% | 8 | 100.0% |
| Total | 44 | 33.6% | 87 | 66.4% | 131 | 100.0% |

In cases when Legal Risk foster homes were identified and utilized, the rate of achieving timely adoption significantly increased. Of the 33 homes utilizing Legal Risk foster parents as the resource, 60.6% achieved timely adoption. In the 98 homes using non-legal risk foster parents the rate was significantly lower, at 24.5%. The cases utilizing Legal Risk foster homes also had uniformly positive reviews and comments concerning supervisory practices, including clear directives, time lines and thorough ongoing assessments of the case.

Crosstabulation 12: Adoption within 24 months? * Was this adoptive resource a legal risk home?

| Was this adoptive resource a Legal Risk home? | Adoption Within 24 Months? | | | | Total | |
|---|----------------------------|--------------|-----------|--------------|------------|---------------|
| | Yes | | No | | | |
| | Count | % | Count | % | Count | % |
| Yes | 20 | 60.6% | 13 | 39.4% | 33 | 100.0% |
| No | 24 | 24.5% | 74 | 75.5% | 98 | 100.0% |
| Total | 44 | 33.6% | 87 | 66.4% | 131 | 100.0% |

As shown, some of the cases that did not achieve adoption within 24 months incorporated the use of legal risk homes but did so later during their placement episode, which also meant that the decision to file a TPR came later. In several of these situations, although the child was in the identified permanent resource, the court required DCF to provide more intensive reunification efforts prior to granting TPR. In other cases, the parents contested the TPR once filed, which further delayed the adoption finalization. It also seemed from the documentation in LINK that marginal supervision played a role in some situations, in that reviewers observed cut and paste

supervisory narratives and identified that supervisory directives were lacking thorough assessments, instruction, and clear timeframes for workers. When a social worker failed to follow through on task assignments, these cases offered little to no timely re-direction and thus the timeline to TPR was impacted.

The Department utilized relatives for 30.5% of the adoptive resources and special study homes for an additional 5.3% of the resource. These populations, while offering a positive benefit of being known and already bonded to the individual child, did not fare as well in relation to the timeliness of permanency within 24 months. It is posited that issues in regard to decision making around adoption versus guardianship which include the conflicting loyalties to family are just one of the barriers that might delay the process. Other issues in regard to early cooperation and compliance with relative licensing processes were problematic in some cases.

This phenomenon will need to be explored and understood in greater detail as the Department moves forward with the emphasis on utilization of relative resources to provide support and permanency for children coming into DCF care. Timely utilization of PPSP and/or FASU support in this regard may improve the communication and ultimately enhance the understanding of the benefits of both the permanency options for the relatives, and in the case of the older children, the child as well earlier in the case.

Connections made with non-relative foster parents often in fact led to bonds between that resource and the child to secure the identified adoptive resource. In all, 67.9%, or 89 children were adopted by a non-relative foster parent that had not been originally identified adoptive resource at the point of placement.

Crosstabulation 13: Was the adoptive parent a relative or special study kin known to this child? * Did Adoption occur within 24 months of the child's entry into DCF custody?

| Was the adoptive parent a relative or special study kin known to this child? | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | |
|--|---|--|--------|--------|
| | | Yes | No | Total |
| Yes - relative resource | Count | 14 | 26 | 40 |
| | % within Was the adoptive parent a relative or special study kin known to this child? | 35.0% | 65.0% | 100.0% |
| | % within 24 months | 31.8% | 29.9% | 30.5% |
| Yes - special study resource | Count | 1 | 6 | 7 |
| | % within Was the adoptive parent a relative or special study kin known to this child? | 14.3% | 85.7% | 100.0% |
| | % within 24 months | 2.3% | 6.9% | 5.3% |
| No - non-relative resource | Count | 29 | 55 | 84 |
| | % within Was the adoptive parent a relative or special study kin known to this child? | 34.5% | 65.5% | 100.0% |
| | % within 24 months | 65.9% | 63.2% | 64.1% |
| Total | Count | 44 | 87 | 131 |
| | % within Was the adoptive parent a relative or special study kin known to this child? | 33.6% | 66.4% | 100.0% |
| | % within 24 months | 100.0% | 100.0% | 100.0% |

The Department fared quite well in limiting the number of moves. The sample cohort had an average number of placements prior to the adoption resource of 1.3. In this sample, the majority of children (87.0%) experienced two or less foster placements prior to placement with their adoptive family.

Table 2: In addition to the placement that ultimately became the child's adoptive family at finalization and exit, how many placements did this child experience prior to finalize adoption?

| Additional Placements | Frequency | Cumulative Percent |
|-----------------------|-----------|--------------------|
| 0 | 44 | 33.6 |
| 1 | 50 | 71.8 |
| 2 | 20 | 87.0 |
| 3 | 8 | 93.1 |
| 4 | 1 | 93.9 |
| 5 | 3 | 96.2 |
| 6 | 2 | 97.7 |
| 7 | 1 | 98.5 |
| 8 | 1 | 99.2 |
| 15 | 1 | 100.0 |
| Total | 131 | |

The impact of the placement experience is seen even more dramatically when reviewing children by the predominant placement type while in care, not just their final permanency resource. A child's predominant placement type (the type of placement in which they spent more than 50% of their episode) may have relationship with achieving the outcome. As indicated prior, the results point to the possibility that given current practices, children whose predominant placement type is in relative DCF foster care may have a lower rate of successfully achieving the goal of a timely 24 month adoption.

The Department has shown that they can produce timely adoptions with a non relative appropriate match with no familial ties may offer a more prompt road to permanency. Securing a relative or special study resource comes with some issues that non-relative resources do not. One must factor in the time to identify and screen all possible resources on maternal and paternal sides of the family and kin, and the possibility that some might come forward that had not have initially been identified. Then there is additional time for relative or special study licensure, and the work through the familial issues that come with the legal decisions regarding adoption. All considerations for the best interest of the child must be weighed when making policy and practice decisions.

- Of the 44 *timely* adoptions, 11 were by relatives. Four of these cases included children who actually spent more than 50% of their episode in another placement type and then were moved to that relative to be adopted.
- Eleven of the 22 *untimely* relative adoptions had this similar scenario.

This has implications for the Department going forward given the current practice shifts and policies to utilize family resources whenever possible to attain a child's permanency goal.

As seen in the Crosstabulation below, this population (relative in-state DCF Foster Care >50% of the placement episode) had the lowest rate of timely adoption within the in-state family setting.

Crosstabulation 14: Primary Placement Type (>50% of Episode) * did Adoption occur within 24 months of the child's entry into DCF custody?

| Primary Placement Type (>50% of Episode) | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | |
|---|---------------------------------|--|--------|--------|
| | | Yes | No | Total |
| In State Non Relative Licensed DCF Foster Care Setting | Count | 32 | 44 | 76 |
| | % within Primary Placement Type | 42.1% | 57.9% | 100.0% |
| In State licensed Relative DCF Foster Care Setting | Count | 11 | 22 | 33 |
| | % within Primary Placement Type | 33.3% | 66.7% | 100.0% |
| In-State Private Provider Foster Care Setting | Count | 0 | 19 | 19 |
| | % within Primary Placement Type | .0% | 100.0% | 100.0% |
| In-state Residential Setting | Count | 0 | 1 | 1 |
| | % within Primary Placement Type | .0% | 100.0% | 100.0% |
| Out of State Non Relative Foster Care Setting | Count | 0 | 1 | 1 |
| | % within Primary Placement Type | .0% | 100.0% | 100.0% |
| Out of State Relative Foster Care Setting | Count | 1 | 0 | 1 |
| | % within Primary Placement Type | 100.0% | .0% | 100.0% |
| Total | Count | 44 | 87 | 131 |
| | % within Primary Placement Type | 33.6% | 66.4% | 100.0% |

Eleven children experienced multiple pre-adoptive placements in this cohort. None of these children had more than two such failed pre-adoptive placements. 90.9% of the children that experienced two pre-adoptive placements failed to achieve timely adoption, which is not surprising given the time and effort expended in matching children to pre-adoptive families.

Quality of Case Practice and Supervision

Those cases identified as having excellent supervision achieved compliance with OM8 at a rate of 50.0%. Those cases rated with poor or good supervision appeared more likely not to achieve compliance (73.0% and 70.3% respectively).

Crosstabulation 15: Adoption within 24 months? * Overall Quality of Supervision

| Overall Quality of Supervision | Adoption Within 24 Months? | | | | Total | |
|--------------------------------|----------------------------|--------------|-----------|--------------|------------|--------------|
| | Yes | | No | | | |
| | Count | % | Count | % | Count | % |
| Excellent | 15 | 50.0% | 15 | 50.0% | 30 | 100.0% |
| Good | 19 | 29.7% | 45 | 70.3% | 64 | 100.0% |
| Poor | 10 | 27.0% | 27 | 73.0% | 37 | 100.0% |
| Total | 44 | 33.6% | 87 | 66.4% | 131 | 10.0% |

Reviewers found documented discussions of an assessment of risk factors in supervision notes in 56 (42.7%) cases. Furthermore, in the 28 cases in which there were assessed with issues requiring action, 22 cases, or 78.6% had clearly documented directives regarding how the social worker should proceed with case management regarding those issues. This indicates six cases

(21.4%) devoid of Social Work Supervisory oversight in relation to clear risk factors present in the LINK narratives.

Reviewers also looked at the overall quality of the Social Worker's quality of practice during the period under review; taking into account case management, follow through with supervisory directives, communication with providers, legal requirements, and engagement of case participants. Correlations to outcomes show the impact of the quality case management on timeliness of outcome.

Crosstabulation 16: Overall quality of Case Practice during placement episode ending in Adoption * Did Adoption occur within 24 months of the child's entry into DCF custody?

| Overall quality of Case Practice during placement episode ending in Adoption | Adoption Within 24 Months? | | | | Total | |
|--|----------------------------|--------------|-----------|--------------|------------|---------------|
| | Yes | | No | | | |
| | Count | % | Count | % | Count | % |
| Optimal | 27 | 75.0% | 9 | 25.0% | 36 | 100.0% |
| Very Good | 15 | 19.7% | 61 | 80.3% | 76 | 100.0% |
| Marginal | 2 | 11.1% | 16 | 88.9% | 18 | 100.0% |
| Poor | 0 | .0% | 1 | 100.0% | 1 | 100.0% |
| Total | 44 | 33.6% | 87 | 66.4% | 131 | 100.0% |

Looking at the intersection of the case management and the supervision within the case record, clearly one would expect the best results when both the supervisor and the worker are optimal, but the data suggests some other exceptions. It seems that some lapses in supervision may be compensated for if strong case management is displayed by the social worker over the period leading to the adoption. As this was a "record review only" format we have not interviewed social workers and supervisors to determine if the documentation in LINK reflects the actual supervision and direction that occurred over the period under review. It has been our experience over the course of many such reviews that appropriate documentation is very uneven throughout the Department.

Crosstabulation 17: Overall quality of Case Practice during placement episode ending in Adoption * Overall Quality of Supervision * Did Adoption occur within 24 months of the child's entry into DCF custody?

| Did Adoption occur within 24 months of the child's entry into DCF custody? | | | Overall Quality of Supervision | | | |
|--|--|-----------|--------------------------------|-----------|-----------|-----------|
| | | | Poor | Good | Optimal | Total |
| Yes | Overall quality of Case Practice during placement episode ending in Adoption | Marginal | 2 | 0 | 0 | 2 |
| | | Very Good | 7 | 6 | 2 | 15 |
| | | Optimal | 1 | 13 | 13 | 27 |
| | Total | | 10 | 19 | 15 | 44 |
| No | Overall quality of Case Practice during placement episode ending in Adoption | Poor | 1 | 0 | 0 | 1 |
| | | Marginal | 13 | 3 | 0 | 16 |
| | | Very Good | 13 | 40 | 8 | 61 |
| | Optimal | 0 | 2 | 7 | 9 | |
| Total | | 27 | 45 | 15 | 87 | |

There are some barriers that presented and which were well assessed, addressed, and resolved, but in the end delayed permanency. In these cases which did not meet the measure but in which the social worker's case management or supervision were identified as optimal, the delays were

due to issues outside the DCF span of control and documentation reflected good communication and support.

Reasons for delays in adoption finalization were captured by our reviewers in the 87 cases that did not meet the 24 month requirement. Some cases had multiple issues identified, while others had only one which appeared to result in delays extending the child's episode in care and permanency through adoption. These identified categories (not mutually exclusive) included:

- 37 cases had issues identified as DCF Case Management needing improvement
- 29 cases identified Court Delays
- 22 cases identified the need for Further Efforts to Reunify beyond 15 months
- 12 cases identified Subsidy Rate Negotiation as a delaying factor
- 10 cases indicated Pre-Adoptive Parent Indecision throughout the narratives as cause for delay in the adoption.
- 8 cases indicated the Approval Process (Central Office) delayed the adoption process.
- 8 cases showed a Lack of Adoption Resource/Matching as part of the delay in the finalization of the adoption.
- 6 cases included a placement disruption due to Child's Behaviors or Special Needs
- 4 cases included a placement disruption due to Abuse/Neglect in pre-adoptive placement
- 4 cases indicated that the ICPC Process caused delays in the adoption process.
- In one case the child's indecision resulted in a delay in the finalization of the adoption
- In 20 instances reviewers selected "Other"
(these included such issues as conflicts with pre-adoptive sibling, period of adjustment requested by adoptive parents, translation of forms required, issues with child's sibling also to be adopted, child required step down prior to adoptive placement, immigration issues, criminal court issues to be resolved by adoptive parent, relative resource process, initial goal of TOG switched to adoption midstream, paternity testing, safety issues in pre-adoptive home - put on hold due to relative, awaiting completion of therapy)

Within the cohort of children, 126 of the 131 adoptions (96.2%) involved subsidy. 122 cases were inclusive of both financial and medical subsidy, and one case was inclusive of medical subsidy only, while three cases were solely financial in nature. Subsidy negotiations delayed 9.5% of the 126 applicable cases.

The Adoption Resource Exchange (ARE) registration process protocol was not followed as stringently as in the past. 54 children of the sample of 131 children (41.2%) did not have the LINK documentation of registration with the Adoption Resource Exchange (ARE). Only one of the 54 had an allowable exception documented where one would expect to see it in the LINK record. There was minimal or no evidence of annual updates to photo-listing in any of the 131 case records.

**Crosstabulation 18: Was this child registered on the Adoption Resource Exchange (ARE)?
* Did Adoption occur within 24 months of the child's entry into DCF custody?**

| Was this child registered on the Adoption Resource Exchange (ARE)? | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | |
|--|---|--|-------|--------|
| | | Yes | No | Total |
| Yes | Count | 32 | 45 | 77 |
| | % within Was this child registered on the Adoption Resource Exchange (ARE)? | 41.6% | 58.4% | 100.0% |
| No | Count | 12 | 42 | 54 |
| | % within Was this child registered on the Adoption Resource Exchange (ARE)? | 22.2% | 77.8% | 100.0% |
| Total | Count | 44 | 87 | 131 |
| | % within Was this child registered on the Adoption Resource Exchange (ARE)? | 33.6% | 66.4% | 100.0% |

Support and services for post adoption also may be a problematic area, (or may just be a weak area of electronic documentation). There were 30 cases in which PPSP services were identified in the months prior to the adoption as a need to prepare for the adoption. In these thirty cases, services were documented as provided for only 12 children and families. Post adoption services were likewise identified in 30 cases as a need. The records reflect that the services were referred, secured and in place for the identified post adoption support in only four (4) cases at the time the child's case was closed. It is unclear if this is a need, or a documentation failure as the methodology was limited to a record review only.

Only 18 (22.5%) children received post-adoptive services, and while all but three of them did not achieve a timely adoption there was not a statistically significant relationship between these two variables. It was also found that only three children were receiving services through the Community Collaborative, and none of those passed the measure either. On the other hand, all but two of the 131 adoptive families reviewed are receiving subsidy payments and/or medical benefits for their adopted children. In both the remaining two cases, the children were adopted as perfectly healthy infants with no siblings so they did not have a need for a subsidy.

Reviewers believed adoption was in the child's best interest in 98.5% of the sample cases. In these two situations the reviewers questioned 1) the long term stability planning and 2) risk assessment conducted prior to adoption finalization.

- In one situation, an infant child had been placed with the non-relative adoptive family since birth. She is now three and is receiving good care. Reviewers had concerns given that the adoptive parents are now 71 and 73 and are experiencing some health issues, and given the child's long term needs for continued parenting it appeared this match did not seem to be in this child's best interests for long term well being and permanency.
- In a second situation a child is bonded to his relative adoptive family and happy in the home, but there are several red flags that the documentation did not adequately address. This was an open adoption but the paternal grandmother and mother don't get along and it is unclear how much contact will be maintained. The child's uncle is living in a basement apartment and there are some concerns related to his character. The child's brother who

had been sexually abused also lives in this home and there was no confirmation of appropriate assessment of possible issues between siblings or for the need of any services.

Regional Performance

Overall, 44 (33.6%) of the sample achieved the adoption within 24 months, exceeding the required standard. Lengths of stay ranged from 6 to 123 months, with a median length of stay of 27 months. The mode was 23 months, reported in ten cases. This was followed by clusters of eight cases reported for both 18 month stays and 26 month stays.

Table 3: Children’s Length of Stay during placement episode ending with adoption

| Categorized Length of Stay (Months) | Frequency | Percent | Cumulative Percent |
|-------------------------------------|-----------|---------|--------------------|
| 6 - 11 Months | 3 | 2.3% | 2.3% |
| 12 - 23 Months | 41 | 31.3% | 33.6% |
| 24 - 35 Months | 47 | 35.9% | 69.5% |
| 36 - 47 Months | 19 | 14.5% | 84.0% |
| 48 - 59 Months | 13 | 9.9% | 93.9% |
| 60 - 71 Months | 5 | 3.8% | 97.7% |
| 72 + Months | 3 | 2.3% | 100.0% |
| Total | 131 | 100.0% | |

Performance by region and area office is shown in the tables below. As indicated, Region V had the most success as a region, while individually; the Middletown (80.0%), Torrington (75.0%) and Manchester Office (63.6%) had the top three performances for achieving timely adoption statewide. Least successful in achieving the goal were Meriden (.0%), New Haven (12.5%) and Hartford (16.7%).

Crosstabulation 19: Region * Did Adoption occur within 24 months of the child's entry into DCF custody?

| Region | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | |
|--------------|-----------------|--|-------|--------|
| | | Yes | No | Total |
| Region I | Count | 5 | 10 | 15 |
| | % within Region | 33.3% | 66.7% | 100.0% |
| Region II | Count | 4 | 11 | 15 |
| | % within Region | 26.7% | 73.3% | 100.0% |
| Region III | Count | 11 | 20 | 31 |
| | % within Region | 35.5% | 64.5% | 100.0% |
| Region IV | Count | 10 | 19 | 29 |
| | % within Region | 34.5% | 65.5% | 100.0% |
| Region V | Count | 9 | 11 | 20 |
| | % within Region | 45.0% | 55.0% | 100.0% |
| Region VI | Count | 5 | 16 | 21 |
| | % within Region | 23.8% | 76.2% | 100.0% |
| Total | Count | 44 | 87 | 131 |
| | % within Region | 33.6% | 66.4% | 100.0% |

Crosstabulation 20: SW's Area Office Assignment? * Did Adoption occur within 24 months of the child's entry into DCF custody?

| SW's Area Office Assignment? | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | |
|------------------------------|---------------|--|--------|--------|
| | | Yes | No | Total |
| Bridgeport | Count | 3 | 6 | 9 |
| | % Area Office | 33.3% | 66.7% | 100.0% |
| Danbury | Count | 3 | 2 | 5 |
| | % Area Office | 60.0% | 40.0% | 100.0% |
| Hartford | Count | 3 | 15 | 18 |
| | % Area Office | 16.7% | 83.3% | 100.0% |
| Manchester | Count | 7 | 4 | 11 |
| | % Area Office | 63.6% | 36.4% | 100.0% |
| Meriden | Count | 0 | 2 | 2 |
| | % Area Office | .0% | 100.0% | 100.0% |
| Middletown | Count | 4 | 1 | 5 |
| | % Area Office | 80.0% | 20.0% | 100.0% |
| Milford | Count | 3 | 4 | 7 |
| | % Area Office | 42.9% | 57.1% | 100.0% |
| New Britain | Count | 5 | 14 | 19 |
| | % Area Office | 26.3% | 73.7% | 100.0% |
| New Haven | Count | 1 | 7 | 8 |
| | % Area Office | 12.5% | 87.5% | 100.0% |
| Norwalk | Count | 1 | 2 | 3 |
| | % Area Office | 33.3% | 66.7% | 100.0% |
| Norwich | Count | 5 | 14 | 19 |
| | % Area Office | 26.3% | 73.7% | 100.0% |
| Stamford | Count | 1 | 2 | 3 |
| | % Area Office | 33.3% | 66.7% | 100.0% |
| Torrington | Count | 3 | 1 | 4 |
| | % Area Office | 75.0% | 25.0% | 100.0% |
| Waterbury | Count | 3 | 8 | 11 |
| | % Area Office | 27.3% | 72.7% | 100.0% |
| Willimantic | Count | 2 | 5 | 7 |
| | % Area Office | 28.6% | 71.4% | 100.0% |
| Total | Count | 44 | 87 | 131 |
| | % Area Office | 33.6% | 66.4% | 100.0% |

Some area offices seem to have more success than others in securing relative and special kin relations to adopt the children in care. During this quarter, New Britain (57.9%), Manchester (45.5%) and Waterbury (45.5%) appeared to be leading the state in this regard.

Crosstabulation 21: SW's Area Office Assignment? * Was the adoptive parent a relative or special study kin known to this child?

| SW's Area Office Assignment? | | Was the adoptive parent a relative or special study kin known to this child? | | | |
|------------------------------|---------------------------|--|------------------------------|----------------------------|--------|
| | | yes - relative resource | yes - special study resource | no - non-relative resource | Total |
| Bridgeport | Count | 3 | 0 | 6 | 9 |
| | % within SW's Area Office | 33.3% | .0% | 66.7% | 100.0% |
| Danbury | Count | 1 | 0 | 4 | 5 |
| | % within SW's Area Office | 20.0% | .0% | 80.0% | 100.0% |
| Hartford | Count | 4 | 1 | 13 | 18 |
| | % within SW's Area Office | 22.2% | 5.6% | 72.2% | 100.0% |
| Manchester | Count | 4 | 1 | 6 | 11 |
| | % within SW's Area Office | 36.4% | 9.1% | 54.5% | 100.0% |
| Meriden | Count | 0 | 0 | 2 | 2 |
| | % within SW's Area Office | .0% | .0% | 100.0% | 100.0% |
| Middletown | Count | 2 | 0 | 3 | 5 |
| | % within SW's Area Office | 40.0% | .0% | 60.0% | 100.0% |
| Milford | Count | 2 | 0 | 5 | 7 |
| | % within SW's Area Office | 28.6% | .0% | 71.4% | 100.0% |
| New Britain | Count | 9 | 2 | 8 | 19 |
| | % within SW's Area Office | 47.4% | 10.5% | 42.1% | 100.0% |
| New Haven | Count | 2 | 1 | 5 | 8 |
| | % within SW's Area Office | 25.0% | 12.5% | 62.5% | 100.0% |
| Norwalk | Count | 0 | 0 | 3 | 3 |
| | % within SW's Area Office | .0% | .0% | 100.0% | 100.0% |
| Norwich | Count | 6 | 2 | 11 | 19 |
| | % within SW's Area Office | 31.6% | 10.5% | 57.9% | 100.0% |
| Stamford | Count | 0 | 0 | 3 | 3 |
| | % within SW's Area Office | .0% | .0% | 100.0% | 100.0% |
| Torrington | Count | 1 | 0 | 3 | 4 |
| | % within SW's Area Office | 25.0% | .0% | 75.0% | 100.0% |
| Waterbury | Count | 5 | 0 | 6 | 11 |
| | % within SW's Area Office | 45.5% | .0% | 54.5% | 100.0% |
| Willimantic | Count | 1 | 0 | 6 | 7 |
| | % within SW's Area Office | 14.3% | .0% | 85.7% | 100.0% |
| Total | Count | 40 | 7 | 84 | 131 |
| | % within SW's Area Office | 30.5% | 5.3% | 64.1% | 100.0% |

Given that court delays were identified as problematic in 29 of the 87 cases that did not meet the measure, our review also looked at the individual courts assigned responsibility for processing the adoption.

Crosstabulation 22: What court finalized the adoption? * Did Adoption occur within 24 months of the child's entry into DCF custody? * Region

| Region | | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | | | | |
|------------------------|---|---------------------|--|--|---|--------------|---------------|--------|
| | | | Yes | No | Total | | | |
| Region I | What court finalized the adoption? | Bridgeport Probate | Count | 2 | 4 | 6 | | |
| | | | % within What court finalized the adoption? | 33.3% | 66.7% | 100.0% | | |
| | | Norwalk Probate | Count | 1 | 1 | 2 | | |
| | | | % within What court finalized the adoption? | 50.0% | 50.0% | 100.0% | | |
| | | Stamford Probate | Count | 1 | 3 | 4 | | |
| | | | % within What court finalized the adoption? | 25.0% | 75.0% | 100.0% | | |
| | | Stratford Probate | Count | 0 | 1 | 1 | | |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% | | |
| | | Trumbull Probate | Count | 1 | 1 | 2 | | |
| | | | % within What court finalized the adoption? | 50.0% | 50.0% | 100.0% | | |
| | | Total Region | | Count | 5 | 10 | 15 | |
| | | | | % within What court finalized the adoption? | 33.3% | 66.7% | 100.0% | |
| | | Region II | What court finalized the adoption? | Branford Probate | Count | 0 | 1 | 1 |
| | | | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% |
| Milford Probate | Count | | | 1 | 0 | 1 | | |
| | % within What court finalized the adoption? | | | 100.0% | .0% | 100.0% | | |
| New Haven Probate | Count | | | 1 | 4 | 5 | | |
| | % within What court finalized the adoption? | | | 20.0% | 80.0% | 100.0% | | |
| North Branford Probate | Count | | | 0 | 1 | 1 | | |
| | % within What court finalized the adoption? | | | .0% | 100.0% | 100.0% | | |
| Orange Probate | Count | | | 0 | 1 | 1 | | |
| | % within What court finalized the adoption? | | | .0% | 100.0% | 100.0% | | |
| Shelton Probate | Count | | | 1 | 1 | 2 | | |
| | % within What court finalized the adoption? | | | 50.0% | 50.0% | 100.0% | | |
| Stratford Probate | Count | | | 1 | 0 | 1 | | |
| | % within What court finalized the adoption? | | | 100.0% | .0% | 100.0% | | |
| Waterbury Probate | Count | | | 0 | 3 | 3 | | |
| | % within What court finalized the adoption? | | | .0% | 100.0% | 100.0% | | |
| Total Region | | | | Count | 4 | 11 | 15 | |
| | | | | % within What court finalized the adoption? | 26.7% | 73.3% | 100.0% | |

| Region | | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | | |
|---------------------|---|-----------------------|--|--------------|--------------|---------------|
| | | | Yes | No | Total | |
| Region III | What court finalized the adoption? | Berlin Probate | Count | 1 | 0 | 1 |
| | | | % within What court finalized the adoption? | 100.0% | .0% | 100.0% |
| | | Brooklyn Probate | Count | 1 | 0 | 1 |
| | | | % within What court finalized the adoption? | 100.0% | .0% | 100.0% |
| | | Colchester Probate | Count | 0 | 2 | 2 |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% |
| | | Lebanon Probate | Count | 0 | 1 | 1 |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% |
| | | Meriden Probate | Count | 1 | 0 | 1 |
| | | | % within What court finalized the adoption? | 100.0% | .0% | 100.0% |
| | | Montville Probate | Count | 1 | 0 | 1 |
| | | | % within What court finalized the adoption? | 100.0% | .0% | 100.0% |
| | | New Haven Probate | Count | 1 | 1 | 2 |
| | | | % within What court finalized the adoption? | 50.0% | 50.0% | 100.0% |
| | | New London Probate | Count | 0 | 3 | 3 |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% |
| | | Norwich Probate | Count | 3 | 5 | 8 |
| | | | % within What court finalized the adoption? | 37.5% | 62.5% | 100.0% |
| | | Old Saybrook Probate | Count | 0 | 1 | 1 |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% |
| | | South Windsor Probate | Count | 0 | 1 | 1 |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% |
| | | Vernon Probate | Count | 2 | 2 | 4 |
| | | | % within What court finalized the adoption? | 50.0% | 50.0% | 100.0% |
| | | Windham Probate | Count | 1 | 2 | 3 |
| | | | % within What court finalized the adoption? | 33.3% | 66.7% | 100.0% |
| | | Windsor Locks Probate | Count | 0 | 1 | 1 |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% |
| Woodstock Probate | Count | 0 | 1 | 1 | | |
| | % within What court finalized the adoption? | .0% | 100.0% | 100.0% | | |
| Total Region | | | Count | 11 | 20 | 31 |
| | | | % within What court finalized the adoption? | 35.5% | 64.5% | 100.0% |

| Region | | | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | | | |
|-----------|------------------------------------|-----------------------|---|--|--|--------------|--------------|---------------|
| | | | | Yes | No | Total | | |
| Region IV | What court finalized the adoption? | Cheshire Probate | Count | 0 | 1 | 1 | | |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% | | |
| | | East Hartford Probate | Count | 3 | 1 | 4 | | |
| | | | % within What court finalized the adoption? | 75.0% | 25.0% | 100.0% | | |
| | | Glastonbury Probate | Count | 1 | 1 | 2 | | |
| | | | % within What court finalized the adoption? | 50.0% | 50.0% | 100.0% | | |
| | | Hartford Probate | Count | 2 | 7 | 9 | | |
| | | | % within What court finalized the adoption? | 22.2% | 77.8% | 100.0% | | |
| | | Meriden Probate | Count | 0 | 2 | 2 | | |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% | | |
| | | Naugatuck Probate | Count | 0 | 1 | 1 | | |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% | | |
| | | Simsbury Probate | Count | 1 | 2 | 3 | | |
| | | | % within What court finalized the adoption? | 33.3% | 66.7% | 100.0% | | |
| | | South Windsor Probate | Count | 1 | 0 | 1 | | |
| | | | % within What court finalized the adoption? | 100.0% | .0% | 100.0% | | |
| | | Trumbull Probate | Count | 2 | 0 | 2 | | |
| | | | % within What court finalized the adoption? | 100.0% | .0% | 100.0% | | |
| | | Vernon Probate | Count | 0 | 1 | 1 | | |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% | | |
| | | West Hartford Probate | Count | 0 | 1 | 1 | | |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% | | |
| | | Windham Probate | Count | 0 | 1 | 1 | | |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% | | |
| | | Windsor Probate | Count | 0 | 1 | 1 | | |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% | | |
| | | Total Region | | | Count | 10 | 19 | 29 |
| | | | | | % within What court finalized the adoption? | 34.5% | 65.5% | 100.0% |

| Region | | | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | | | |
|-----------------|---|-----------------------|---|---|--|--------------|--------------|---------------|
| | | | | Yes | No | Total | | |
| Region V | What court finalized the adoption? | Danbury Probate | Count | 3 | 2 | 5 | | |
| | | | % within What court finalized the adoption? | 60.0% | 40.0% | 100.0% | | |
| | | New Haven Probate | Count | 0 | 1 | 1 | | |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% | | |
| | | New Milford Probate | Count | 1 | 0 | 1 | | |
| | | | % within What court finalized the adoption? | 100.0% | .0% | 100.0% | | |
| | | Norwalk Probate | Count | 2 | 0 | 2 | | |
| | | | % within What court finalized the adoption? | 100.0% | .0% | 100.0% | | |
| | | Old Saybrook Probate | Count | 0 | 1 | 1 | | |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% | | |
| | | Torrington Probate | Count | 0 | 1 | 1 | | |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% | | |
| | | Waterbury Probate | Count | 2 | 6 | 8 | | |
| | | | % within What court finalized the adoption? | 25.0% | 75.0% | 100.0% | | |
| | | Windsor Locks Probate | Count | 1 | 0 | 1 | | |
| | | | % within What court finalized the adoption? | 100.0% | .0% | 100.0% | | |
| | | Total Region | | | Count | 9 | 11 | 20 |
| | | | | | % within What court finalized the adoption? | 45.0% | 55.0% | 100.0% |

| Region | | | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | | | |
|------------------|---|------------------------|---|--|--|--------------|--------------|---------------|
| | | | | Yes | No | Total | | |
| Region VI | What court finalized the adoption? | Berlin Probate | Count | 1 | 3 | 4 | | |
| | | | % within What court finalized the adoption? | 25.0% | 75.0% | 100.0% | | |
| | | Bloomfield Probate | Count | 0 | 2 | 2 | | |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% | | |
| | | Bristol Probate | Count | 1 | 2 | 3 | | |
| | | | % within What court finalized the adoption? | 33.3% | 66.7% | 100.0% | | |
| | | Litchfield Probate | Count | 0 | 2 | 2 | | |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% | | |
| | | Meriden Probate | Count | 0 | 3 | 3 | | |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% | | |
| | | New Britain Probate | Count | 0 | 1 | 1 | | |
| | | | % within What court finalized the adoption? | .0% | 100.0% | 100.0% | | |
| | | North Branford Probate | Count | 1 | 0 | 1 | | |
| | | | % within What court finalized the adoption? | 100.0% | .0% | 100.0% | | |
| | | Torrington Probate | Count | 1 | 0 | 1 | | |
| | | | % within What court finalized the adoption? | 100.0% | .0% | 100.0% | | |
| | | Waterbury Probate | Count | 1 | 3 | 4 | | |
| | | | % within What court finalized the adoption? | 25.0% | 75.0% | 100.0% | | |
| | | Total Region | | | Count | 5 | 16 | 21 |
| | | | | | % within What court finalized the adoption? | 23.8% | 76.2% | 100.0% |

The success of a child's adoption must also be measured by the stability of permanency after discharge, so reviewers were also asked to determine whether a child had re-entered foster care since that time. Since the Second Quarter 2011 adoptions, there were no "Re-Entries" to DCF placement. In fact, of the 131 cases selected for this sample, only one case re-opened. This case was a case re-opened as a Voluntary Services In-Home case.

Third Quarter 2011 Outcome Measure 8 Pre-Certification Findings

Population Description:

A number of data were collected in order to describe the population, and comparisons between outcome groups were drawn on each variable to evaluate those variables that may or may not have an impact on outcome performance. This Third Quarter 2011 adoption exit cohort sample included 102 children. There were 56 males and 46 female children ranging from birth to 14 years 9 months at the time of the most recent episode of DCF out of home placement. The children were of varying race and ethnicity as follows.

Crosstabulation 23: Third Quarter 2011 Adoption Exit Cohort: Child's Race * Child's Ethnicity

| Child's Race | | Child's Ethnicity | | | |
|--|----------------------------|-------------------|--------------|---------|--------|
| | | Hispanic | Non-Hispanic | Unknown | Total |
| Asian | Count | 1 | 1 | 0 | 2 |
| | % within Child's Race | 50.0% | 50.0% | .0% | 100.0% |
| | % within Child's Ethnicity | 3.2% | 1.4% | .0% | 2.0% |
| Black/African American | Count | 4 | 17 | 2 | 23 |
| | % within Child's Race | 17.4% | 73.9% | 8.7% | 100.0% |
| | % within Child's Ethnicity | 12.9% | 24.6% | 100.0% | 22.5% |
| White | Count | 23 | 40 | 0 | 63 |
| | % within Child's Race | 36.5% | 63.5% | .0% | 100.0% |
| | % within Child's Ethnicity | 74.2% | 58.0% | .0% | 61.8% |
| UTD | Count | 2 | 0 | 0 | 2 |
| | % within Child's Race | 100.0% | .0% | .0% | 100.0% |
| | % within Child's Ethnicity | 6.5% | .0% | .0% | 2.0% |
| Multiracial (more than one race selected) | Count | 1 | 11 | 0 | 12 |
| | % within Child's Race | 8.3% | 91.7% | .0% | 100.0% |
| | % within Child's Ethnicity | 3.2% | 15.9% | .0% | 11.8% |
| Total | Count | 31 | 69 | 2 | 102 |
| | % within Child's Race | 30.4% | 67.6% | 2.0% | 100.0% |
| | % within Child's Ethnicity | 100.0% | 100.0% | 100.0% | 100.0% |

The cohort of white children appeared to achieve more timely permanence than the cohort of children of color in this quarter of exits in comparison with the prior quarter in that 39.6% of the white cohort achieved timely permanence versus 30.1% of the children of color. In the prior quarter this was reversed, with 41.3% of the children of color achieving timely permanency versus 30.7% of their white counterparts. In a six month review (both quarters considered), the comparison show little statistical difference, with the rates of timely achievement of the measure for children of color exiting at 35.6% and that of the white cohort exits at 34.9%.

There does appear to be a relationship between children's ages on entry and how quickly the court process takes from the point of filing to having TPR granted. Those children six and older at entry had slightly longer amounts of time pass between entry, filing of TPR and ultimately achieving the finalized adoption. The Crosstabulation below provide the point in time snapshots by age at entry.

**Crosstabulation 24: Third Quarter Adoption Exit Cohort - Adoption within 24 months*
Child's age on entry date**

| Child's Age on Entry Date (Categories) | Adoption Within 24 Months? | | | | Total | |
|--|----------------------------|--------------|-----------|--------------|------------|---------------|
| | Yes | | No | | | |
| | Count | % | Count | % | Count | % |
| <1 Year Old | 25 | 54.3% | 21 | 45.7% | 46 | 100.0% |
| 1 - 5 Years Old | 10 | 29.4% | 24 | 70.6% | 34 | 100.0% |
| 6 - 12 Years Old | 3 | 14.3% | 18 | 85.7% | 21 | 100.0% |
| 13 - 17 Years Old | 0 | 0.0% | 1 | 100.0% | 1 | 100.0% |
| Total | 38 | 37.3% | 64 | 62.7% | 102 | 100.0% |

Crosstabulation 25: Third Quarter Adoption Exit Cohort - Time between Dates of Entry and TPR Filing * Child's Age on Entry Date

| Child's Age on Entry Date (Categories) | Time Between Dates of Entry and TPR Filing | | | | | | Total | |
|--|--|--------------|----------------|--------------|------------|--------------|------------|---------------|
| | <12 Months | | 12 - 23 Months | | 24+ Months | | | |
| | # | % | # | % | # | % | # | % |
| <1 Year Old | 22 | 47.8% | 21 | 45.7% | 3 | 6.5% | 46 | 100.0% |
| 1 - 5 Years Old | 9 | 26.5% | 21 | 61.8% | 4 | 11.8% | 34 | 100.0% |
| 6 - 12 Years Old | 2 | 9.5% | 14 | 66.7% | 5 | 23.8% | 21 | 100.0% |
| 13 - 17 Years Old | 1 | 100.0% | 0 | 0.0% | 0 | 0.0% | 1 | 100.0% |
| Total | 34 | 33.3% | 56 | 54.9% | 12 | 11.8% | 102 | 100.0% |

Crosstabulation 26: Third Quarter Adoption Exit Cohort - Time between Dates of TPR Filing and TPR Granted * Child's Age on Entry Date

| Child's Age on Entry Date (Categories) | Time Between Dates of TPR Filing and TPR Granted | | | | | | Total | |
|--|--|--------------|----------------|--------------|------------|-------------|------------|---------------|
| | <12 Months | | 12 - 23 Months | | 24+ Months | | | |
| | # | % | # | % | # | % | # | % |
| <1 Year Old | 41 | 89.1% | 5 | 10.9% | 0 | 0.0% | 46 | 100.0% |
| 1 - 5 Years Old | 25 | 73.5% | 8 | 23.5% | 1 | 2.9% | 34 | 100.0% |
| 6 - 12 Years Old | 15 | 71.4% | 3 | 14.3% | 3 | 14.3% | 21 | 100.0% |
| 13 - 17 Years Old | 1 | 100.0% | 0 | 0.0% | 0 | 0.0% | 1 | 100.0% |
| Total | 82 | 80.4% | 16 | 15.7% | 4 | 3.9% | 102 | 100.0% |

**Crosstabulation 27: Third Quarter Adoption Exit Cohort - Child's Length of Stay *
Child's Age on Entry Date**

| Child's Age on Entry Date (Categories) | Child's Length of Stay (Categories) | | | | | | | | | | Total | |
|--|-------------------------------------|-------------|----------------|--------------|----------------|--------------|----------------|--------------|------------|--------------|------------|---------------|
| | 6 - 11 Months | | 12 - 23 Months | | 24 - 35 Months | | 36 - 47 Months | | 48+ Months | | | |
| | # | % | # | % | # | % | # | % | # | % | # | % |
| <1 Year Old | 3 | 6.5% | 21 | 45.6% | 18 | 39.1% | 3 | 6.5% | 1 | 2.2% | 46 | 100.0% |
| 1 - 5 Years Old | 0 | 0.0% | 10 | 29.4% | 14 | 41.2% | 5 | 14.7% | 5 | 14.7% | 34 | 100.0% |
| 6 - 12 Years Old | 0 | 0.0% | 3 | 14.3% | 6 | 28.6% | 5 | 23.8% | 7 | 33.3% | 21 | 100.0% |
| 13 - 17 Years Old | 0 | 0.0% | 0 | 0.0% | 1 | 100.0% | 0 | 0.0% | 0 | 0.0% | 1 | 100.0% |
| Total | 3 | 2.9% | 34 | 33.3% | 39 | 38.2% | 13 | 12.7% | 13 | 12.7% | 102 | 100.0% |

Placement Episode Characteristics:

Data were also gathered to describe the children’s placement episodes (from date of entry through legal discharge). A majority, 87 children (85.3%) were experiencing their first episode in DCF care during the time period reviewed. Thirteen of the children were on their second episode, while the remaining two were on their third placement episode. Unlike the second quarter exit population, there appears to be a significant difference found between these groups and achievement of timely adoption, as 13.3% of the cohort with multiple placement episodes achieved timely permanency in comparison with 41.4% of the group experiencing their first episode of placement.

Crosstabulation 28: Adoption within 24 months? * Was this the first placement episode experienced by this child?

| Was this the first placement episode experienced by this child? | Adoption Within 24 Months? | | | | Total | |
|---|----------------------------|--------------|-----------|--------------|------------|---------------|
| | Yes | | No | | | |
| | Count | % | Count | % | Count | % |
| Yes | 36 | 41.4% | 51 | 58.6% | 87 | 100.0% |
| No | 2 | 13.3% | 13 | 86.6% | 15 | 100.0% |
| Total | 38 | 37.2% | 64 | 62.7% | 102 | 100.0% |

It was not surprising to find a relationship between timely identification of adoption as the child’s primary permanency goal, filing of the TPR and the achievement of timely adoption.

Crosstabulation 29: Adoption within 24 months? * For how long had adoption been the primary permanency goal for this child as of the date child’s Adoption was finalized?

| For how long had Adoption been the primary permanency goal for this child as of the date child's Adoption was finalized? | Adoption Within 24 Months? | | | | Total | |
|--|----------------------------|--------------|-----------|--------------|------------|---------------|
| | Yes | | No | | | |
| | Count | % | Count | % | Count | % |
| <6 Months | 6 | 85.7% | 1 | 14.3% | 7 | 100.0% |
| 6 to <12 Months | 17 | 89.5% | 2 | 10.5% | 19 | 100.0% |
| 12 to <18 Months | 14 | 53.8% | 12 | 46.2% | 26 | 100.0% |
| 18 to <24 Months | 1 | 3.4% | 28 | 96.6% | 29 | 100.0% |
| >=24 Months | 0 | 0.0% | 21 | 100.0% | 21 | 100.0% |
| Total | 38 | 37.3% | 64 | 62.7% | 102 | 100.0% |

Crosstabulation 30: Child's length of stay * Time from entry to date of TPR filing

| Time from Entry Date to TPR Filing (Categories) | Child's Length of Stay (Categories) | | | | | | | | | | Total | |
|---|-------------------------------------|-------------|----------------|--------------|----------------|--------------|----------------|--------------|------------|--------------|------------|---------------|
| | 6 - 11 Months | | 12 - 23 Months | | 24 - 35 Months | | 36 - 47 Months | | 48+ Months | | | |
| | # | % | # | % | # | % | # | % | # | % | # | % |
| <6 Months | 3 | 37.5% | 5 | 62.5% | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% | 8 | 100.0% |
| 6 - 11 Months | 0 | 0.0% | 14 | 53.9% | 9 | 34.6% | 3 | 11.5% | 0 | 0.0% | 26 | 100.0% |
| 12 - 23 Months | 0 | 0.0% | 15 | 26.8% | 30 | 53.6% | 6 | 10.7% | 5 | 8.9% | 56 | 100.0% |
| 24+ Months | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% | 4 | 33.3% | 8 | 66.7% | 12 | 100.0% |
| Total | 3 | 2.9% | 34 | 33.3% | 39 | 38.2% | 13 | 12.7% | 13 | 12.7% | 102 | 100.0% |

It is also more likely that timely adoption occurs in cases where the time from TPR filing to when the court grants the petition lasts less than 6 months. Cases with short times from filing to petition granted often already had experienced longer times in foster care.

Crosstabulation 31: Adoption within 24 months? * Time from TPR Filing to TPR granted

| Time from TPR Filing to Granted (Categories) | Adoption Within 24 Months? | | | | Total | |
|--|----------------------------|--------------|-----------|--------------|------------|---------------|
| | Yes | | No | | | |
| | Count | % | Count | % | Count | % |
| <3 Months | 13 | 61.9% | 8 | 38.1% | 21 | 100.0% |
| 3 - 6 Months | 13 | 56.5% | 10 | 43.5% | 23 | 100.0% |
| 7 - 11 Months | 11 | 28.9% | 27 | 71.1% | 38 | 100.0% |
| 12 - 17 Months | 1 | 7.1% | 13 | 92.9% | 14 | 100.0% |
| 18 - 23 Months | 0 | 0.0% | 2 | 100.0% | 2 | 100.0% |
| 24+ Months | 0 | 0.0% | 2 | 100.0% | 2 | 100.0% |
| Total | 38 | 37.3% | 64 | 62.7% | 102 | 100.0% |

Crosstabulation 32: Adoption within 24 months? * Time from TPR granted to adoption finalized

| Time from TPR Granted to Adoption (Categories) | Adoption Within 24 Months? | | | | Total | |
|--|----------------------------|--------------|-----------|--------------|------------|---------------|
| | Yes | | No | | | |
| | Count | % | Count | % | Count | % |
| <3 Months | 8 | 80.0% | 2 | 20.0% | 10 | 100.0% |
| 3 - 6 Months | 19 | 52.8% | 17 | 47.2% | 36 | 100.0% |
| 6 - 11 Months | 10 | 30.3% | 23 | 69.7% | 33 | 100.0% |
| 12 - 17 Months | 1 | 8.3% | 11 | 91.7% | 12 | 100.0% |
| 18 - 23 Months | 0 | 0.0% | 5 | 100.0% | 5 | 100.0% |
| 24+ Months | 0 | 0.0% | 6 | 100.0% | 6 | 100.0% |
| Total | 38 | 33.6% | 64 | 62.7% | 102 | 100.0% |

In cases when Legal Risk foster homes were identified and used, the rate of achieving timely adoption significantly increased. Of the 34 homes utilizing Legal Risk the foster parent resources, 44.1% achieved timely adoption. In the 68 homes using non-legal risk foster parents the rate for timeliness was significantly lower, at 33.8%.

Crosstabulation 33: Adoption within 24 months? * Was this adoptive resource a legal risk home?

| Was this adoptive resource a Legal Risk home? | Adoption Within 24 Months? | | | | Total | |
|---|----------------------------|--------------|-----------|--------------|------------|---------------|
| | Yes | | No | | Count | % |
| | Count | % | Count | % | | |
| Yes | 15 | 44.1% | 19 | 55.9% | 34 | 100.0% |
| No | 23 | 33.8% | 45 | 66.2% | 68 | 100.0% |
| Total | 38 | 37.3% | 64 | 62.7% | 102 | 100.0% |

As shown, some of the cases that did not achieve adoption within 24 months incorporated the use of legal risk homes but did so later during their placement episode, which also meant that the decision to file a TPR came later. In several of these situations, although the child was in the identified permanent resource, the court required DCF to provide more intensive reunification efforts prior to granting the TPR. In other cases, the parents contested the TPR once filed, which further delayed the adoption finalization. Marginal supervision appeared to play a role in some delayed situations, as observed by cut and paste supervisory narratives, and supervision direction that was lacking thorough assessment, instruction, and clear timeframes for workers. Often a social worker failed to follow through on task assignments, and no timely re-direction or recourse occurred to ensure the timelines to TPR and permanency were kept on target.

The Department utilized 18 relatives for a total of 17.6% of the 102 children and special studies accounted for an additional 3.9%. This was a significantly lower rate of related or kin adoptions than in the second quarter exit cohort in which 30.5% of the cohort was adopted by relative resources and 5.3% by special study parents. It is unclear why there was such a shift between the two quarters.

Crosstabulation 34: Was the adoptive parent a relative or special study kin known to this child? * Did Adoption occur within 24 months of the child's entry into DCF custody?

| Was the adoptive parent a relative or special study kin known to this child? | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | |
|--|---|--|--------|--------|
| | | Yes | No | Total |
| Yes - relative resource | Count | 6 | 12 | 18 |
| | % within Was the adoptive parent a relative or special study kin known to this child? | 33.0% | 66.7% | 100.0% |
| | % within 24 months | 15.8% | 18.8% | 17.6% |
| Yes - special study resource | Count | 2 | 2 | 4 |
| | % within Was the adoptive parent a relative or special study kin known to this child? | 50.0% | 50.0% | 100.0% |
| | % within 24 months | 5.3% | 3.1% | 3.9% |
| No - non-relative resource | Count | 30 | 50 | 80 |
| | % within Was the adoptive parent a relative or special study kin known to this child? | 37.5% | 62.5% | 100.0% |
| | % within 24 months | 78.9% | 78.1% | 78.4% |
| Total | Count | 38 | 64 | 102 |
| | % within Was the adoptive parent a relative or special study kin known to this child? | 37.3% | 62.7% | 100.0% |
| | % within 24 months | 100.0% | 100.0% | 100.0% |

In all, 67.6%, or 69 children were adopted by a resource other than the initial placement at the point of removal. Overall, however, the Department fared quite well in limiting the number of moves. The sample cohort had an average number of placements prior to the adoption resource of 1.27. In this sample, the majority of children (85.3%) experienced two or less foster placements prior to placement with their adoptive family.

Table 4: In addition to the placement that ultimately became the child's adoptive family at finalization and exit, how many placements did this child experience prior to finalize adoption?

| Additional Placements | Frequency | Percent | Cumulative Percent |
|-----------------------|------------|--------------|--------------------|
| 0 | 33 | 32.4 | 32.4 |
| 1 | 37 | 36.3 | 68.6 |
| 2 | 17 | 16.7 | 85.3 |
| 3 | 8 | 7.8 | 93.1 |
| 4 | 2 | 2.0 | 95.1 |
| 5 | 3 | 2.9 | 98.0 |
| 6 | 2 | 2.0 | 100.0 |
| Total | 102 | 100.0 | |

The impact of the placement experience is seen even more dramatically when reviewing children by the predominant placement while in care, not just their final permanency resource. A child's predominant placement type (the type of placement in which they spent more than 50% of their episode) may have relationship with achieving the outcome. As indicated prior the results point to the possibility that given current practices, children whose primary placement types is in relative DCF foster care may have a lower rate of successfully achieving the 24 month goal of adoption.

As identified in the second quarter findings, one must consider each child's current and long term situation: considering all relative, kin, legal risk and other adoptive resources that are available to meet that child's physical, safety, behavioral/emotional, and permanency needs.

- Of the 38 *timely* adoptions, six were by relatives and two were special study foster parents and 30 were non-relative adoptive parents.
 - The rate of timely adoptions within the relative foster parent pool was 33.3%.
 - The rate of timely adoptions within the four children adopted by a special study foster parent pool was 50.0%.
 - The timely adoption rate for those adopted by a non-relative foster parent was 37.5%.

During this quarter, as seen in the Crosstabulation below, those children residing for the majority of time in non-relative DCF foster population >50% of the placement episode had the lowest rate of timely adoption within the in-state family setting rather than those in relative care. This could reflect improvement in the work being done with relative resource at the point of placement, and timelier licensure due to waiver practices that had begun to take place. More study would need to be undertaken as this is a small cohort of an exit sample.

Crosstabulation 35: Primary Placement Type (>50% of Episode) * did Adoption occur within 24 months of the child's entry into DCF custody?

| Primary Placement Type (>50% of Episode) | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | |
|---|---------------------------------|--|--------|--------|
| | | Yes | No | Total |
| In State Non Relative Licensed DCF Foster Care Setting | Count | 31 | 39 | 70 |
| | % within Primary Placement Type | 44.3% | 55.7% | 100.0% |
| In State licensed Relative DCF Foster Care Setting | Count | 6 | 7 | 13 |
| | % within Primary Placement Type | 46.2% | 53.8% | 100.0% |
| In-State Private Provider Foster Care Setting* | Count | 0 | 12 | 12 |
| | % within Primary Placement Type | 0.0% | 100.0% | 100.0% |
| Out of State Non-Relative Foster Care Setting | Count | 1 | 0 | 1 |
| | % within Primary Placement Type | 100.0% | 0.0 | 100.0% |
| Out of State Relative Foster Care Setting | Count | 0 | 2 | 2 |
| | % within Primary Placement Type | 0.0% | 100.0% | 100.0% |
| Group Home Setting | Count | 0 | 3 | 3 |
| | % within Primary Placement Type | 0.0% | 100.0% | 100.0% |
| Other | Count | 0 | 1 | 1 |
| | % within Primary Placement Type | 38 | 64 | 102 |
| | | 37.3% | 62.7% | 100.0% |

*includes one relative who did not achieve the measure

Eight children experienced multiple pre-adoptive placements in this cohort. Six of these children had two such failed pre-adoptive placements and two children had three pre-adoptive placements. All eight of these children's adoptions were ultimately achieved with non-relative adoptive parents but exceeded the 24 months time frame.

Quality of Case Practice and Supervision

In all 64.7% of the cases were felt to have had documented supervision reflecting good or excellent practice. The impact of that supervision on the timeliness of the adoption was not a clear cause/effect relationship as one might expect. The timeliness of adoption appears to have been impacted by a multitude of factors within this quarter.

Crosstabulation 36: Adoption within 24 months? * Overall Quality of Supervision

| Overall Quality of Supervision | Adoption Within 24 Months? | | | | Total | |
|--------------------------------|----------------------------|--------------|-----------|--------------|------------|---------------|
| | Yes | | No | | | |
| | Count | % | Count | % | Count | % |
| Excellent | 6 | 35.3% | 11 | 64.7% | 17 | 100.0% |
| Good | 22 | 44.9% | 27 | 55.1% | 49 | 100.0% |
| Poor | 10 | 31.3% | 22 | 68.8% | 32 | 100.0% |
| Negligible | 0 | 0.0% | 4 | 100.0% | 4 | 100.0% |
| Total | 38 | 37.3% | 64 | 62.7% | 102 | 100.0% |

Reviewers found documented discussions of assessment of risk factors in supervision notes in 57 (55.9%) cases. In 19 cases in which there were assessed issues requiring action, 9 cases, or 47.4% had clearly documented directives regarding how the social worker should proceed with

case management regarding those issues. 47.4% of the cases did not reflect clear SWS directives and one case (5.3%) had no SWS narratives during the period reviewed. In seven cases, the reviewer's reading of the LINK record entries by the social worker, raised questions regarding risk that did not appear to be evaluated or discussed in supervision prior to the adoption finalization.

Reviewers also looked at the overall quality of the Social Worker's quality of practice during the period under review; taking into account case management, follow through with supervisory directives, communication with providers, legal requirements, and engagement of case participants. Correlations to outcomes show the impact of the quality case management on timeliness of outcome.

Crosstabulation 37: Overall quality of Case Practice during placement episode ending in Adoption * Did Adoption occur within 24 months of the child's entry into DCF custody?

| Overall quality of Case Practice during placement episode ending in Adoption | Adoption Within 24 Months? | | | | Total | |
|--|----------------------------|--------------|-----------|--------------|------------|---------------|
| | Yes | | No | | | |
| | Count | % | Count | % | Count | % |
| Optimal | 19 | 70.4% | 8 | 29.6% | 27 | 100.0% |
| Very Good | 18 | 29.0% | 44 | 71.0% | 62 | 100.0% |
| Marginal | 1 | 11.1% | 8 | 88.9% | 9 | 100.0% |
| Poor | 0 | 0.0% | 4 | 100.0% | 4 | 100.0% |
| Total | 38 | 37.3% | 64 | 62.7% | 102 | 100.0% |

Looking at the intersection of the case management and the supervision within the case record, clearly one would expect best results when both supervisor and worker are optimal, but the data suggests some other exceptions. It seems that some lapses in supervision may be compensated for if strong case management is displayed by the social worker over the period leading to the adoption. As this was a "record review only" format we have not interviewed social workers and supervisors to determine if the documentation in LINK reflects the actual supervision and direction that occurred over the period under review. It has been our experience over the course of many such reviews that appropriate documentation is very uneven throughout the Department.

Crosstabulation 38: Overall quality of Case Practice during placement episode ending in Adoption * Overall Quality of Supervision * Did Adoption occur within 24 months of the child's entry into DCF custody?

| Did Adoption occur within 24 months of the child's entry into DCF custody? | | | Overall Quality of Supervision | | | | |
|--|--|-----------|--------------------------------|------|------|---------|-------|
| | | | Negligible | Poor | Good | Optimal | Total |
| Yes | Overall quality of Case Practice during placement episode ending in Adoption | Marginal | 0 | 1 | 0 | 0 | 1 |
| | | Very Good | 0 | 8 | 10 | 0 | 18 |
| | | Optimal | 0 | 1 | 12 | 6 | 19 |
| | Total | 0 | 10 | 22 | 6 | 38 | |
| No | Overall quality of Case Practice during placement episode ending in Adoption | Poor | 3 | 1 | 0 | 0 | 4 |
| | | Marginal | 1 | 6 | 1 | 0 | 8 |
| | | Very Good | 0 | 15 | 23 | 6 | 44 |
| | Optimal | 0 | 0 | 3 | 5 | 8 | |
| Total | 4 | 22 | 27 | 11 | 64 | | |

There are some barriers that presented and which were well assessed, addressed, and resolved, but in the end delayed permanency. In these cases which did not meet the measure but in which

the social worker's case management or supervision were identified as optimal, the delays were due to issues outside the DCF span of control and documentation reflected good communication and support.

Reasons for delays in adoption finalization were captured by our reviewers in the 64 cases that did not meet the 24 month requirement. Some cases had multiple issues identified, while others had only one which appeared to result in delays extending the child's episode in care and permanency through adoption. These identified categories (not mutually exclusive) included:

- 29 cases had issues identified as DCF Case Management needing improvement
- 24 cases identified Court Delays
- 13 cases identified the need for Further Efforts to Reunify beyond 15 months due to the progress of the parents
- 12 cases indicated Pre-Adoptive Parent Indecision throughout the narratives as cause for delay in the adoption.
- 11 cases indicated the Approval Process (Central Office) delayed the adoption process.
- 9 cases showed a Lack of Adoption Resource/Matching as part of the delay in the finalization of the adoption.
- 9 cases included a Placement Disruption due to Child's Behaviors or Special Needs
- 7 cases identified Subsidy Rate Negotiation as a delaying factor
- 7 cases indicated that the ICPC Process caused delays in the adoption process.
- 6 cases identified the Child's Indecision resulted in a delay in the finalization of the adoption
- 4 cases identified Child's deterioration in mental health and need for higher level of care during the episode of placement as cause for delay in adoption.
- 4 cases were delayed for reasons UTD from the documentation.
- 1 case included a Placement Disruption due to Abuse/Neglect Investigation (not substantiation) in Pre-Adoptive Placement
- In 18 instances reviewers selected "Other"
(these included such issues as: efforts to place siblings together, licensing issues, issues with a child's sibling also to be adopted, investigation in foster home, foster parent's divorcing, relative coming forward then failing to follow through with licensing process, relative foster parent not willing to be a long term permanent, educational programming issues, relative unsure whether to pursue adoption or STOG, pre-adoptive parent requesting additional therapy for child prior to finalization, criminal court issues to be resolved by pre-adoptive parent.)

Within the cohort of children, 100.0% involved subsidy. 100 cases were inclusive of both financial and medical subsidy, and two cases were solely financial in nature. Subsidy negotiations delayed 6.9% of the 102 applicable cases.

The Adoption Resource Exchange (ARE) registration process protocol was not followed as stringently as in the past. 69 children of the sample of 102 children (67.6%) had the LINK documentation of registration with the Adoption Resource Exchange (ARE). Only two of children had an allowable exception documented where one would expect to see it in the LINK record. There was minimal or no evidence of annual updates to photo-listing in the case records.

Crosstabulation 39: Was this child registered on the Adoption Resource Exchange (ARE)? * Did Adoption occur within 24 months of the child's entry into DCF custody?

| Was this child registered on the Adoption Resource Exchange (ARE)? | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | |
|--|---|--|-------|--------|
| | | Yes | No | Total |
| Yes | Count | 20 | 49 | 69 |
| | % within Was this child registered on the Adoption Resource Exchange (ARE)? | 40.8% | 71.0% | 100.0% |
| No | Count | 18 | 15 | 33 |
| | % within Was this child registered on the Adoption Resource Exchange (ARE)? | 54.5% | 45.5% | 100.0% |
| Total | Count | 38 | 64 | 102 |
| | % within Was this child registered on the Adoption Resource Exchange (ARE)? | 37.3% | 62.7% | 100.0% |

Support and services for post adoption appear to be a problematic area, (or may just be a weak area of electronic documentation). Twenty-four children had documentation that they received services through the Community Collaboratives. There were 43 cases in which PPSP services were identified in the months prior to the adoption as a need to prepare for the adoption. In these cases, services were documented as provided for only 12 children and families. Post adoption services were likewise identified as a need in 44 cases. The records reflect that the services were referred, secured and in place for the identified post adoption support in only seven (7) cases at the time the child's case was closed. It is unclear if this is actually a service need, or a systemic documentation failure as the methodology was limited to a record review only.

Reviewers believed adoption was in the child's best interest in 98 of the 102 cases or 96.1% of the sample cases. In the four situations the reviewers questioned 1) stability, and 2) risk assessment conducted prior to adoption finalization, as the documentation within the case records was so limited.

- In two situations the documentation reflected that both the adoptive resource and child did not want the adoption to occur in the narratives immediately preceding the legal entry identifying that the adoption had occurred. No explanation, further exploration or supports were provided prior to the finalization.
- In one situation the foster home had undergone tremendous upheaval such that the foster mother's mental health had declined and she was on SSI due to debilitating depression. Little attention was given to the risk or well-being issues in the home. The family moved out of state the day after the adoption occurred.
- The last case had such poor documentation the reviewer could not assess the situation to obtain an accurate account of the situation.

Regional Performance

Overall, 38 (37.3%) of the sample achieved their adoptions within 24 months, exceeding the required standard. Lengths of stay ranged from 7 – 112 months, with median length of stay of 28 months. The most frequently identified length of stay was the multi-modal at 23 and 28 months,

each reported in eight cases. This was followed by clusters of seven cases each at 19 month stays and 32 month stays.

Table 5: Children’s Length of Stay during placement episode ending with adoption

| Categorized Length of Stay (Months) | Frequency | Percent | Cumulative Percent |
|-------------------------------------|-----------|---------|--------------------|
| 6 - 11 Months | 3 | 2.9% | 2.9% |
| 12 - 23 Months | 34 | 33.3% | 36.3% |
| 24 - 35 Months | 39 | 38.2% | 74.5% |
| 36 - 47 Months | 13 | 12.7% | 87.3% |
| 48 - 59 Months | 4 | 6.9% | 91.2% |
| 60 - 71 Months | 6 | 5.9% | 97.1% |
| 72 + Months | 3 | 2.9% | 100.0% |
| Total | 102 | 100.0% | |

Performance by region and area office is shown in the tables below. As indicated, Region IV had the most success as a region, while individually; Milford (66.7%), Middletown (60.0%) and Manchester Office (50.0%) and New Britain (50.0%) had the top three performances for achieving timely adoption statewide. Least successful in achieving the goal were New Haven (8.3%) and Meriden (20.0%) which were similarly situated in the prior quarter's reporting. Danbury had no adoptions within the quarter.

Crosstabulation 40: Region * Did Adoption occur within 24 months of the child's entry into DCF custody?

| Region | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | |
|--------------|-----------------|--|-------|--------|
| | | Yes | No | Total |
| Region I | Count | 3 | 5 | 8 |
| | % within Region | 37.5% | 62.5% | 100.0% |
| Region II | Count | 3 | 12 | 15 |
| | % within Region | 20.0% | 80.0% | 100.0% |
| Region III | Count | 13 | 18 | 31 |
| | % within Region | 41.1% | 58.1% | 100.0% |
| Region IV | Count | 9 | 11 | 20 |
| | % within Region | 45.0% | 55.0% | 100.0% |
| Region V | Count | 4 | 9 | 13 |
| | % within Region | 30.8% | 69.2% | 100.0% |
| Region VI | Count | 6 | 9 | 15 |
| | % within Region | 40.0% | 60.0% | 100.0% |
| Total | Count | 38 | 64 | 102 |
| | % within Region | 37.3% | 62.7% | 100.0% |

Crosstabulation 41: SW's Area Office Assignment? * Did Adoption occur within 24 months of the child's entry into DCF custody?

| SW's Area Office Assignment? | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | |
|------------------------------|---------------------------|--|-------|--------|
| | | Yes | No | Total |
| Bridgeport | Count | 2 | 4 | 6 |
| | % within SW's Area Office | 33.3% | 66.7% | 100.0% |
| Danbury | Count | 0 | 0 | 0 |
| | % within SW's Area Office | --- | --- | --- |
| Hartford | Count | 7 | 9 | 16 |
| | % within SW's Area Office | 43.8% | 56.3% | 100.0% |
| Manchester | Count | 2 | 2 | 4 |
| | % within SW's Area Office | 50.0% | 50.0% | 100.0% |
| Meriden | Count | 1 | 4 | 5 |
| | % within SW's Area Office | 20.0% | 80.0% | 100.0% |
| Middletown | Count | 6 | 4 | 10 |
| | % within SW's Area Office | 60.0% | 40.0% | 100.0% |
| Milford | Count | 2 | 1 | 3 |
| | % within SW's Area Office | 66.7% | 33.3% | 100.0% |
| New Britain | Count | 5 | 5 | 10 |
| | % within SW's Area Office | 50.0% | 50.0% | 100.0% |
| New Haven | Count | 1 | 11 | 12 |
| | % within SW's Area Office | 8.3% | 91.7% | 100.0% |
| Norwalk/Stamford | Count | 1 | 1 | 2 |
| | % within SW's Area Office | 50.0% | 50.0% | 100.0% |
| Norwich | Count | 6 | 12 | 18 |
| | % within SW's Area Office | 33.3% | 66.7% | 100.0% |
| Torrington | Count | 2 | 3 | 5 |
| | % within SW's Area Office | 40.0% | 60.0% | 100.0% |
| Waterbury | Count | 2 | 6 | 8 |
| | % within SW's Area Office | 25.0% | 75.0% | 100.0% |
| Willimantic | Count | 1 | 2 | 3 |
| | % within SW's Area Office | 33.3% | 66.7% | 100.0% |
| Total | Count | 38 | 64 | 102 |
| | % within SW's Area Office | 37.3% | 62.7% | 100.0% |

Some area offices seem to have more success than others in securing relative and special kin relations to adopt the children in care. During this quarter, Bridgeport (66.7%), Manchester (50.0%) and Hartford (37.5%) appeared to be leading the state in this regard.

Crosstabulation 42: SW's Area Office Assignment? * Was the adoptive parent a relative or special study kin known to this child?

| SW's Area Office Assignment? | | Was the adoptive parent a relative or special study kin known to this child? | | | |
|------------------------------|---------------------------|--|------------------------------|----------------------------|--------|
| | | yes - relative resource | yes - special study resource | no - non-relative resource | Total |
| Bridgeport | Count | 3 | 1 | 2 | 6 |
| | % within SW's Area Office | 50.0% | 16.7% | 33.3% | 100.0% |
| Hartford | Count | 5 | 1 | 10 | 16 |
| | % within SW's Area Office | 31.3% | 6.3% | 62.5% | 100.0% |
| Manchester | Count | 2 | 0 | 2 | 4 |
| | % within SW's Area Office | 50.0% | .0% | 50.0% | 100.0% |
| Meriden | Count | 0 | 0 | 5 | 5 |
| | % within SW's Area Office | .0% | .0% | 100.0% | 100.0% |
| Middletown | Count | 2 | 0 | 8 | 10 |
| | % within SW's Area Office | 20.0% | .0% | 80.0% | 100.0% |
| Milford | Count | 0 | 0 | 3 | 3 |
| | % within SW's Area Office | .0% | .0% | 100.0% | 100.0% |
| New Britain | Count | 2 | 1 | 7 | 10 |
| | % within SW's Area Office | 20.0% | 10.0% | 70.0% | 100.0% |
| New Haven | Count | 2 | 0 | 10 | 12 |
| | % within SW's Area Office | 16.7% | .0% | 83.3% | 100.0% |
| Norwalk | Count | 0 | 0 | 2 | 2 |
| | % within SW's Area Office | .0% | .0% | 100.0% | 100.0% |
| Norwich | Count | 0 | 1 | 17 | 18 |
| | % within SW's Area Office | .0% | 5.6% | 94.4% | 100.0% |
| Torrington | Count | 1 | 0 | 4 | 5 |
| | % within SW's Area Office | 20.0% | .0% | 80.0% | 100.0% |
| Waterbury | Count | 1 | 0 | 7 | 8 |
| | % within SW's Area Office | 12.5% | .0% | 87.5% | 100.0% |
| Willimantic | Count | 0 | 0 | 3 | 3 |
| | % within SW's Area Office | .0% | .0% | 100.0% | 100.0% |
| Total | Count | 18 | 4 | 80 | 102 |
| | % within SW's Area Office | 17.6% | 3.9% | 78.4% | 100.0% |

Given that court delays were identified as problematic in 24 of the 64 cases that did not meet the measure, our review also looked regionally at the individual courts assigned responsibility for processing the adoption.

Crosstabulation 43: What court finalized the adoption? * Did Adoption occur within 24 months of the child's entry into DCF custody? * Region

| Region | | | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | | |
|---------------------|------------------------------------|-----------------------|-----------------------|--|--------------|---------------|---------------|
| | | | | Yes | No | Total | |
| Region I | What court finalized the adoption? | Bridgeport Probate | Count | 0 | 4 | 4 | |
| | | | % Within court | .0% | 100.0% | 100.0% | |
| | | Hartford Probate | Count | 1 | 0 | 1 | |
| | | | % Within court | 100.0% | .0% | 100.0% | |
| | | Norwalk Probate | Count | 1 | 1 | 2 | |
| | | | % Within court | 50.0% | 50.0% | 100.0% | |
| | | Trumbull Probate | Count | 1 | 0 | 1 | |
| | | | % Within court | 100.0% | .0% | 100.0% | |
| | Region Total | | | Count | 3 | 5 | 8 |
| | | | | % Within court | 37.5% | 62.5% | 100.0% |
| Region II | What court finalized the adoption? | Ansonia Probate | Count | 0 | 1 | 1 | |
| | | | % Within court | .0% | 100.0% | 100.0% | |
| | | Bridgeport Probate | Count | 0 | 1 | 1 | |
| | | | % Within court | .0% | 100.0% | 100.0% | |
| | | Brookfield Probate | Count | 1 | 0 | 1 | |
| | | | % Within court | 100.0% | .0% | 100.0% | |
| | | Derby Probate | Count | 0 | 1 | 1 | |
| | | | % Within court | .0% | 100.0% | 100.0% | |
| | | Hamden Probate | Count | 0 | 1 | 1 | |
| | | | % Within court | .0% | 100.0% | 100.0% | |
| | | Meriden Probate | Count | 0 | 1 | 1 | |
| | | | % Within court | .0% | 100.0% | 100.0% | |
| | | New Haven Probate | Count | 1 | 4 | 5 | |
| | | | % Within court | 20.0% | 80.0% | 100.0% | |
| | | New London Probate | Count | 0 | 1 | 1 | |
| | | | % Within court | .0% | 100.0% | 100.0% | |
| | | South Windsor Probate | Count | 0 | 1 | 1 | |
| | | | % Within court | .0% | 100.0% | 100.0% | |
| | Waterbury Probate | Count | 1 | 1 | 2 | | |
| | | % Within court | 50.0% | 50.0% | 100.0% | | |
| Region Total | | | Count | 3 | 12 | 15 | |
| | | | % Within court | 20.0% | 80.0% | 100.0% | |

| Region | | | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | |
|---------------------|------------------------------------|-----------------------|-----------------------|--|--------------|---------------|
| | | | | Yes | No | Total |
| Region III | What court finalized the adoption? | Brooklyn Probate | Count | 1 | 1 | 2 |
| | | | % Within court | 50.0% | 50.0% | 100.0% |
| | | Enfield Probate | Count | 0 | 1 | 1 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| | | Fairfield Probate | Count | 0 | 1 | 1 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| | | Glastonbury Probate | Count | 0 | 1 | 1 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| | | Madison Probate | Count | 2 | 0 | 2 |
| | | | % Within court | 100.0% | .0% | 100.0% |
| | | Manchester Probate | Count | 0 | 1 | 1 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| | | Meriden Probate | Count | 1 | 0 | 1 |
| | | | % Within court | 100.0% | .0% | 100.0% |
| | | Middletown Probate | Count | 2 | 0 | 2 |
| | | | % Within court | 100.0% | .0% | 100.0% |
| | | New London Probate | Count | 4 | 2 | 6 |
| | | | % Within court | 66.7% | 33.3% | 100.0% |
| | | Norwich Probate | Count | 0 | 3 | 3 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| | | Old Saybrook Probate | Count | 0 | 3 | 3 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| | | Plainfield Probate | Count | 1 | 0 | 1 |
| | | | % Within court | 100.0% | .0% | 100.0% |
| | | SCJM Waterford | Count | 0 | 1 | 1 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| | | South Windsor Probate | Count | 0 | 2 | 2 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| | | Waterbury Probate | Count | 0 | 1 | 1 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| | | Willimantic Probate | Count | 2 | 1 | 3 |
| % Within court | 66.7% | | 33.3% | 100.0% | | |
| Region Total | | | Count | 13 | 18 | 31 |
| | | | % Within court | 41.9% | 58.1% | 100.0% |

| Region | | | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | |
|---------------------|------------------------------------|-----------------------|-----------------------|--|--------------|---------------|
| | | | | Yes | No | Total |
| Region IV | What court finalized the adoption? | Bristol Probate | Count | 0 | 2 | 2 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| | | East Haddam Probate | Count | 1 | 0 | 1 |
| | | | % Within court | 100.0% | .0% | 100.0% |
| | | Enfield Probate | Count | 2 | 0 | 2 |
| | | | % Within court | 100.0% | .0% | 100.0% |
| | | Hamden Probate | Count | 1 | 0 | 1 |
| | | | % Within court | 100.0% | .0% | 100.0% |
| | | Hartford Probate | Count | 1 | 5 | 6 |
| | | | % Within court | 16.7% | 83.3% | 100.0% |
| | | New Haven Probate | Count | 0 | 2 | 2 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| | | Stratford Probate | Count | 1 | 0 | 1 |
| | | | % Within court | 100.0% | .0% | 100.0% |
| | | West Hartford Probate | Count | 1 | 1 | 2 |
| | | | % Within court | 50.0% | 50.0% | 100.0% |
| | | Willimantic Probate | Count | 1 | 1 | 2 |
| | | | % Within court | 50.0% | 50.0% | 100.0% |
| Windsor Probate | Count | 1 | 0 | 1 | | |
| | % Within court | 100.0% | .0% | 100.0% | | |
| Region Total | | | Count | 9 | 11 | 20 |
| | | | % Within court | 45.0% | 55.0% | 100.0% |
| Region V | What court finalized the adoption? | Bethany Probate | Count | 0 | 1 | 1 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| | | Bristol Probate | Count | 0 | 1 | 1 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| | | Canaan Probate | Count | 0 | 1 | 1 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| | | Naugatuck Probate | Count | 1 | 0 | 1 |
| | | | % Within court | 100.0% | .0% | 100.0% |
| | | New Haven Probate | Count | 1 | 0 | 1 |
| | | | % Within court | 100.0% | .0% | 100.0% |
| | | New London Probate | Count | 0 | 1 | 1 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| | | Torrington Probate | Count | 2 | 1 | 3 |
| | | | % Within court | 66.7% | 33.3% | 100.0% |
| Waterbury Probate | Count | 0 | 4 | 4 | | |
| | % Within court | .0% | 100.0% | 100.0% | | |
| Region Total | | | Count | 4 | 9 | 13 |
| | | | % Within court | 30.8% | 69.2% | 100.0% |

| Region | | | | Did Adoption occur within 24 months of the child's entry into DCF custody? | | |
|---------------------|------------------------------------|-----------------------|----------------|--|---------------|--------|
| | | | | Yes | No | Total |
| Region VI | What court finalized the adoption? | Berlin Probate | Count | 2 | 1 | 3 |
| | | | % Within court | 66.7% | 33.3% | 100.0% |
| | | East Hartford Probate | Count | 0 | 1 | 1 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| | | Farmington Probate | Count | 1 | 0 | 1 |
| | | | % Within court | 100.0% | .0% | 100.0% |
| | | Meriden Probate | Count | 0 | 3 | 3 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| | | New Britain Probate | Count | 0 | 3 | 3 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| | | Newington Probate | Count | 2 | 0 | 2 |
| | | | % Within court | 100.0% | .0% | 100.0% |
| | | Old Saybrook Probate | Count | 1 | 0 | 1 |
| | | | % Within court | 100.0% | .0% | 100.0% |
| | | Waterbury Probate | Count | 0 | 1 | 1 |
| | | | % Within court | .0% | 100.0% | 100.0% |
| Region Total | | Count | 6 | 9 | 15 | |
| | | % Within court | 40.0% | 60.0% | 100.0% | |

The success of a child's adoption must also be measured by the stability of permanency after discharge, so reviewers were also asked to determine whether a child had re-entered foster care since that time. Since the Third Quarter 2011 adoptions, there were no "Re-Entries" to DCF placement. In fact, of the 102 cases selected for this sample, only one child was participant to an open case. This case was a case re-opened as a Voluntary Services In-Home case for a sibling, the identified child from this cohort was noted as thriving in his home.

Appendix 3
Outcome Measure 9 Pre-Certification Review -
Transfer of Guardianship

Outcome Measure 9: Pre-Certification Review - Transfer of Guardianship

Under the *Juan F. Revised Exit Plan* the Court Monitor is required to conduct what the parties and the Court Monitor refer to as "Certification Reviews" under the following circumstances:

The Defendants must be in compliance with all of the Outcome Measures and in sustained compliance with all of the Outcome Measures for at least two quarters (six months) prior to asserting compliance and shall maintain compliance through any decision to terminate jurisdiction. The Court Monitor shall then conduct a review of a statistically valid sample of case files at a 96% confidence level and such other measurements as are necessary to determine whether the Defendants are in compliance. The Court Monitor shall then present findings and recommendations to the District Court. The parties shall have a meaningful opportunity to be heard by the Court Monitor before rendering his findings and recommendations.

In recognition of the progress made and sustained by DCF with respect to many of the Outcome Measures to date, and the fact that the well-being of the Juan F class members can be served by earlier identification and resolution of existing qualitative issues that might be present and are not easily identifiable through the monthly quantitative data provided, the DCF Court Monitor's Office determined it feasible at this time, with the agreement of the *Juan F.* parties, to conduct a series of reviews on the 22 Outcome Measures to identify areas of strengths and challenges that may be necessary to focus on prior to assertion of compliance and exit.

The resulting "pre-certification" process which the parties and the Court Monitor have created identifies that if DCF has sustained compliance as required by the *Juan F. Revised Exit Plan* for at least two consecutive quarters (6 months) for any Outcome Measure (OM), the Court Monitor may, at his discretion, conduct a "pre-certification review" of that OM.

The purpose of the pre-certification review is to recognize DCF's sustained improved performance, to identify and provide a prompt and timely opportunity to remedy any problem areas which may be affecting the well-being of *Juan F.* class members, and to increase the efficiency of DCF's eventual complete compliance and exit from the Consent Decree. Other than conducting the pre-certification review earlier than the review mandated by the *Juan F. Revised Exit Plan*, the pre-certification review will be conducted in accordance with the provisions for review as described in the *Juan F. Revised Exit Plan*.

If the pre-certification review does not identify any material issues requiring remediation and no assertions of noncompliance with the specific OM at issue are pending at the time the Defendants assert sustained compliance with all 22 Outcome Measures, the parties agree that the full review as outlined in paragraph 5 of the *Juan F. Revised Exit Plan* will not be a requirement to exit, the extent of the review will be pending discussions and agreement of the parties to and will be

formalized in a modification of the Juan F. Revised Exit Plan at the time of assertion of compliance.

This pre-certification review, Outcome Measure 9: Transfer of Guardianship (TOG) is a qualitative review that will supplement the quarterly data provided by DCF and verified by the Court Monitor regarding the instances of TOG. The measure requires that DCF comply and sustain the following level of practice related to TOG:

“At least 70% of all children whose custody is legally transferred shall have their guardianship transferred within 24 months of the child’s most recent removal from his/her home.”

The Monitor’s Office requested that the DCF provide the universe of all children that were discharged from DCF custody during the consecutive quarters of April, 2011 through June, 2011 and July, 2011 through September, 2011. This request was fulfilled in January 2012, with the available Excel Database in LINK which included the universe of 57 children and 70 children respectively. The sampling methodology agreed to by the parties required a sample at a 95% confidence level (+/-4%). This resulted in the need to identify a minimum of 52 and 63 children per quarter for the sampling respectively. Samples selected were stratified by area office then randomly selected within those resulting in the following sample populations:

Table 1: Identified Universe (N=127) and Sample Set (n =115) Designation by Area Office

| Area Office | Number of Children in 2 nd Quarter 2011 TOG Universe | | Number of Children in 2 nd Quarter Sample Set | | Number of Children in 3 rd Quarter 2011 TOG Universe | | Number of Children in 3 rd Quarter Sample | |
|---------------------------|---|------------|--|------------|---|------------|--|------------|
| | Count | Percentage | Count | Percentage | Count | Percentage | Count | Percentage |
| Bridgeport | 9 | 15.8% | 8 | 15.4% | 9 | 12.9% | 8 | 12.7% |
| Danbury | 2 | 3.5% | 2 | 3.9% | 1 | 1.4% | 1 | 1.6% |
| Hartford Office | 6 | 10.5% | 5 | 9.6% | 8 | 11.4% | 7 | 11.1% |
| Manchester Office | 7 | 12.3% | 6 | 11.5% | 8 | 11.4% | 7 | 11.1% |
| Meriden Office | 0 | 0.0% | 0 | 0.0% | 2 | 2.9% | 2 | 3.2% |
| Middletown Office | 7 | 12.3% | 7 | 13.5% | 3 | 4.3% | 3 | 4.8% |
| Milford | 2 | 3.5% | 2 | 3.9% | 11 | 15.7% | 10 | 15.9% |
| New Britain Office | 2 | 3.5% | 2 | 3.9% | 3 | 4.3% | 3 | 4.8% |
| New Haven | 5 | 8.8% | 5 | 9.6% | 3 | 4.3% | 3 | 4.8% |
| Norwalk Office | 1 | 1.7% | 1 | 1.9% | 2 | 2.9% | 2 | 3.2% |
| Norwich Office | 6 | 10.5% | 5 | 9.6% | 5 | 7.1% | 4 | 6.3% |
| Stamford Office | 0 | 0.0% | 0 | 0.0% | 1 | 1.4% | 1 | 1.6% |
| Torrington Office | 1 | 1.7% | 1 | 1.9% | 0 | 0.0% | 0 | 0.0% |
| Waterbury Office | 6 | 10.5% | 5 | 9.6% | 12 | 17.1% | 10 | 15.9% |
| Willimantic Office | 3 | 5.3% | 3 | 5.8% | 2 | 2.9% | 2 | 3.2% |
| Grand Total | 57 | 100.0% | 52 | 100.0% | 70 | 100.0% | 63 | 100.0% |

Upon initial review, there was a need to exclude 14 of the cases within the initial sample sets that did not meet the criteria for inclusion. Therefore the resulting number of cases reviewed actually totaled 113 cases. Accounting for the cases eliminated, our review team actually reviewed the full universe of all children exiting care via TOG across the Second Quarter (N = 48) or Third Quarter 2011(N=65) rather than a sample of those populations. The 14 identified cases were eliminated for having the TOG occur outside of the period of review or, were not a TOG - as children did not

have guardianship transferred to a relative or kin, but were revocations and discharges from care into to some other form of permanency or case closing. The actual distribution of cases of children with transfer of guardianship achieved was as follows:

Table 2: Actual Sample Set Reviewed Designated by Area Office Assignment and Quarter of TOG (N= 113)

| SW's Area Office Assignment? | | Quarter of TOG | | |
|------------------------------|----------------------|---------------------|---------------------|--------|
| | | 2nd Quarter 2011 | 3rd Quarter 2011 | Total |
| Bridgeport | Count | 9 | 8 | 17 |
| | % within Area Office | 52.9% | 47.1% | 100.0% |
| Danbury | Count | 1 | 0 | 1 |
| | % within Area Office | 100.0% | .0% | 100.0% |
| Hartford | Count | 6 | 8 | 14 |
| | % within Area Office | 42.9% | 57.1% | 100.0% |
| Manchester | Count | 6 | 6 | 12 |
| | % within Area Office | 50.0% | 50.0% | 100.0% |
| Meriden | Count | 0 | 2 | 2 |
| | % within Area Office | .0% | 100.0% | 100.0% |
| Middletown | Count | 5 | 5 | 10 |
| | % within Area Office | 50.0% | 50.0% | 100.0% |
| Milford | Count | 1 | 11 | 12 |
| | % within Area Office | 8.3% | 91.7% | 100.0% |
| New Britain | Count | 1 | 3 | 4 |
| | % within Area Office | 25.0% | 75.0% | 100.0% |
| New Haven | Count | 4 | 3 | 7 |
| | % within Area Office | 57.1% | 42.9% | 100.0% |
| Norwalk | Count | 2 | 2 | 4 |
| | % within Area Office | 50.0% | 50.0% | 100.0% |
| Norwich | Count | 5 | 4 | 9 |
| | % within Area Office | 55.6% | 44.4% | 100.0% |
| Torrington | Count | 1 | 0 | 1 |
| | % within Area Office | 100.0% | .0% | 100.0% |
| Waterbury | Count | 5 | 11 | 16 |
| | % within Area Office | 31.3% | 68.8% | 100.0% |
| Willimantic | Count | 2 | 2 | 4 |
| | % within Area Office | 50.0% | 50.0% | 100.0% |
| Total | Count | 48 | 65 | 113 |
| | % within Area Office | 42.5% | 57.5% | 100.0% |

The LINK record review was conducted during February and March 2012 following a pilot test conducted during mid-January to ensure issues of reliability and validity prior to initiating the full review. A portion of the reviewed cases were also reviewed and scored by the project supervisor so that inter-rater scores could be assessed in an ongoing manner.

A limitation of this review is that it is based on an exit cohort of children achieving permanency through successful TOG during the Second or Third Quarter 2011. As such,

caution must be taken in any generalizations to the full population of children remaining in care, or any population just entering care.

Highlights of the Findings

- Both quarter's data reviewed verify that the measure was achieved. The Department's reporting actually undercut the percentages achieved; as it appears that in both quarters several cases that were revocations were pulled into the universe and lowered the overall findings for those quarters. Further, the reporting is live, and some additional changes have also occurred over time and data entry errors or late entries into LINK may have been incorporated so the current numbers available for this measure differ from what was reported at the time the reporting was made available at the quarter. Our findings are:
 - Second Quarter
 - DCF Reporting: OM9 Achieved for 57 children at 78.4%
 - Current DCF Reporting: OM9 Achieved for 64 children at 84.4%
 - Court Monitor's Review: OM9 Achieved for 48 children with 85.4%
 - Of those children with TOG during the Second Quarter 2011, there were 7 children, who as of the date of review in the First Quarter 2012, were an active case participant in an Ongoing Services case. Four children (8.3%) were participants to a Child Protective Services case, and three children (6.3%) were the identified child in a Voluntary Services case.
 - None of the 48 children had come back into placement since the time of the TOG.
 - Third Quarter
 - DCF Reporting: OM9 Achieved for 70 children at 83.6%
 - Current DCF Reporting: OM9 Achieved for 70 children at 81.6%
 - Court Monitor's Review: OM9 Achieved for 65 children with 86.2%
 - Of those children with TOG during the Third Quarter 2011, there were six children, who as of the date of review in the First Quarter 2012, were an active case participant in an Ongoing Services case. All six children were participants to a Child Protective Services case.
 - One of these six children came back into placement two months after the TOG via an Administrative Hold due to safety concerns identified by DCF and she is currently identified with the legal status committed/abuse/neglect/uncared for. (Note: the Court ordered this TOG against the recommendation of DCF)
- Reviewers indicated that while the majority of the quality of work was often a strength and rated as good or optimal based upon the standard, the documentation did not always reflect case practice consistent with the policy guidelines, which is why the overall case practice scores reflected a substantial portion of cases scoring in the combined lower ranges of marginal and poor. A continued focus on documentation both supervisory and by the assigned social worker related to the

assessment of and ongoing efforts to address barriers to TOG. Aftercare planning should be a focus of case planning.

- The LINK narratives did not clearly identify the subsidy decisions and aftercare planning for many of the children and guardians.
- A large portion of those children under the age of 5 that were not identified as being in Head Start or B-3 did not have documented discussions regarding potential for those programs. This does not mean that they were not held, but one could not determine such from the record.
- The number of children identified as special education students appeared to be low given the historical perspective of the populations generally in care. Reviewers wondered if this was an accurate accounting, or if documentation was an issue in this regard. (Only six children in the Second Quarter and four children in the Third Quarter)
- The use of court ordered protective supervision following the transfer of guardianship due to safety and well being concerns of several of the child in the care of the new guardian was something questioned by our review staff. Particularly when the case was kept open under the biological parent's case record rather than establishing a case record under the new guardian's name.

Second Quarter 2011 Outcome Measure 9 Pre-Certification Review Findings

- **DCF ROM Reporting in 2nd Quarter 2011: 78.4%**
- **Review Findings: 85.4%**

While it is clear that the agency has met the measure, with rates above the requirement for many reporting periods, upon review there seems to be minor issues with the reporting mechanisms. At the time of reporting on the Second Quarter 2011 findings, the agency reported a performance of 78.4% compliance via the ROM/LINK reporting for 57 children that had TOG during the period. The same current automated online reporting now indicates that the DCF met the benchmark with a performance of 84.4% with a universe of 64 children. Due to the live nature of the ROM data, corrections or additions to legal status and permanency have changed the database to add seven additional children since we pulled the sample in January 2012.

As identified earlier, we found that of those 57 children identified in that initial universe, the number of children with a TOG during the quarter was less, with 48 children actually exiting the custody of DCF through TOG versus other discharge or timeframe. One child did not achieve TOG until August 2011, the others were actually revocations. Of the accurate total (n=48), the DCF reporting identified that 41 of the 48 children achieved timely TOG (within 24 months). This total is consistent with the reviewers' assessment in this pre-certification review. This rate would indicate a higher compliance rate than the 78.4% reported, or even the reporting now displayed in ROM. This total is 85.4% compliance. Per our findings, regionally, compliance was achieved as follows:

Crosstabulation 1: DCF Region * Did guardianship occur within 24 months of the child's entry into DCF custody?

| DCF Region | | Did guardianship occur within 24 months of the child's entry into DCF custody? | | |
|-------------------|---------------------|--|--------|--------|
| | | Yes | No | Total |
| Region I | Count | 12 | 0 | 12 |
| | % within DCF Region | 100.0% | .0% | 100.0% |
| Region II | Count | 5 | 0 | 5 |
| | % within DCF Region | 100.0% | .0% | 100.0% |
| Region III | Count | 9 | 3 | 12 |
| | % within DCF Region | 75.0% | 25.0% | 100.0% |
| Region IV | Count | 9 | 2 | 11 |
| | % within DCF Region | 81.8% | 18.2% | 100.0% |
| Region V | Count | 6 | 1 | 7 |
| | % within DCF Region | 85.7% | 14.3% | 100.0% |
| Region VI | Count | 0 | 1 | 1 |
| | % within DCF Region | .0% | 100.0% | 100.0% |
| Total | Count | 41 | 7 | 48 |
| | % within DCF Region | 85.4% | 14.6% | 100.0% |

Having reviewed the entire universe of completed transfer of guardianships throughout the quarter, our review found that Bridgeport Superior Court for Juvenile Matters processed the most transfer of guardianships, accounting for 25.0% of the total completed in the quarter (12).

Crosstabulation 2: What court finalized the adoption? * Did the LINK reporting identify that child met Outcome Measure 9 - That is achieving permanency through TOG in less than 24 months from entry into DCF placement?

| What court finalized the adoption? | Did the LINK reporting identify that child met Outcome Measure 9 - That is achieving permanency through TOG in less than 24 months from entry into DCF placement? | | |
|------------------------------------|---|----------|-----------|
| | Yes | No | Total |
| SCJM-Bridgeport | 12 | 0 | 12 |
| SCJM-Danbury | 0 | 1 | 1 |
| SCJM-Hartford | 7 | 1 | 8 |
| SCJM-Manchester | 0 | 1 | 1 |
| SCJM-Middletown | 4 | 1 | 5 |
| SCJM-New Britain | 0 | 1 | 1 |
| SCJM-New Haven | 4 | 0 | 4 |
| SCJM-Rockville | 3 | 0 | 3 |
| SCJM-Torrington | 1 | 0 | 1 |
| SCJM-Waterbury | 4 | 0 | 4 |
| SCJM-Waterford | 4 | 2 | 6 |
| SCJM-Willimantic | 2 | 0 | 2 |
| Total | 41 | 7 | 48 |

Demographics

Our pre-certification review of the second quarter includes the universe of children having a TOG during the quarter, and contains children placed as long ago as September 1996 and as recently as May 2011; with the median placement date of calculated as July 28, 2010. The cohort is 64.6% male (n=31) and 35.4% female (n=17). This was the first placement episode for 40 children, or 83.3% of the cohort. Of the eight children with prior placement episodes, seven (had experience one prior episode. One child had experienced two prior episodes.

The majority of the cohort, 68.8%, had been placed for more than half of this placement episode with the licensed relative foster parent that assumed guardianship. Twenty five percent of the group (n=12) spent the majority of the placement in a non-relative DCF foster placement, while one child (2.1%) spent the majority of the placement episode in a group home.

Twenty-two of the 48 children (45.8%) experienced only one placement during the episode, with guardianship transferred to that resource. The range of placements recorded, as shown in Table X below is one through nine. The average number is two placements.

Table 3: How many placements did this child experience prior to TOG?

| Placements | Frequency | Percent | Cumulative Percent |
|--------------|-----------|---------|--------------------|
| 1 | 22 | 45.8 | 45.8 |
| 2 | 12 | 25.0 | 70.8 |
| 3 | 5 | 10.4 | 81.3 |
| 4 | 6 | 12.5 | 93.8 |
| 5 | 1 | 2.1 | 95.8 |
| 7 | 1 | 2.1 | 97.9 |
| 9 | 1 | 2.1 | 100.0 |
| Total | 48 | 100.0 | |

The group was predominately identified as White and non-Hispanic. The full racial and ethnic make-up of the cohort is displayed in the Crosstabulation below:

Crosstabulation 3: Child's Race * Child's Ethnicity

| Child's Race | | Child's Ethnicity | | | |
|--|----------------------------|-------------------|--------------|---------|--------|
| | | Hispanic | Non-Hispanic | Unknown | Total |
| Black/African American | Count | 0 | 14 | 1 | 15 |
| | % within Child's Race | .0% | 93.3% | 6.7% | 100.0% |
| | % within Child's Ethnicity | .0% | 36.8% | 100.0% | 31.3% |
| White | Count | 8 | 21 | 0 | 29 |
| | % within Child's Race | 27.6% | 72.4% | .0% | 100.0% |
| | % within Child's Ethnicity | 88.9% | 55.3% | .0% | 60.4% |
| Unknown | Count | 1 | 0 | 0 | 1 |
| | % within Child's Race | 100.0% | .0% | .0% | 100.0% |
| | % within Child's Ethnicity | 11.1% | .0% | .0% | 2.1% |
| Multiracial (more than one race selected) | Count | 0 | 3 | 0 | 3 |
| | % within Child's Race | .0% | 100.0% | .0% | 100.0% |
| | % within Child's Ethnicity | .0% | 7.9% | .0% | 6.3% |
| Total | Count | 9 | 38 | 1 | 48 |
| | % within Child's Race | 18.8% | 79.2% | 2.1% | 100.0% |
| | % within Child's Ethnicity | 100.0% | 100.0% | 100.0% | 100.0% |

There was clear documentation in 46 or 95.8% of the cases that the social worker communicated with the family in their preferred primary language or had taken the necessary steps to secure a translator/interpreter as needed for visits and translation of documents relation to case planning during the period.

Twenty children were identified as mainstream education students (41.7%), six were special education students (12.5%), and two were identified as having 504 protection status (4.2%). One child was enrolled in a Head Start pre-school program (2.1%). Six children were receiving Birth to 3 services (12.5%). Thirteen children (27.1%) were too young for Kindergarten enrollment and there was no documentation that they required/were enrolled in Birth to 3 or Head Start.

Reviewers identified findings from the investigations leading to placement. Reasons for the entry into care varied. Below is a table of those identified reasons.

Table 4: Child's Reasons for Entry into Care Preceding TOG

| Reason Identified | Frequency | % Children Impacted by this Reason |
|--|-----------|------------------------------------|
| Substantiated Neglect | 40 | 83.3% |
| Parent/Guardian's Substance Abuse | 27 | 56.3% |
| Parent/Guardian's Mental Health | 16 | 33.3% |
| Domestic Violence | 8 | 16.7% |
| Housing | 4 | 8.3% |
| Abandonment | 3 | 6.3% |
| Parent/Guardian's Incarceration | 3 | 6.3% |
| Child's Mental Health, Behavioral Health, Substance Abuse (Needs beyond caretaker's ability) | 2 | 4.2% |
| Parent/Guardian's Death | 2 | 4.2% |
| Substantiated Abuse | 2 | 4.2% |
| Child's Medical Condition | 1 | 2.1% |
| Moral Neglect | 1 | 2.1% |
| Parent/Guardian Whereabouts Unknown | 1 | 2.1% |

Of those children with TOG during the Second Quarter 2011, there were 7 children, who as of the date of review in the First Quarter 2012, were an active case participant in an Ongoing Services case. Four children (8.3%) were participants to a Child Protective Services case, and three children (6.3%) were the identified child in a Voluntary Services case. None of the 48 children had come back into placement since the time of the TOG. Reviewers noted that three of the cases (sibling group) included protective supervision of the child after the transfer of guardianship, due to concerns that the guardian would not follow through with educational planning, which was identified as odd given that the guardian selected as appropriate for TOG should not have been the source of CPS concerns requiring legal action.

Findings Related to Second Quarter 2011 Transfer of Guardianship

As part of the process, reviewers established the timeframe upon which DCF identified the permanent resource for the child after case open. Data collected found that most frequently the resource was identified prior to or within days of the child coming into care. This accounted for 18.8% of the cases documenting the resource prior to removal. The range for identification of the resource within the cohort was zero months (prior to entry or within days of the placement) to 180 months.

Reviewers also identified for how long Transfer of Guardianship was the established goal for the child. For the majority of the children within the universe, the goal was officially in effect less than 6 months (72.9%). In some instances the goal was established in less than one month, in others it took as long as 169 months to officially identify this goal. On average (median) this goal was established in accordance with expectations, at seven months from date of placement which would be at the time of the permanency planning team meeting.

Table 5: How many months after the most recent entry into DCF Custody was the guardian identified as the permanent resource?

| # Months | Frequency | Percent | Cumulative Percent |
|--------------|-----------|---------|--------------------|
| 0 | 9 | 18.8 | 18.8 |
| 1 | 5 | 10.4 | 29.2 |
| 2 | 8 | 16.7 | 45.8 |
| 3 | 2 | 4.2 | 50.0 |
| 4 | 3 | 6.3 | 56.3 |
| 5 | 4 | 8.3 | 64.6 |
| 6 | 1 | 2.1 | 66.7 |
| 7 | 3 | 6.3 | 72.9 |
| 8 | 3 | 6.3 | 79.2 |
| 12 | 4 | 8.3 | 87.5 |
| 21 | 1 | 2.1 | 89.6 |
| 25 | 3 | 6.3 | 95.8 |
| 33 | 1 | 2.1 | 97.9 |
| 180 | 1 | 2.1 | 100.0 |
| Total | 48 | 100.0 | |

The range of dates for placement with the identified TOG resource spanned from January 10, 2006 through June 11, 2011. The average date for placement with the permanent resource amongst this cohort is August 8, 2010.

Most frequently the identified relative was a maternal grandparent (47.9%). See the table below for other relatives providing guardianship resource during this quarter.

Table 6: What is the relationship of the guardian(s) that obtained TOG to the child in the review sample?

| TOG Resource | Frequency | Percent | Cumulative Percent |
|---------------------------|-----------|---------|--------------------|
| Maternal grandparent(s) | 23 | 47.9 | 47.9 |
| Paternal grandparents | 12 | 25.0 | 72.9 |
| Maternal aunt or uncle | 4 | 8.3 | 81.3 |
| Other paternal relative | 4 | 8.3 | 89.6 |
| Other maternal relative | 3 | 6.3 | 95.8 |
| Friend to child or parent | 1 | 2.1 | 97.9 |
| Paternal aunt or uncle | 1 | 2.1 | 100.0 |
| Total | 48 | 100.0 | |

Barriers to achievement of the timely transfer of guardianship for the identified child were collected throughout the review process. Of the seven cases not achieving the measure, a total of 14 barriers were identified as contributing to the delay. Several cases presented with multiple barriers. Please note that the percentage reported below is the based upon the total number of barriers, not the seven cases failing to meet the measure.

Table 7: Barriers to Achievement of the Transfer of Guardianship Measure

| Barrier | Frequency | Percent |
|--|-----------|---------|
| Guardian Indecision | 3 | 21.4% |
| Child's Indecision | 2 | 14.3% |
| DCF Case Management | 2 | 14.3% |
| Placement Disruption Due to Child's Behavior | 2 | 14.3% |
| Lack of Identified Family Relative | 2 | 14.3% |
| Child's Deterioration - Higher Level of Care Required | 1 | 7.2% |
| Child Ran Away to Relative who was not sanctioned by DCF | 1 | 7.2% |
| Placement Disruption Due to Abuse/Neglect Allegation | 1 | 7.2% |
| Approval Process | 0 | 0.0% |
| Court Delays | 0 | 0.0% |
| ICPC or Private Agency | 0 | 0.0% |
| Lack of Community Resource to Support TOG | 0 | 0.0% |
| Subsidy Negotiation | 0 | 0.0% |
| Six Month Subsidy Requirement | 0 | 0.0% |
| Total | 14 | 100.0% |

In 39 of the 48 cases (81.3%), documentation reflected that other goals such as reunification or adoption had been thoroughly explored and ruled out in favor of transfer of guardianship.

The review found that 83.3% of the records had supervisory conference narrative entries by the SWS in relation to safety and stability for the identified child within the six months leading up to the transfer of guardianship. That being said, reviewers found that of the cases with barriers identified, only 41.7% included clear ongoing directives on how to proceed with the case in order to minimize the identified risks or issues raised. This is not to say that actions were not taken on behalf of the child and family assuming guardianship, but that these steps and dialogues with the family and children were not always well documented.

Overall supervision of the cases was assessed by the reviewers based on the following directions:

Compare the documented supervisory practice with standards set out in Supervisory Conference Policy 31-7-1.2, and your knowledge of best practices in child welfare supervision.

Policy 31-7-1.2

The purpose of supervision is to provide guidance and case direction to Area Office Social Workers to assure progress toward case goals, and the appropriate and timely delivery of services to the families and children served by DCF, in accordance with the provisions of their Treatment Plan.

Area Office Social Work Supervisors must:

- *document the steps necessary to achieve permanency on each case under their supervision*
- *know the quantitative aspects of the service delivery of Social Workers including, specifically, the frequency of contact by workers with their cases*
- *document and approve the plan for Social Workers' contacts for each case under their supervision*

- *have knowledge of the service plan for the family and assure that services are delivered in accordance with the plan.*

Supervisory Conferences

Social Work Supervisors shall conduct regular, consistent supervision so that each case under their purview has a documented supervisory conference a minimum of once each month.

The supervisory conference discussions shall include, but not be limited to, the following topic areas:

- *safety and risk assessment*
- *steps necessary to achieve permanency including concurrent planning, relative search, and community supports*
- *assessment of the adequacy of existing services, including cultural and linguistic needs*
- *any need for a change in services in order to promote the well-being of the family and/or children*
- *assessment of the Department's efforts to engage the family, and the family's willingness and capacity to engage in their own treatment*
- *determination of the necessity for implementing any legal action*
- *the development of a work-plan, as necessary, to guide and reinforce necessary and timely actions expected by the Social Worker."*

Supervisory Responsibility for Case Management

It is the Area Office Social Work Supervisor's responsibility to:

- *implement all necessary systems to assure that he/she is knowledgeable of both quantitative and qualitative aspects of his/her Social Workers' performance*
- *take necessary action, in consultation with management, to establish a plan of remediation for performance that does not meet existing standards."*

Using this policy outlined above, and knowing the importance of supervision; rank the overall supervision reflected in the case record on a scale of 1 through 4; with a "1" indicating supervisory oversight non-existent or adverse to social worker's efforts during the period, through a "4" indicating supervision reflecting timely and thoughtful oversight of the worker's case management efforts throughout the period which assisted in the achievement of the permanency goal.

Reviewers found the quality of supervision related to these 48 cases to be an area of strength in 89.6% of the cases reviewed. Supervision in the last six months was found to be good in 75.0% and excellent for 14.6% of the cases. In five of the cases, reviewers found supervision to be lacking and scored the supervision to be in the poor range. In no instances, was the supervision found to be in the absent or adverse quality range. The positive comments predominantly identified consistency in holding the conferences, identification of barriers or needs and actions to alleviate them, reminders to engage collaterals and case participants. Deficits generally pointed to lack of documentation or follow up to identified issues.

The review sought to measure engagement with three parties: parents, the child, and the relative who assumed the guardianship. The following tables provide the feedback on those questions. Formal family conferencing with all parties, and case planning meetings with individual participants were all explored. While formal conferencing does not appear to be utilized, there is evidence that the case planning efforts for Outcome Measure 3 are having an impact as outreach to case participants was documented in relation to the TOG goal in the majority of the cases. Family Conferencing was utilized in 10.4% of the cases.

Table 8: Is there evidence in the most recent six month case planning engagement that FAMILY CONFERENCING was attempted by DCF in working with the parent/guardian from whom this child was removed to successfully achieve the permanency goal for this child?

| | | Frequency | Percent | Valid Percent |
|-------|--------------|-----------|---------|---------------|
| Valid | Yes | 5 | 10.4 | 10.4 |
| | No | 43 | 89.6 | 89.6 |
| | Total | 48 | 100.0 | 100.0 |

Case meetings with the parent or guardian from whom the child was removed were documented in 81.3% of the cases.

Table 9: Is there evidence in the most recent six month case planning engagement that CASE PLANNING MEETINGS were held during home visits with the parent/guardian from whom this child was removed to successfully achieve the permanency goal for this child?

| | | Frequency | Percent | Valid Percent |
|-------|--------------|-----------|---------|---------------|
| Valid | Yes | 39 | 81.3 | 81.3 |
| | No | 9 | 18.8 | 18.8 |
| | Total | 48 | 100.0 | 100.0 |

There is evidence of active case planning and engagement activities with the relative guardian in 97.9% of the cases.

Table 10: Is there evidence in the most recent six months planning that engagement activities were attempted by DCF in working with the identified permanent resource to whom this child's guardianship was to be transferred to successfully achieve the goal?

| | | Frequency | Percent | Valid Percent |
|-------|--------------|-----------|---------|---------------|
| Valid | Yes | 47 | 97.9 | 97.9 |
| | No | 1 | 2.1 | 2.1 |
| | Total | 48 | 100.0 | 100.0 |

The child had documented engagement in case planning in the six months prior to TOG (where applicable) in 92.9% of the cases.

Table 11: Is there evidence in the most recent six months planning that engagement activities were attempted by DCF in working with the child to successfully achieve the goal for this child?

| | | Frequency | Percent | Valid Percent |
|-------|--|-----------|---------|---------------|
| Valid | Yes | 26 | 54.2 | 54.2 |
| | No | 2 | 4.2 | 4.2 |
| | N/A - given the child's age, condition or level of functioning | 20 | 41.7 | 41.7 |
| | Total | 48 | 100.0 | 100.0 |

Thirty of the children (62.5%) received subsidy. Documentation in the LINK electronic records in regard to the specifics of the subsidy was not clear in the majority these cases. In nine of eleven cases in which Aftercare services were identified as a need, the record documented that DCF arranged for such services. In one case, the family was subsequently identified as the barrier to the receipt of the service.

In two instances, the Court decided to grant guardianship contrary to DCF recommendations. Of the 48 cases reviewed the reviewers opined that 89.6% of the TOG were in the best interest of the children. One of these cases was a case granted contrary to DCF recommendations. Four others were questioned. Some examples:

- A case of a ten month old sent out of state to the paternal grandparents after only six months in care. The parents were receiving services and were partially compliant. The reviewer felt more time could have been attempted for reunification as now the parent/child bond is broken. Future reunification efforts are highly unlikely.
- A case of a newborn, in which the reviewer indicated that adoption, is a preferred goal but it was not fully explored with MGM who asked for TOG in hopes that the mother improves. This outcome is highly unlikely given history.
- In one of the cases in which the Department also had the shared concerns of the reviewer and TOG was contrary to DCF recommendations. The Court vested custody just four months after removal. Then only 2 months later, transferred guardianship. This case only had 3 months of reunification efforts.

The reviewers were asked not only to rate the supervision, as noted before, but also to rate the overall case practice of DCF during the full placement episode that ended with the child's TOG. For the 48 children in this universe during the 2nd quarter, the DCF case practice was ranked as a strength in 75.0% of the cases (68.8% ranked Good, 6.3% Optimal) and an Area Needing Improvement in 25.0% of the cases with 12 of the cases scored marginal. No cases were deemed adverse.

Overall, while there were some issues with the automated data collection that need to be monitored, as it appears that some revocations may be incorrectly being filtered into this

universe, the Monitor's Office finds that the quantity and quality of social work related to this area of the Exit Plan has met the 70% requirement consistently, however the documentation does not always reflect case practice consistent with the outlined case practice standards identified (documentation being cited in the majority of the 25% of the cases scoring marginal). A continued focus on documentation both supervisory and by the assigned social worker related to the assessment of and ongoing efforts to address barriers to TOG and aftercare planning should continue to be a focus. Consideration of improvements to the documentation of the subsidy in the automated record may be warranted as currently much of this information is available only in hard copy format.

Third Quarter 2011 Outcome Measure 9 Pre-Certification Review Findings

- **DCF ROM Reported in Third Quarter 2011: 83.6%**
- **Review Findings: 86.2%**

While it is clear that the agency has met the measure, with rates above the requirement for many reporting periods, upon review there seems to be minor issues with the reporting mechanisms. At the time of reporting on the Third Quarter 2011 findings, the agency reported a performance of 83.6% compliance via the ROM/LINK reporting for 70 children that had TOG during the period. The same current automated online reporting now indicates that the DCF met the benchmark with a performance of 81.4%. Due to the live nature of the ROM data, it is believed that corrections or additions to legal status and permanency icons have changed the database related to some children since we pulled the sample in January 2012.

As identified in the Second Quarter review, we found that of those 70 children identified in the initial universe for the Third Quarter, the number of children with a TOG during the quarter was slightly less, with 65 children actually exiting the custody of DCF through TOG versus other discharge or timeframe. This full population of 65 was reviewed. 56 of the 65 children did have a timely TOG (within 24 months of entry). This total identified by reviewers' assessment in this pre-certification review is consistent with the total number of cases identified as meeting the measure in LINK once the five cases were eliminated that did not meet the criteria for inclusion. This rate would indicate a higher compliance rate than the 83.6% reported by DCF, or even the reporting now displayed in ROM. This total is 86.2% compliance. Per our findings, regionally, the compliance requirement of 70% was achieved within all regions as follows:

Crosstabulation 4: DCF Region * Did guardianship occur within 24 months of the child's entry into DCF custody?

| DCF Region | | Did guardianship occur within 24 months of the child's entry into DCF custody? | | |
|-------------------|---------------------|--|-------|--------|
| | | Yes | No | Total |
| Region I | Count | 7 | 3 | 10 |
| | % within DCF Region | 70.0% | 30.0% | 100.0% |
| Region II | Count | 12 | 2 | 14 |
| | % within DCF Region | 85.7% | 14.3% | 100.0% |
| Region III | Count | 10 | 0 | 10 |
| | % within DCF Region | 100.0% | .0% | 100.0% |
| Region IV | Count | 12 | 2 | 14 |
| | % within DCF Region | 85.7% | 14.3% | 100.0% |
| Region V | Count | 9 | 2 | 11 |
| | % within DCF Region | 81.8% | 18.2% | 100.0% |
| Region VI | Count | 6 | 0 | 6 |
| | % within DCF Region | 100.0% | .0% | 100.0% |
| Total | Count | 56 | 9 | 65 |
| | % within DCF Region | 86.2% | 13.8% | 100.0% |

Having reviewed the entire universe of completed transfer of guardianships throughout the quarter, our review found that Waterbury Superior Court for Juvenile Matters processed the most transfer of guardianships, accounting for 24.6% of the total completed in the quarter (N=65).

Crosstabulation 5: What court finalized the adoption? * Did the LINK reporting identify that child met Outcome Measure 9 - That is achieving permanency through TOG in less than 24 months from entry into DCF placement?

| What court finalized the adoption? | Did the LINK reporting identify that child met Outcome Measure 9 - That is achieving permanency through TOG in less than 24 months from entry into DCF placement? | | |
|------------------------------------|---|----------|-----------|
| | Yes | No | Total |
| SCJM-Waterbury | 14 | 2 | 16 |
| SCJM-New Haven | 8 | 2 | 10 |
| SCJM-Bridgeport | 7 | 3 | 10 |
| SCJM-Hartford | 7 | 1 | 8 |
| SCJM-Middletown | 6 | 0 | 6 |
| SCJM-Rockville | 5 | 1 | 6 |
| SCJM-Waterford | 4 | 0 | 4 |
| SCJM-New Britain | 3 | 0 | 3 |
| SCJM-Willimantic | 2 | 0 | 2 |
| SCJM-Danbury | 0 | 0 | 0 |
| SCJM-Manchester | 0 | 0 | 0 |
| SCJM-Torrington | 0 | 0 | 0 |
| Total | 56 | 9 | 65 |

Demographics

Our pre-certification review of the Third Quarter TOG includes the universe of children having a TOG achieved during the quarter, and contains children placed as long ago as March 27, 1998 and as recently as August 24, 2011; with the median placement date of calculated as April 28, 2011. The cohort is 47.7% male (n=31) and 52.3% female (n=34). This was the first placement episode for 57 children, or 87.7% of the cohort. Of the eight children with prior placement episodes, one child had experience one prior episode. One child had experienced four prior episodes.

The majority of the cohort, 70.8%, had been placed for more than half of this placement episode with the in-state licensed relative foster parent that assumed guardianship. Of the remaining group, 18.5 % (n=12) spent the majority of their placement in a non-relative DCF foster placement, four children were placed with an out of state relative foster parent, two children (3.1%) spent the majority of the placement episode in a residential setting, and one child spent the majority of time in a temporary shelter placement (1.5%).

32 of the 65 children (49.2%) experienced only one placement during the episode, with guardianship transferred to that resource. The range of placements recorded, as shown in Table 12 below is one through 18 placements. The average number is two placements.

Table 12: How many placements did this child experience prior to TOG?

| Placements | Frequency | Percent | Cumulative Percent |
|------------|-----------|---------|--------------------|
| 1 | 32 | 49.2% | 49.2% |
| 2 | 18 | 27.7% | 76.9% |
| 3 | 7 | 10.8% | 87.7% |
| 4 | 2 | 3.1% | 90.8% |
| 5 | 1 | 1.5% | 95.4% |
| 6 | 1 | 1.5% | 96.9% |
| 9 | 1 | 1.5% | 98.5% |
| 18 | 1 | 1.5% | 100.0% |

The children within this universe were identified as White in 56.9% cases reviewed. Ethnicity within that majority group was almost equally identified as Hispanic an Non-Hispanic (48.6% and 45.9% respectively) with two children having "unknown" as their identified ethnicity (5.4%). Black/African American children accounted for 32.3% of the universe and were largely identified as Non-Hispanic (76.2%). The full racial and ethnic make-up of the cohort is displayed in the Crosstabulation below:

Crosstabulation 6: Child's Race * Child's Ethnicity

| Child's Race | | Child's Ethnicity | | | |
|--|----------------------------|-------------------|--------------|---------|--------|
| | | Hispanic | Non-Hispanic | Unknown | Total |
| Black/African American | Count | 2 | 16 | 3 | 21 |
| | % within Child's Race | 9.5% | 76.2% | 14.3% | 100.0% |
| | % within Child's Ethnicity | 9.5% | 41.0% | 60.0% | 32.3% |
| White | Count | 18 | 17 | 2 | 37 |
| | % within Child's Race | 48.6% | 45.9% | 5.4% | 100.0% |
| | % within Child's Ethnicity | 85.7% | 43.6% | 40.0% | 56.9% |
| Multiracial (more than one race selected) | Count | 1 | 6 | 0 | 7 |
| | % within Child's Race | 14.3% | 85.7% | 0.0% | 100.0% |
| | % within Child's Ethnicity | 4.8% | 15.4% | 0.0% | 10.8% |
| Total | Count | 21 | 39 | 5 | 65 |
| | % within Child's Race | 32.3% | 60.0% | 7.7% | 100.0% |
| | % within Child's Ethnicity | 100.0% | 100.0% | 100.0% | 100.0% |

There was clear documentation in 63 case records or 96.9% of the cases that the social worker communicated with the family in their preferred primary language or had taken the necessary steps to secure a translator/interpreter as needed for visits and translation of documents relation to case planning during the period.

Twenty-six children were identified as mainstream education students (40.0%), four were special education students (6.2%), and three children were identified as having 504 protection status (4.6%). Three children were enrolled in a Head Start pre-school program

(4.6%). Five children were receiving Birth to 3 services (7.7%). Twenty-four children (36.9%) were too young for Kindergarten enrollment and there was no documentation that they required/were enrolled in Birth to 3 or Head Start. Of the four children identified as special education students, one child had an outdated IEP and no current PPT documented prior to the TOG.

Reviewers identified findings from the investigations leading to placement. Reasons for the entry into care varied and could include multiple issues for each child at the time of placement. Below is a table of those identified reasons.

Table 13: Child's Reasons for Entry into Care Preceding TOG

| Reason Identified | Frequency | % Children Impacted by this Reason |
|--|-----------|------------------------------------|
| Substantiated Neglect | 54 | 83.1% |
| Parent/Guardian's Substance Abuse | 37 | 56.9% |
| Parent/Guardian's Mental Health | 16 | 24.6% |
| Parent/Guardian's Incarceration | 9 | 13.8% |
| Housing | 8 | 12.3% |
| Domestic Violence | 5 | 7.7% |
| Substantiated Abuse | 5 | 7.7% |
| Child's Mental Health, Behavioral Health, Substance Abuse (Needs beyond caretaker's ability) | 3 | 4.6% |
| Abandonment | 2 | 3.1% |
| Parent/Guardian's Death | 2 | 3.1% |
| Criminal History/Activity | 1 | 1.5% |
| History regarding other children (similarly situated) | 1 | 1.5% |
| Unsubstantiated Physical Neglect | 1 | 1.5% |

Of those children with TOG during the Third Quarter 2011, there were six children, who as of the date of review in the First Quarter 2012, were an active case participant in an Ongoing Services case. All six children were participants to a Child Protective Services case. One of the six children had come back into placement two months after the TOG via an Administrative Hold due to safety concerns identified by DCF and at the request of the biological mother who still had a relationship with her infant child and who had identified a former foster parent whom she felt may be a more appropriate resource. This placement was in fact secured for the child who is placed with this resource, currently identified with the legal status committed/abuse/neglect/uncared for. It is unfortunate that the infant's young mother has since passed away. The father was recently identified through paternity testing and the Department is researching paternal resources for possible permanency.

Again as in the prior quarter, there were children were placed under protective supervision upon the TOG to ensure safety and well being. Reviewers questioned why these two children remained as open case participants in the mother's case rather than the PS being identified for a child under the newly established guardian.

Findings Related to Third Quarter 2011 Transfer of Guardianship

As part of the process, reviewers established the timeframe upon which DCF identified the permanent resource for the child after case open. Unlike the second quarter, in which data collected found that most frequently the resource was identified prior to or within days of the child coming into care, the Third Quarter data had the most frequently

reported timeframe of 3 months from date of placement (9 children or 13.9%). The range for identification of the resource within the cohort was zero months (prior to entry or within days of the placement) to 156 months. The median length of time to identify the resource was six months.

Table 14: How many months after the most recent entry into DCF Custody was the guardian identified as the permanent resource?

| # Months | Frequency | Percent | Cumulative Percent |
|--------------|-----------|---------|--------------------|
| 0 | 6 | 9.2 | 9.2 |
| 1 | 8 | 12.3 | 21.5 |
| 2 | 2 | 3.1 | 24.6 |
| 3 | 9 | 13.8 | 38.5 |
| 4 | 1 | 1.5 | 40.0 |
| 5 | 2 | 3.1 | 43.1 |
| 6 | 7 | 10.8 | 53.8 |
| 7 | 1 | 1.5 | 55.4 |
| 8 | 2 | 3.1 | 58.5 |
| 9 | 5 | 7.7 | 66.2 |
| 10 | 4 | 6.2 | 72.3 |
| 11 | 2 | 3.1 | 75.4 |
| 12 | 6 | 9.2 | 84.6 |
| 13 | 2 | 3.1 | 87.7 |
| 14 | 1 | 1.5 | 89.2 |
| 16 | 2 | 3.1 | 92.3 |
| 21 | 1 | 1.5 | 93.8 |
| 26 | 1 | 1.5 | 95.4 |
| 28 | 1 | 1.5 | 96.9 |
| 56 | 1 | 1.5 | 98.5 |
| 156 | 1 | 1.5 | 100.0 |
| Total | 65 | 100.0 | |

The range of dates for placement with the identified TOG resource spanned from September 2, 2009 through September 27, 2011. The average date for placement with the permanent resource amongst this cohort is November 1, 2010.

Most frequently the identified relative was a maternal grandparent (43.1%). See the table below for other relatives providing guardianship resource during this quarter.

Table 15: What is the relationship of the guardian(s) that obtained TOG to the child in the review sample?

| Identified TOG Resource | Frequency | Percent | Cumulative Percent |
|---------------------------|-----------|---------------|--------------------|
| Maternal grandparent(s) | 28 | 43.1% | 43.1% |
| Paternal grandparents | 11 | 16.9% | 60.0% |
| Maternal aunt or uncle | 10 | 15.4% | 75.4% |
| Other maternal relative | 10 | 15.4% | 90.8% |
| Paternal aunt or uncle | 3 | 4.6% | 65.4% |
| Other paternal relative | 2 | 3.1% | 98.5% |
| Friend to child or parent | 1 | 1.5% | 100.0% |
| Total | 65 | 100.0% | |

Reviewers also identified for how long Transfer of Guardianship was the established goal for the child. For 50.0% of the children within the universe, the goal was officially in effect 9 months from date of entry into care. The range in identification of TOG as the official goal spanned from less than one month (5 children) to 156 months (1 child).

Barriers to achievement of the timely transfer of guardianship for the identified child were collected throughout the review process. Of the nine cases not achieving the measure, a total of 14 barriers were identified as contributing to the delay. Several cases presented with multiple barriers. Please note that the percentage reported below is the based upon the total number of barriers, not the nine cases failing to meet the measure.

Table 16: Barriers to Achievement of the Transfer of Guardianship Measure

| Barrier | Frequency | Percent |
|--|-----------|---------------|
| DCF Case Management | 4 | 28.6% |
| ICPC or Private Agency | 3 | 21.4% |
| Child's Deterioration - Higher Level of Care Required | 2 | 14.3% |
| Placement Disruption Due to Child's Behavior | 2 | 14.3% |
| Court Decisions (DCF approved plan of LTFC) | 1 | 7.1% |
| Lack of Identified Family Relative | 1 | 7.1% |
| Reunification had been goal for significant part of case - mother died during trial home visit and child re-entered care and required TOG. | 1 | 7.1% |
| Total | 14 | 100.0% |

In 41 of the 65 cases (63.1%), documentation reflected that other goals such as reunification or adoption had been thoroughly explored and ruled out in favor of transfer of guardianship.

The review found that 72.3% of the records had supervisory conference narrative entries by the SWS in relation to safety and stability for the identified child within the six months leading up to the transfer of guardianship. That being said, reviewers found that of the cases with barriers identified, only 42.6% of those 47 cases included clear ongoing directives on how to proceed with the case in order to minimize the identified risks or issues raised. This is not to say that actions were not taken on behalf of the child and family assuming guardianship, but that these steps and dialogues with the family and children were not always well documented in the supervisory narratives. In three cases,

the reviewers indicated that there appeared to be risk factors clearly identifiable in the six months worth of social worker's narrative entries prior to TOG that were not addressed adequately prior to the TOG.

Overall supervision of the cases was assessed by the reviewers based on the following directions:

Compare the documented supervisory practice with standards set out in Supervisory Conference Policy 31-7-1.2, and your knowledge of best practices in child welfare supervision.

Policy 31-7-1.2

The purpose of supervision is to provide guidance and case direction to Area Office Social Workers to assure progress toward case goals, and the appropriate and timely delivery of services to the families and children served by DCF, in accordance with the provisions of their Treatment Plan.

Area Office Social Work Supervisors must:

- *document the steps necessary to achieve permanency on each case under their supervision*
- *know the quantitative aspects of the service delivery of Social Workers including, specifically, the frequency of contact by workers with their cases*
- *document and approve the plan for Social Workers' contacts for each case under their supervision*
- *have knowledge of the service plan for the family and assure that services are delivered in accordance with the plan.*

Supervisory Conferences

Social Work Supervisors shall conduct regular, consistent supervision so that each case under their purview has a documented supervisory conference a minimum of once each month.

The supervisory conference discussions shall include, but not be limited to, the following topic areas:

- *safety and risk assessment*
- *steps necessary to achieve permanency including concurrent planning, relative search, and community supports*
- *assessment of the adequacy of existing services, including cultural and linguistic needs*
- *any need for a change in services in order to promote the well-being of the family and/or children*
- *assessment of the Department's efforts to engage the family, and the family's willingness and capacity to engage in their own treatment*
- *determination of the necessity for implementing any legal action*
- *the development of a work-plan, as necessary, to guide and reinforce necessary and timely actions expected by the Social Worker."*

Supervisory Responsibility for Case Management

It is the Area Office Social Work Supervisor's responsibility to:

- *implement all necessary systems to assure that he/she is knowledgeable of both quantitative and qualitative aspects of his/her Social Workers' performance*
- *take necessary action, in consultation with management, to establish a plan of remediation for performance that does not meet existing standards."*

Using this policy outlined above, and knowing the importance of supervision; rank the overall supervision reflected in the case record on a scale of 1 through 4; with a "1" indicating supervisory oversight non-existent or adverse to social worker's efforts during the period, through a "4" indicating supervision reflecting timely and thoughtful oversight of the worker's case management efforts throughout the period which assisted in the achievement of the permanency goal.

Reviewers found the quality of supervision related to these 65 cases to be an area of strength in 84.6% of the cases reviewed. Supervision in the last six months was found to be good in 69.2% and excellent for 15.4% of the cases. In eight of the cases, reviewers found supervision to be lacking and scored the supervision to be in the poor range. In two instances, supervision was identified in a negligible quality range. The positive comments predominantly identified consistency in holding the conferences, identification of barriers or needs and actions to alleviate them, reminders to engage collaterals and case participants. Some spoke to supporting the worker, and keeping a focus on the goal. Deficits generally pointed to lack of documentation, "cut and paste" narratives of little insight or relevance to current case issues, and/or lack of follow up to identified issues.

The review sought to measure engagement with three parties: parents, the child, and the relative who assumed the guardianship. The following tables provide the feedback on those questions. Formal family conferencing with all parties, and case planning meetings with individual participants were all explored. While formal conferencing does not appear to be utilized, there is evidence that the case planning efforts for Outcome Measure 3 are having an impact as outreach to case participants was documented in relation to the TOG goal in the majority of the cases. Family Conferencing was utilized in 10.8% of the cases.

Table 17: Is there evidence in the most recent six month case planning engagement that FAMILY CONFERENCING was attempted by DCF in working with the parent/guardian from whom this child was removed to successfully achieve the permanency goal for this child?

| | | Frequency | Percent | Valid Percent |
|--------------|--------------|-----------|---------|---------------|
| Valid | Yes | 7 | 10.8 | 10.8 |
| | No | 58 | 89.2 | 89.2 |
| | Total | 65 | 100.0 | 100.0 |

Case meetings with the parent or guardian from whom the child was removed were documented in 72.3% of the cases.

Table 18: Is there evidence in the most recent six month case planning engagement that CASE PLANNING MEETINGS were held during home visits with the parent/guardian from whom this child was removed to successfully achieve the permanency goal for this child?

| | | Frequency | Percent | Valid Percent |
|-------|--------------|-----------|---------|---------------|
| Valid | Yes | 47 | 72.3 | 72.3 |
| | No | 18 | 27.7 | 27.7 |
| | Total | 65 | 100.0 | 100.0 |

There is evidence of active case planning and engagement activities with the relative guardian in 93.8% of the cases.

Table 19: Is there evidence in the most recent six months planning that engagement activities were attempted by DCF in working with the identified permanent resource to whom this child's guardianship was to be transferred to successfully achieve the goal?

| | | Frequency | Percent | Valid Percent |
|-------|--------------|-----------|---------|---------------|
| Valid | Yes | 61 | 93.8 | 93.8 |
| | No | 4 | 6.2 | 6.2 |
| | Total | 65 | 100.0 | 100.0 |

The child had documented engagement in case planning in the six months prior to TOG (where applicable) in 85.7% of the cases.

Table 20: Is there evidence in the most recent six months planning that engagement activities were attempted by DCF in working with the child to successfully achieve the goal for this child?

| | | Frequency | Percent | Valid Percent |
|-------|--|-----------|---------|---------------|
| Valid | Yes | 24 | 36.9 | 85.7 |
| | No | 4 | 6.2 | 100.0 |
| | N/A - given the child's age, condition or level of functioning | 37 | 56.9 | |
| | Total | 65 | 100.0 | |

Forty-nine of the children (75.4%) received subsidized TOG. Documentation in the LINK electronic records in regard to the specifics of the subsidy was not clear in the majority these cases. In six of ten cases in which Aftercare services were identified as a need, the record documented that DCF arranged for such services. In one case, the family was identified as the barrier to the receipt of the service.

In two instances, the Court decided to grant guardianship contrary to DCF recommendations. Of the 65 cases reviewed the reviewers opined that 89.2% of the TOG were in the best interest of the children. Two of these cases were the cases granted contrary to DCF recommendations. Five others were questioned:

- In one of the cases which was granted contrary to DCF recommendations, there was a 13year old who had been in relative foster placement for two and a half years. Long term foster care with that relative was the approved permanency plan. Grandparent's attorney and child's attorney petitioned court for TOG. Grandparents were questionable caretakers who often refused to cooperate with DCF. They continued to allow unsupervised contact between child and his mother and father. They continually undermined his placement with maternal aunt and uncle. Therapist did not feel it was in child's best interest, DCF also didn't feel it was in child's best interest but an agreement was reached in court based on child's age and desire to live with MGPs and child had TOG to those grandparents.
- Two month old had been in care prior and returned to DCF per court order. Only in care one month before mother's attorney filed straight TOG over DCF objections. Protective supervision was put in place. This placement ended up disrupting less than two months later, when child was just 4 months old.
- A child in placement for ten months. His maternal grandmother was identified as the resource at six months. There was no movement and then just placed with no transitional planning. Social work was not engaging with mother toward reunification in the months prior.
- In one case the reviewer found that the documentation provided so little assessment of home as long term resource that she could not determine the level of safety and well being that was present.
- For one child, although permanency was achieved with appropriate family, there was very little opportunity provided to the biological parents toward reunification.
- In the case of a young child, with poor chance of reunification or rehabilitation of parents with chronic issues, it was not clear why adoption not pursued. Maybe there was a legal consultation and work with the resource family that explored this, but it was not clear.
- While the TOG to very appropriate paternal grandparents may in the long run have been the most appropriate plan for a newborn child, it seems as if this TOG was rushed.

The reviewers were asked not only to rate the supervision, as noted before, but also to rate the overall case practice of DCF during the full placement episode that ended with the child's TOG. For the 65 children in this universe during the Third Quarter, the DCF case practice was ranked as a strength in 73.9% of the cases (53.8% ranked Good, 20.0% Optimal) and an Area Needing Improvement in 26.2% of the cases with 11 of the cases scored marginal and 6 cases scoring poor. No cases were deemed adverse.

As with the second quarter there were some issues with the automated data collection that need to be monitored, as it appears that some revocations may be incorrectly being filtered into this universe, overall the Monitor's Office finds that the quantity of work related to this area of the Exit Plan has met the 70.0% requirement consistently.

Reviewers indicated that while the majority of the quality of work was often of a good standard (70.0%), the documentation did not always reflect case practice consistent with the practice standards, which is why the overall case practice scores reflected 20% of the cases scoring in the optimal range and 26.2% were in the combined lower ranges of marginal and poor. A continued focus on documentation both supervisory and by the assigned social worker related to the assessment of and ongoing efforts to address barriers to TOG and aftercare planning should continue to be a focus. This is was also the conjecture in relation to some of the Social Work Supervisory oversight. One may have gotten the sense that more was being provided, yet the documentation in 15.4% of the cases reflected marginally or poorly on the level of supervision during the period. Again, consideration of improvements to the documentation of the subsidy in the automated record may be warranted as currently much of this information is available only in hard copy format.

Appendix 4
Outcome Measure 22
Pre-Certification Review - Multidisciplinary
Examinations (MDEs)

Outcome Measure 22: Pre-Certification Review: Multidisciplinary Examinations (MDEs)

Overview

Outcome Measure 22 requires that “at least 85% of the children entering the custody of DCF for the first time shall have an MDE conducted within 30 days of placement.”

The Monitor’s Office qualitatively reviews compliance with Outcome Measure 22 as a component of the quarterly Outcome Measure 15 review. Additionally, the Court Monitor reviews and analyzes the Department’s quarterly automated data. This measure has been successfully met for the last 27 consecutive quarters as of this quarterly reporting.

The OM22 reporting mechanism has proven to routinely be highly accurate, with minor errors due to data entry. Query logic may need to be revisited in light of the inclusion of a committed delinquent child in the First Quarter 2012 population to ensure that this cohort is accurately being routinely excluded from the *Juan F.* reporting. Given the fact that Outcome Measure 15 (Needs Met) addresses the issue, a qualitative component is not part of the requirement for OM 22. However, the parties did agree to the inclusions of questions related to the quality of the documentation and timeliness of the data entered by the ARG. The quality and timeliness are significant given that they are directly related to the availability of MDE findings and recommendations for the child's case planning conference and initial case plan 45 days upon entry into care.

In light of the findings based on the methodology outlined herein, the **Monitor's Office pre-certifies that OM22 is met given the 95.0% and 91.8% respective findings for the Fourth Quarter 2011 and First Quarter 2012; and the consistency with which this measure has been met and reported on over the last 27 quarters.** Further, of the 17 children who did not receive an MDE within 30 days, but for which an MDE was required during this period of review 100.0% received the required examination with an average length to MDE of 44.4 days. It is important to note that the initial baseline findings for this measure established in 2004 found only 5.6% of the children receiving this service.

The sample methodology looks only at the negative sub-population but within that population there was a 50% rate of non-compliance for documentation of the MDE within the case narrative by the time of the initial case planning conference and approval of the case plan. However, caution should be taken in applying this percentage to the full population. It is our belief given our extensive reviewing activities that this is a finding associated with the negative cohort ("MDE Not Met") and that the experience of those in the "MDE Met" may differ. Should the parties decide to pursue this issue at a later date further review of the "MDE Met" subset can also be investigated for comparison.

Methodology

A qualitative record review is not required for this Outcome Measure. However, by agreement of the Court Monitor and *Juan F.* parties for the Pre-Certification process, the Court Monitor’s Office conducted a LINK record review of the data for two quarters worth of cases identified through the Results Oriented Management (ROM) reports as

non-compliant. Narratives, medical icons and treatment plan documentation were researched in an effort to establish barriers to compliance.

On September 7, 2012 the Court Monitor accessed the Department's reporting and identified that for the two quarter calendar period time period of October 1, 2011 through March 31, 2012 there were a total of 508 children who were identified by the Department's ROM reporting as first time *Juan F.* population entrants in the custody of DCF thus requiring the MDE during this time period. Of this total, 482 children, or 94.9% of the population were identified as having the MDE completed within the 30 day requirement. In all, 26 children were identified as not having this need met within the specified timeframe. Seventeen of the children were entrants requiring MDE in the Fourth Quarter 2011 and nine required MDE in the First Quarter 2012.

**Table 1: DCF Reporting by Unit View for Multi-Disciplinary Exam EP#22
10/1/2011-3/31/2012 (Standard: MDE Completed in 30 Days Statewide)**

| Area Office | MDE Met | % Met | MDE Not Met | % Not Met | MDE Total |
|-------------------------|-----------|--------------|-------------|-------------|-----------|
| Bridgeport | 26 | 89.7% | 3 | 10.3% | 29 |
| Danbury | 16 | 94.1% | 1 | 5.9% | 17 |
| Hartford | 75 | 96.2% | 3 | 3.8% | 78 |
| Manchester | 30 | 90.9% | 3 | 9.1% | 33 |
| Meriden | 19 | 95.0% | 1 | 5.0% | 20 |
| Middletown | 23 | 95.8% | 1 | 4.2% | 24 |
| Milford | 27 | 93.1% | 2 | 6.9% | 29 |
| New Britain | 33 | 97.1% | 1 | 2.9% | 34 |
| New Haven | 41 | 93.2% | 3 | 6.8% | 44 |
| Norwalk/Stamford | 26 | 92.9% | 2 | 7.1% | 28 |
| Norwich | 57 | 98.3% | 1 | 1.7% | 58 |
| Torrington | 21 | 91.3% | 2 | 8.7% | 23 |
| Waterbury | 38 | 95.0% | 2 | 5.0% | 40 |
| Willimantic | <u>50</u> | <u>98.0%</u> | <u>1</u> | <u>2.0%</u> | <u>51</u> |
| Statewide | 482 | 94.8% | 26 | 5.2% | 508 |

Review Findings

The review of the LINK records of the 26 children who were identified as not meeting the measure across these two quarters of measurement found that in fact, seven children did actually meet the requirements of the MDE timing requirement per policy. Further, two children were not subject to the MDE reporting requirement, as one child was committed delinquent, and therefore not a *Juan F.* class member and the second child was in the custody of the DCF for only 10 days during the quarter as the OTC was vested in the MGM at the 10 day hearing (we note however that this child has subsequently come back into DCF custody in the second quarter 2012 and has not had the MDE.) Thus, the scores for the quarters identified were slightly higher than reported by the Department in Fourth Quarter and First Quarters.

- Fourth Quarter 2011 Score Reported by DCF: 282 of 302 children or 93.4%
- **Fourth Quarter 2011 Score Adjusted by Court Monitor's Pre-Certification Review Findings (5 children having received timely MDE): 95.0%**

- First Quarter 2012 Score Reported by DCF: 189 of 210 children or 90.0%
- **First Quarter 2012 Score Adjusted by Court Monitor's Pre-Certification Review Findings (2 exclusions and 2 children having achieved timely MDE): 91.8%**

As with our prior findings related to a review of OM22 in the *Juan F. v Rell 2006 Comprehensive Targeted Review* dated September 24, 2007 we reiterate that it appears there continues to be inconsistencies in the formats in use for MDE examinations as well as the individual ARG written recommendations. Basic well-child medical, dental and immunization schedules are well documented. But the focus on mental health, developmental, behavioral and substance abuse, educational, gynecological, vision and hearing, as well as special needs for individual clients are not documented in similar fashion. Expectations related to timelines and services by a provider are included by some ARG while others appeared to be more vaguely written, or were not included in narrative at all. Timeliness of entry is also an issue in the subsample reviewed.

- Of the 24 cases reviewed (recalling two were exempt) 12 or 50.0% had LINK narratives available to the ACR Social Work Supervisor and Area Office staff in LINK at the time of the first child in placement case conference (CPC) prior to the 45-day juncture to develop the first case plan.
- Of the 17 children that actually did not have timely MDEs, family arrangements with a relative that subsequently became licensed foster parents to obtain departmental supports, accounted for eight cases or (47.1%) of the population. This percentage indicated a trend worth mentioning for consideration of the Department, as the Department is moving forward proactively to increase the number of family arrangements. This finding could be indicative of some underlying technical or case management issue that will increase the number of delinquent MDE. The Court Monitor fully supports the use of family caretakers, but strongly urges the need to ensure that children's needs are identified timely and planned for in an informed way prior to the initial Child in Placement case plan and Case Planning Conference (CPC). Often, and as we are beginning to see in our OM3 and OM15 reviews, an increasing number of in-home cases are actually relative family arrangements that are more akin to foster care without the formal designation of foster care. The relatives in some cases quickly recognize that they require additional support, in terms of case management, community based service and/or financial assistance. Often they do not have a clear understanding of the child's medical, dental, behavioral, mental health, or educational issues to ensure that these areas can be addressed adequately. These needs may then go unassessed/unmet until after the relative family is licensed - several months after the child has been unofficially in their care, waiting until legal custody and placement occur (triggering the MDE).

- All 17 children who did not receive an MDE within 30 days, but for which an MDE was required during this period of review did receive the required examination. The range in time frames to receipt was 13 to 110 days, with an average length of time to MDE of 44.4 days. In one situation LINK indicated a barrier to receipt of a timely MDE due to a child's brief psychiatric hospitalization. An alternate provider was sought to provide the timeliest appointment available but it was just outside the 30 day window. While the MDE might have been undertaken for all, the other case records had no reference within the write up or narrative to the MDE being untimely or the need to incorporate issues into case planning outside the scope of the CPC.
- ARG staff writing the recommendations were not included in attendance at the CPC. This was true even in the two cases identified as Medically Complex children. Our OM3 and OM15 reviews find that ARG attendance is rare at CPC or ACR, even when recommendations may be comprehensively written, or related to significantly complex matters. This may be an area for improved case practice in follow through related to not only the MDE recommendations, but for the overall meeting of priority needs (OM15).
- Region V seemed to have the greatest difficulty in regard to entry of the MDE during this period. Of the five cases reviewed, four met the measure but due to data entry issues were not captured accurately by the ARG in the LINK data field. In some regions the ARG identified the date of referral to the provider as well as the date of examination within the write up. This documentation effort may be helpful to replicate in other regions for future quality assurance efforts.

Table 2: Court Monitor's Pre-Certification Review Findings -Revised Reporting Unit View for Multi-Disciplinary Exam EP#22 10/1/2011-3/31/2012 (Standard: MDE Completed in 30 Days Statewide)

| Area Office | MDE Me | % Me | MDE Not Me | % Not Me | MDE Total |
|------------------|--------|--------|------------|----------|-----------|
| Bridgeport | 20 | 92.9% | 1 | 7.1% | 21 |
| Danbury | 16 | 94.1% | 1 | 5.9% | 17 |
| Hartford | 73 | 96.2% | 3 | 3.8% | 76 |
| Manchester | 30 | 90.9% | 3 | 9.1% | 33 |
| Meriden | 20 | 100.0% | 0 | 0.0% | 20 |
| Middletown | 24 | 100.0% | 0 | 0.0% | 24 |
| Milford | 28 | 96.6% | 1 | 3.4% | 29 |
| New Britain | 31 | 100.0% | 0 | 0.0% | 31 |
| New Haven | 41 | 93.2% | 3 | 6.8% | 44 |
| Norwalk/Stamford | 20 | 92.9% | 1 | 7.1% | 21 |
| Norwich | 57 | 98.3% | 1 | 1.7% | 58 |
| Torrington | 21 | 100.0% | 0 | 0.0% | 21 |
| Waterbury | 40 | 100.0% | 0 | 0.0% | 40 |
| Willimantic | 50 | 98.0% | 1 | 2.0% | 51 |
| Statewide | 489 | 94.8% | 31 | 5.2% | 520 |

We take this moment to stress that these qualitative issues while important, are identified in the negative sub-sample, and may not reflect the improvements in performance and sustained level of achievement of the Department in this area to date one would see across the full universe of 508 cases. There have been notable strides in securing the necessary clinics to perform these multidisciplinary examinations in close proximity to the removal from children's biological homes and inform the Department and foster care providers of the needs of the children so that appropriate planning can be implemented. DCF has clearly made this area of practice a focus since this was first the target of case practice with the baseline established in 2003. At that juncture, the baseline of performance was 5.6% of MDE achieved within 30 days of placement. The most recent quarterly performance is 95.5%.