

Appendix A: Research Questions, Logic, Measurement Elements and Identified Variables initially taken from Revised Exit Plan of July 1, 2004, updated for Reference Purposes of the 2017 Revised Exit Plan.

Outcome Measure 1: Commencement of Investigation/FAR (Family Assessment Response)

DCF shall assure that at least 90% of all reports of children alleged to be abused, or neglected, shall be prioritized, assigned and the investigation/FAR shall commence within the timeframes specified below.

If the report of child abuse or neglect is determined by the DCF Careline to be...

- A. A situation in which failure to respond immediately could result in the death of, or serious injury to a child, then the response time for commencing an investigation is the same calendar day Careline accepts the report.**
- B. A non-life threatening situation that is severe enough to warrant a 24-hour response to secure the safety of the child and to access the appropriate and available witnesses, then the response time for commencing an investigation is 24 hours.**
- C. A non-life threatening situation that, because of the age or condition of the child, the response time for commencing an investigation is 72 hours.**

Case Review is not required to verify compliance quantitative status with this measure. LINK Reporting will be used to capture compliance with the timing requirement for commencement of investigations. Initial quarterly reporting has been available since August 15, 2004. The logic established by the DCF used by the LINK system to capture this measurement is based the information indicated below¹:

Commencement of Investigation:

Currently pending changes to existing LINK functions. Modifications to be made in phase one (Summer 2004) are:

- *Removal of "Extension" button and functionality*
- *Addition of Response time information button*
- *Change in layout of the LINK window to include Response Time Compliance information, as well as the current Commencement date, and the new Commencement Time fields.*
- *LINK e-help to provide guidance and nuances related to Compliance Time Frames.*

¹ Documentation taken directly from the LINK Modifications to Support Juan F. Exit Outcomes Presentation of April 13, 2004.

Outcome Measure 2: Completion of Investigation/FAR (Family Assessment Response)

At least 85% of all reports of alleged child maltreatment accepted by the DCF Careline shall have their investigations/assessments completed within 45 calendar days of acceptance by the Careline.

Case Review is not required to verify compliance status with the quantitative requirement for this measure. LINK Reporting will be used to capture compliance with the timing requirement for completion of investigations within 45 days. The logic established by the DCF to be used by the LINK system to capture this measurement is provided below²:

Investigation Completion

Data Source: LINK

A query of the LINK database will be conducted to determine all investigations completed during the period. For each investigation completed during the period, the CPS report accept date will be subtracted from the investigation completion date to determine the number of days the investigation was open. (Completion of the Investigation occurs when a Supervisor Approves the Investigation in LINK).

Methodological Notes

As indicated in bullet 12 of the 2017 Revised Exit Plan, the Court Monitor shall, prior to the Court's adjudication of the Defendants' motion, determine which, if any, Outcome Measures require a final review in order to assess the Defendants' achievements, subject to Paragraph 12 of this 2017 Revised Exit Plan. The Court Monitor's determination on which Outcome Measures require a final review shall be conclusive and binding on the parties. For any Outcome Measures requiring a final review, the Court Monitor shall conduct a review of a statistically significant valid sample of case files at the 96% confidence level, and such other measurements as are necessary, to determine whether Defendants are in compliance with their obligations. This review would be of a statistically significant valid sample of case files at the 96% confidence level, including these questions and such other measurements as are necessary, to determine whether Defendants are in compliance with their obligations:

1. Did the investigation/assessment (FAR) commence within the stated time frame established at the Careline?
2. Was an additional report accepted and merged with seven days of the initial accepted report?
3. Were any additional reports accepted after seven days from initial acceptance, but prior to the completion of that investigation/assessment (FAR)?
4. Was the investigation/assessment (FAR) completed in 45 days from acceptance at Careline?

² On-Line LINK reporting documentation taken directly from the DCF LINK Reports: Outcomes for Children "Report Source". May be subject to enhancement changes through December 2004.

5. Was the initial investigation/assessment (FAR) interview with the alleged perpetrator and identified family members conducted in their primary language?
6. Was the investigation/assessment (FAR) conducted per policy with adherence to the required protocol DCF 2074/DCF 3010: with all identified case participants interviewed, all required collateral contacts made, (or documentation provided for the social worker's inability to contact) and all safety factors, and needs assessed?
7. Were services identified to maintain a child in the home where applicable?
8. If applicable, was the alleged perpetrator asked to leave the home so that the child (ren) could be maintained in the home during the course of investigation?
9. Did the investigator document his/her attempts to identify relative resources through the course of interview with the family members in the event that removal would be required?
10. Were identified services provided to maintain a child in the home where applicable?
11. Did the SWS document his/her discussion with the investigator related to the investigation/FAR assessment and subsequent findings of substantiated/non-substantiated abuse or neglect?
12. Was SDM completed and an assessment or case plan developed by the Social Worker to document any family service needs and identify subsequent referrals to community providers in order to address those needs/build upon strengths?

Outcome Measure 3: Case Plans

Except probate, interstate, and subsidy only cases, appropriate case plans shall be developed as set forth in the "DCF Court Monitor's Protocol for Outcome Measures 3 and 4 (Formerly OM 15)" and the accompanying "Directional Guide for Outcome Measures 3 and 4 (Formerly OM 15) Reviews" attached collectively as Appendix B hereto. The enforceable domains of this Outcome Measure shall not include (although all domains will be assessed and reported on each quarter by the Court Monitor and included in public monitoring reports) (1) those domains in Appendix B for which the compliance has already been sustained at 90% or more; and (2) the "overall score" domain. As of the date of filing of this 2017 Revised Exit Plan the parties agree all domains remain enforceable including:

- Reason for Involvement;
- Identifying Information;
- Engagement of Child and Family;
- Present Situation and Assessment to Date of Review;
- Determining Goals and Objectives;
- Progress;
- Action Steps to Achieving Goals Identified for the Upcoming Six Month Period;
and
- Planning for Permanency

Prospectively, if Defendants achieve and sustain compliance with any of the individual remaining enforceable domains for two consecutive quarters, those will no longer be enforceable domains under this Outcome Measure. Once the last remaining domain is achieved and sustained for two consecutive quarters (six months total), this item shall be considered to have achieved Pre-Certification and subject to the process in paragraphs 11 and 12 as to whether a final review pursuant to Paragraphs 11 and 12 is required in connection with a request to terminate jurisdiction over the Outcome Measures.

LINK will not be used to produce reporting on this measure. The measurement of Outcome Measure 3 requires a case review to determine compliance. While reporting on only the required domains, the Court Monitor quarterly case reviews will continue to include the following items originally identified within the Juan F Exit Plan on July 1, 2004 and incorporated within its data collection instruments and included as reference in Appendix B:

1. To what extent are clinically appropriate case plans documented and developed in conjunction with parents, children, providers and others involved in the case and approved by a DCF SWS within the timeframes specified within the Case Plan document (or six months if the plan does not specify)? Elements a-h below:
 - a. Is there a SWS approved case plan in LINK less than 7 months old at the point of review?
 - b. Was the most recent case plan in compliance with the timing requirement set in policy (within 60 days of case opening or child placed out of home, or within six months of the prior approved Case Plan?
 - c. Has there been a CPC or ACR in the last 7-month period?
 - d. Who was invited to participate in the most recent ACR/TPC?
 - e. Does this invitee list include all active providers and case participants in the case during the six-month period preceding the ACR (60 days for the CPC)?
 - f. Who participated at the ACR/CPC and by what means did they participate (written report, in person, teleconference, prior verbal report to SW or SWS)
 - g. Was the ACRI-ACRI-F completed– identifying points of views of all participants and required revisions noted by the SWS or ACR Coordinator at the point of the conference?
 - h. Did the final approved Case Plan include those required revisions documented on the ACRI/ACRI-F?
2. To what extent do clinically appropriate case plans approved by the DCF SWS include the following? (Elements a-o as identified in the Exit Plan are placed into meaningful categories established by DCF as follows :)

Background Information

- a. A clear description of household members and each identified member's status
- b. Prior relevant case history
- c. Reason for most recent case opening

Assessment Information

- d. Presenting issues and problem areas as identified by DCF or provider assessment
- e. Family issues as perceived by the parent/caretaker/child (if over 12)
- f. Family or child's strengths
- g. Family or child's needs (medical, dental, mental health, educational, other service needs – housing, childcare, employment, transportation, etc.)

Treatment

- h. Reasonable efforts as determined by the court, to prevent out of home placement or reunify documented
- j. Clearly stated case goal/permanency plan goal
- m. Proposed services and identified responsible parties
- o. Parental & sibling visitation schedules

Progress Toward Case Goals

- i. Responsibilities of children, parents, caretakers, service providers and DCF for reaching the identified case goals (tasks required during the planning period)
 - k. Identification of the measurement of participants' progress toward and achievement of stated goal (for those adolescents where applicable, this includes the attachment of a completed Independent Living Plan DCF-2091)
 - l. Timelines for completing tasks/expectations related to the case goal
 - j. Legal activity and status during the preceding Case Planning period.
3. To what extent did DCF meet the language requirements of the clients during the Case Planning process? Elements a-b below:
- a. Was the ACR conducted in the primary language of the client?
 - b. Was the Case Plan document prepared (or subsequently translated) in the primary language of the client?

Methodological Notes:

1. The Court Monitor's Office will continue to conduct a quarterly review, utilizing the methodology and protocol established for Outcome Measure 3 reporting on all domains as they remain enforceable as of the date of filing of the 2017 Revised Exit Plan. A minimum of 50 cases (representing all area offices) will be randomly selected each quarter. Prospectively, if Defendants achieve and sustain compliance with any of the individual remaining enforceable domains for two consecutive quarters, those will no longer be enforceable domains under this Outcome Measure. Once the last remaining domain is achieved and sustained for two consecutive quarters (six months total), this item shall be considered to have achieved Pre-Certification and subject to the process in paragraphs 11 and 12 as to whether a final review pursuant to Paragraphs 12 is required in connection with a request to terminate jurisdiction over the Outcome Measures.
2. Additionally, a qualitative review may be conducted by the Monitor's Office on a sample of all open cases identified, except probate, interstate, and subsidy only at the point of DCF assertion of compliance with this outcome. This review would be of a statistically significant valid sample of case files at the 96% confidence level, and such other measurements as are necessary, to determine whether Defendants are in compliance with their obligations. As indicated, the Court Monitor shall, prior to the Court's adjudication of the Defendants' motion, determine which, if any, Outcome Measures require a final review in order to assess the Defendants' achievements, subject to Paragraph 12 of this 2017 Revised Exit Plan. The Court Monitor's determination on which Outcome Measures require a final review shall be conclusive and binding on the parties. For any Outcome Measures requiring a final review, the Court Monitor shall conduct a review of a statistically significant valid sample of case files at the 96% confidence level, and such other measurements as are necessary, to determine whether Defendants are in compliance with their obligations.

Outcome Measure 4: Childrens' Needs Met

(Measure Formerly Identified as Outcome Measure 15)

Families and children shall have their medical, dental, mental health, and other service needs met as set forth in the "DCF Court Monitor's Protocol for Outcome Measures 3 and 4 (Formerly OM15)" and the accompanying "Directional Guide for Outcome Measures 3 and 4 (Formerly OM15) Blind Reviews" attached collectively as Appendix B hereto.

The enforceable domains of this Outcome Measure shall not include (although all domains will be assessed and reported on each quarter by the Court Monitor and included in public monitoring reports): (1) those domains in Appendix B for which the compliance has been sustained at 85% or more; and (2) the "all needs met" domain. As of the date of filing of this 2017 Revised Exit Plan the parties agree the enforceable domains include:

- Legal Action to Achieve the Permanency Goal within the Prior Six Months;
- Contracting or Providing Services to Achieve Permanency within the Prior Six Months;
- Medical Needs;
- Dental Needs;
- Mental Health, Substance Abuse and Behavioral Health Services.

Prospectively, if Defendants achieve and sustain compliance with any of the individual remaining enforceable domains for two consecutive quarters, those will no longer be enforceable domains under this Outcome Measure. Once the last remaining domain is achieved and sustained for an additional consecutive quarter (six months total), this item shall be considered to have achieved Pre-Certification and subject to the process in paragraphs 5 and 11 as to whether a final review is required in connection with a request to terminate jurisdiction over the Outcome Measures.

LINK will not be used to produce quantitative reporting on this measure. The measurement of Outcome Measure 4 requires a case review to determine compliance. While reporting on only the required domains, the Court Monitor quarterly case reviews will continue to include the following items incorporated within its data collection instruments and included as reference in Appendix B:

1. To what extent have the medical, dental, mental health, and other service needs been provided to the child and family as specified in the most recently approved, clinically appropriate Case Plan³? (a-f below)
 - a. Were there clearly indicated needs identified for the case participants in the most recently approved clinically appropriate Case Plan?
 - b. Are medical issues as identified in the plan presently being addressed?
 - c. Are mental health issues as identified in the plan presently being addressed?
 - d. Are dental issues as identified in the plan presently being addressed?
 - e. Are educational/development (0-3) issues as identified in the plan presently being addressed?
 - f. Are other service needs as identified in the plan presently being addressed?

Methodological Notes:

1. The Court Monitor's Office will continue to conduct a quarterly review, utilizing the methodology and protocol established for Outcome Measure 4, reporting only on those enforceable domains that remain as of the date of filing of the 2017 Revised Exit Plan (Risk: In Home; Contracting or Providing Services to Achieve Permanency within the Prior Six Months; Medical Needs; Dental Needs; Mental Health, Substance Abuse and Behavioral Health Services.) A minimum of 50 cases (representing all area offices) will be randomly selected each quarter. Prospectively, if Defendants achieve and sustain compliance with any of the individual remaining enforceable domains for two consecutive quarters, those will no longer be enforceable domains under this Outcome Measure. Once the last remaining domain is achieved and sustained for two consecutive quarters (six months total), this item shall be considered to have achieved Pre-Certification and subject to the process in paragraphs 11 and 12 as to whether a final review pursuant to Paragraphs 12 is required in connection with a request to terminate jurisdiction over the Outcome Measures.
2. Additionally, a qualitative review may be conducted by the Monitor's Office on a sample of all open cases identified, except probate, interstate, and subsidy only at the point of DCF assertion of compliance with this outcome. This review would be of a statistically significant valid sample of case files at the 96% confidence level, and such other measurements as are necessary, to determine whether Defendants are in compliance with their obligations. As indicated, the Court Monitor shall, prior to the Court's adjudication of the Defendants' motion, determine which, if any, Outcome Measures require a final review in order to assess the Defendants' achievements, subject to Paragraph 8 of this 2017 Revised Exit Plan. The Court Monitor's determination on which Outcome Measures require a final review shall be conclusive and binding on the parties. For any Outcome Measures requiring a final review, the Court Monitor shall conduct a review of a statistically significant valid sample of case files at the 96% confidence level, and such other measurements as are necessary, to determine whether Defendants are in compliance with their obligations.

³ As indicated in the Revised Exit Plan document, the reviewers must also consider the form ACRI/ACRI-F, to ensure that corrections as documented on that form have been addressed.

Outcome Measure 5: Worker-Child Visitation (In-Home)*(Measure Formerly Identified as Outcome Measure 17)***DCF shall visit at least 85% of all in-home family cases at least twice a month, except for probate, interstate or voluntary cases.**

Case Review is required to verify compliance status with the quantitative requirement for this measure until such time that LINK enhancements are completed. Logic applied by the DCF will be established based upon enhancements to the LINK system as indicated below⁴:

- *Current Narrative Categories will be condensed and those that are to be counted for reporting purposes will be clearly delineated. The following calculations will be applied in the LINK reporting*
 1. *The denominator of in-home children will be determined by querying the LINK database to determine all cases with a CPS In-Home assignment.*
 2. *From these cases, determine all active case participants under age 19 who are NOT in an out-of-home placement.*
 3. *Determine all In-Home children visited during the period as the numerator by identifying in-home children visited at least twice during a calendar month or quarter.*

Until such time that LINK system capabilities are available to report on the full universe of children in the in home caseload, the Department's Office of Research and Evaluation will collect data via Administrative Case Reviews or alternate data collection efforts. The ORE will include the following questions in its data collection instrument:

1. What is the frequency of DCF's visits?
2. Did DCF visit with the children active in the case on average two times per month during the quarter of this review?
3. Were all children in the home seen in accordance with the Department's practice expectation?

Methodological Notes:

1. The universe includes all children in-home during each quarter of review. Per agreement, Probate, Interstate, Voluntary, and Adoption Subsidy cases will be excluded.
2. As indicated, the Court Monitor shall, prior to the Court's adjudication of the Defendants' motion, determine which, if any, Outcome Measures require a final review in order to assess the Defendants' achievements, subject to bullet 11 of this 2017 Revised Exit Plan. The Court Monitor's determination on which Outcome Measures require a final review shall be conclusive and binding on the parties. For any Outcome Measures requiring a

⁴ Documentation taken from the LINK Modifications to Support Juan F. Exit Outcomes Presentation of April 13, 2004.

final review, the Court Monitor shall conduct a review of a statistically significant valid sample of case files at the 96% confidence level, and such other measurements as are necessary, to determine whether Defendants are in compliance with their obligations., a qualitative review may be conducted by the Monitor's Office on a sample of all open in-home cases identified, except probate, interstate, voluntary and subsidy only cases. This review would be of a statistically significant valid sample of case files at the 96% confidence level, and such other measurements as are necessary, to determine whether Defendants are in compliance with their obligations. Included questions would be:

1. What is the quantity and quality of the visitation between worker and child in DCF's in-home caseloads? (elements a-i below)
 - a. During each of the six months preceding this review, did the worker physically meet with the child in accordance to the mandate?
 - b. How many times during the past six month period did the work did the DCF worker meet with the child in person?
 - c. Did the social worker meet with the child alone?
 - d. During conversation, did the worker assess the parent's ability to meet the needs and well-being of the child?
 - e. Did the social worker discuss progress or regression in meeting the Case Plan goal?
 - f. Did the social worker document any needs for additional supports to maintain the child in the home?
 - g. Was the primary caregiver (parent) spoken to during the visit?

Outcome Measure 6: Caseload Standards

(Measure Formerly Identified as Outcome Measure 18)

The caseload of no DCF social worker shall exceed the following caseload standards, with exceptions for emergency reasons on caseloads, lasting no more than 30 days. Additionally, the average caseload of all caseload carrying DCF social workers in each of the following categories shall not exceed 0.75 (i.e., 75% utilization) of these maximum caseload standards:

- A. Investigators shall have no more than 17 investigative cases at any time.**
- B. In-home treatment workers shall have no more than 15 cases at any time.**
- C. Out-of-Home treatment workers shall have no more than 20 individual children assigned to them at any time. This includes voluntary placements.**
- D. Adoption and adolescent specialty workers shall have no more than 20 cases at any time.**
- E. Probate workers shall have no more than 35 cases at any time. When the probate or interstate worker is also assigned to provide services to the family, those families shall be counted as in home treatment cases with a ratio of 1:20 cases.**
- F. Social workers with in-home voluntary and interstate compact cases shall have no more than 49 cases at any time.**
- G. A worker with a mixed caseload shall not exceed the maximum weighted caseload derived from the caseload standards in A through F above.**

Case Review is not required to verify compliance status with the quantitative requirement for this measure. LINK will be used to capture compliance with the percentage of workers at or below established caseload utilization via the average of the daily reports during each quarter. LINK logic⁵ for the reporting is provided below:

Caseload Standards

Report Source: LINK

Each night a batch program will run that will recognize any assignment changes and calculate caseload accordingly based on the point designations in figure 1.1. These point totals will be displayed next to each Worker's name on a Supervisor's Workers tab of the LINK desktop as well as in Worker Search.

Compliance can be measured through a utility that displays the number of workers over 100% on any given day and, of those, the number of workers that have been over 100% for 30 of the most recent 30 calendar days.

Percentage Utilization Calculation:

For each of the 9 categories, the program computes % Utilizations follows:

Determine the % Util. for each assignment category for a worker by dividing the number of caseload points for that Worker by the Maximum number of points for that category. Then add all of the percentages to arrive at an overall percentage utilization figure.

Adolescent (#points in category /20)
+
CPS In-Home (#points in category /15)
+
CPS (#points in category /20)
+
CPS OOH (#points in category /20)
+
ICO (#points in category /49)
+
Investigation (#points in category /17)
+
Permanency (#points in category /20)
+
Probate (#points in category /35)
+
Voluntary (#points in category /49)
= % Utilization

Methodological Note

⁵ On-Line LINK reporting documentation taken directly from the DCF LINK Reports: Caseload Reports: "Percentage Utilization Calculation".

1. The Court Monitor shall, prior to the Court's adjudication of the Defendants' motion, determine which, if any, Outcome Measures require a final review in order to assess the Defendants' achievements, subject to Paragraph 11 of this 2017 Revised Exit Plan. The Court Monitor's determination on which Outcome Measures require a final review shall be conclusive and binding on the parties. For any Outcome Measures requiring a final review, the Court Monitor shall conduct a review of a statistically significant valid sample of case files at the 96% confidence level, and such other measurements as are necessary, to determine whether Defendants are in compliance with their obligations.

Outcome Measure 7: Repeat Maltreatment (In-Home)
(Measure Formerly Identified as Outcome Measure 5)

No more than 7% of the children who are victims of substantiated maltreatment during any six-month period shall be the substantiated victims of additional maltreatment during any subsequent six-month period.

Case Review is not required to verify compliance status with the quantitative requirement for this measure. LINK Reporting will be used to capture compliance with the required percentage of repeat maltreatment for children in DCF involved families in the in-home caseload. The logic established by the DCF to be used by the LINK system to capture this measurement is provided below⁶:

Repeat Maltreatment

Data Source: LINK

Every six months, the Department will determine if this outcome has been achieved through applying the federal reporting logic to produce a six-month outcome report:

- *Query the LINK database to retrieve all investigations completed during the 6-month period to then determine all associated, substantiated allegations (including type), substantiated victims and designated worker and office.*
- *For each substantiated victim, look forward 8 to 183 days to determine if the victim had another substantiated allegation during the period using the CPS Report Incident Date or CPS Report Received Date if there is no valid Incident Date.*
- *Compare the two datasets to determine the substantiated victims contained in both extracts.*
- *Divide the number of repeat victims by the number of total victims to determine percentage of repeat maltreatment.*

Note: CPS Reports that contain the same child(ren) and are less than or equal to 7 days apart are considered as the same incident and would not be counted as Repeat Maltreatment should they fall into both periods of measure.

Methodological Note:

Per bullet 5: Pre-Certification Review completed July 2014 with respect to a OM7: (a) did not identify any material issues requiring remediation; and (b) TBD if assertions of noncompliance are present or compliance has been sustained at the time Defendants assert sustained compliance with all Outcome Measures; and (c) or whether the Court Monitor has or has not identified any material issues requiring remediation subsequent to the Pre-Certification, the final review as per bullet 11 of this 2017 Revised Exit Plan. This will determine if additional case review will or will not be required at the Court Monitor's discretion after the Defendants assert sustained compliance with all Outcome Measures.

⁶ On-Line LINK reporting documentation taken directly from the DCF LINK Reports: Outcomes for Children "Data Mapping". May be subject to enhancement changes through December 2004.

Outcome Measure 8: Maltreatment of Children in Out-of-Home Care

(Measure Formerly Identified as Outcome Measure 6)

No more than 2% of the children in out-of-home care shall be the victims of substantiated maltreatment by substitute caregivers while in out-of-home care.

Case Review is not required to verify compliance status with the quantitative requirement for this measure. LINK Reporting will be used to capture compliance with the percentage requirement for repeat maltreatment of children in out of home placement. The logic established by the DCF to be used by the LINK system to capture this measurement is provided below⁷:

Neglect/Abuse in Custody

Data Source: LINK

Query the LINK database to retrieve all investigations completed during the period to then determine all associated, substantiated allegations (including type), substantiated victims and the date of the associated reports.

Query the LINK database to retrieve all Juan F. Children in open placement during the period.

Compare the two datasets to identify the children contained in both extracts to then compare the CPS Report date to the child's placement begin and end date.

Divide the number of children involved in instances where the CPS report date fell within the placement dates by the total number of Juan F. Children in care during the period.

Methodological Note:

Per bullet 5: Pre-Certification Review completed October 2014 with respect to a OM8: (a) did not identify any material issues requiring remediation; and (b) TBD if assertions of noncompliance are present or compliance has been sustained at the time Defendants assert sustained compliance with all Outcome Measures; and (c) or whether the Court Monitor has or has not identified any material issues requiring remediation subsequent to the Pre-Certification, the final review as per bullet 8 of this 2017 Revised Exit Plan. This will determine if additional case review will or will not be required at the Court Monitor's discretion after the Defendants assert sustained compliance with all Outcome Measures.

⁷ On-Line LINK reporting documentation taken directly from the DCF LINK Reports: Outcomes Data: "Data Mapping". May be subject to enhancement changes through December 2004.

Outcome Measure 9: Re-Entry into DCF Custody
(Measure Formerly Identified as Outcome Measure 11)

Of all children who enter DCF custody, 7% or fewer shall have re-entered care within 12 months of the prior out-of-home placement.

Case Review is not required to verify compliance status with the quantitative requirement for this measure. LINK Reporting will be used to capture compliance with the required percentage for re-entry into out of home care. The logic established by the DCF to be used by the LINK system to capture this measurement is provided below⁸:

Re-entry in to DCF Custody

Data Source: LINK

DCF will query the LINK database to retrieve all children entering care during the period of measurement.

DCF will query the LINK database to retrieve the most recent discharge date (prior to the date of entry in step indicated above) if there is any.

DCF will subtract the most recent discharge date from the entry date to determine time between discharge and re-entry.

DCF will divide the number of children re-entering care within twelve months by the number of children entering care during the period.

There will be a six-month lag beyond the end of the reporting period required to determine children discharged during the period. The first quarter 2004 report will be available October 2004.

Methodological Note:

Per bullet 5: Pre-Certification Review completed January 2016 with respect to a OM9: (a) did not identify any material issues requiring remediation; and (b) TBD if assertions of noncompliance are present or compliance has been sustained at the time Defendants assert sustained compliance with all Outcome Measures; and (c) or whether the Court Monitor has or has not identified any material issues requiring remediation subsequent to the Pre-Certification, the final review as per bullet 11 of this 2017 Revised Exit Plan. This will determine if additional case review will or will not be required at the Court Monitor's discretion after the Defendants assert sustained compliance with all Outcome Measures.

⁸ On-Line LINK reporting documentation taken directly from the DCF LINK Reports: Outcomes Data "Data Mapping". May be subject to enhancement changes through December 2004.

Outcome Measure 10: Worker-Child Visitation (Out-of-Home)*(Measure Formerly Identified as Outcome Measure 16)*

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.

Case Review is required to verify compliance status with the quantitative requirement for this measure until such time that LINK enhancements are completed. The logic established by the DCF will be established based upon enhancements to the LINK system as indicated below⁹:

- *Current Narrative Categories will be condensed and those that are to be counted for reporting purposes will be clearly delineated.*
- *A new narrative category will be added for Service Provider Contact with Child (counted toward the requirement for out of state placements.*
- *The logic that will be applied when enhancements are realized in LINK will result in two reports averaging each quarter's performance as follows:*
 1. *What percentage of children placed are seen on a monthly basis by the DCF/ICPC or private provider social worker?*
 2. *What percentage of children in placement, regardless of where that placement is geographically, has been seen in the last quarter by his/her DCF worker?*
- *This calculation is based upon:*
 1. *The denominator is all Juan F. children in an open placement for at least 30 days during the period, excluding Probate, Voluntary and ICO cases.*
 2. *The numerator is all children from the denominator who have been visited at least once in the calendar month or calendar quarter.*

The Office of Research and Evaluation will include the following questions in its data collection instruments.

1. Does the case record contain documentation that a face-to-face visit with the child in placement occurred in each calendar month of the quarter under review?
2. Did the DCF Social Worker meet with this child in person at least once during the quarter of this review?

⁹ Documentation is taken from the LINK Modifications to Support Juan F. Exit Outcomes Presentation of April 13, 2004.

Methodological Notes:

1. The Department's ORE has conducted in conjunction with the Court Monitor's Office a case review on the full universe of children in out of home placement.
 - a. The universe included all children in out of home placement during two quarters of review beginning January 1, 2004 forward. Probate cases will be excluded.
 - b. Quantitative quarterly reporting is due to the Monitor's Office no later than 45 days from the close of each calendar quarter.

2. Additionally, Per bullet 5: Pre-Certification Review completed April 2012 with respect to a OM10: (a) did not identify any material issues requiring remediation; and (b) TBD if assertions of noncompliance are present or compliance has been sustained at the time Defendants assert sustained compliance with all Outcome Measures; and (c) or whether the Court Monitor has or has not identified any material issues requiring remediation subsequent to the Pre-Certification, the final review as per paragraph 11 of this 2017 Revised Exit Plan. This will determine if additional case review will or will not be required at the Court Monitor's discretion after the Defendants assert sustained compliance with all Outcome Measures. This qualitative review could include a sample of all open cases identified, except probate, interstate, and subsidy only. Questions would include:
 - a. What is the quantity and quality of the visitation between worker and child in out of home placement? (Elements a-i below)
 - b. In how many of the last six months did the DCF worker meet with the child in person?
 - c. If child is out of state, did ICPC/private provider social worker document in-person visits with the child during each month in the six-month period ending with this review?
 - d. Did the DCF worker see this child within the quarter preceding this review?
 - e. Did the social worker meet with the child alone?
 - f. During conversation, did the worker assess the placement's ability to meet the needs and well-being of the child?
 - g. Did the social worker discuss progress or regression in meeting the Case Plan goal?
 - h. Did the social worker document any needs for FASU support to maintain the placement?
 - i. Was the caretaker spoken to during the visit?

Outcome Measure 11

(Measure Formerly Identified as Outcome Measure 14)

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.

Case Review is not required to verify compliance status with the quantitative requirement for this measure. LINK Reporting will be used to capture compliance with the percentage of children placed in foster homes operating within their licensed capacity. The logic established by the DCF to be used by the LINK system to capture this measure is provided below¹⁰:

Licensed Capacity (formerly Overcrowding)

Data Source: LINK

DCF will query the LINK database to retrieve Provider data for all Juan F. Children in foster care placement.

Subtract the Provider's licensed bed capacity from the number of actual placements open with that provider.

Exempt any overcapacity placements involving sibling groups placed together where that placement caused the overcapacity to be exceeded.

Divide the number of children placed in overcapacity homes by the number of Juan F. Children in foster care placement.

¹⁰ On-Line LINK reporting documentation taken directly from the DCF LINK Reports: Outcomes Data "Data Mapping". Modification made per conversation with Jay Anderson on May 26, 2004 to ensure only foster care placements were considered, and that this includes relatives, non-relative, special study, independent, medically fragile, private provider, therapeutic, professional parent foster homes within the state of CT. May be subject to enhancement changes through December 2004.

Outcome Measure 12: Multiple Placements

At least 85% of the children in DCF custody shall experience no more than three (3) placements during any 12-month period.

Definitions:

1. This includes Safe Home placements but excludes respite, hospitalizations of less than seven (7) days, home visits, runaways or children sent to the Connecticut Juvenile Training School

Measurements to be used by the Monitor:

1. The Monitor shall determine if this outcome has been achieved through LINK quarterly reports. The percentage will be determined by averaging the three (3) months in each quarter.
 - a. The universe for Outcome Measure 12 includes all children in out of home placement (excluding voluntary service placements) on or after January 1, 2004.
 - b. Quarterly reporting is due to the Monitor's Office no later than 45 days from the close of each quarter.
2. The Monitor shall find that DCF has complied with this outcome measure when DCF has documented this outcome measure for two (2) consecutive quarters as outlined in bullet 11 of the 2017 Revised Exit Plan.

Outcome Measure 13: Sibling Placement

(Measure Formerly Identified as Outcome Measure 10)

At least 95% of the siblings entering out-of-home placement shall be placed together unless there are documented therapeutic reasons for separate placements.

Definitions and Clarifications:

1. Therapeutic reasons include such things but are not limited to situations where siblings are placed with multiple relatives, one (1) sibling requires hospitalization and others do not, one (1) sibling requires detention, or where siblings were abused by another sibling, etc. The therapeutic reason the siblings must be placed apart shall be documented in LINK by the DCF supervisor.
2. "Siblings" are defined as at least two children who share, at minimum, one biological or adoptive parent, or who reside in the home and have relationship through parents/guardians who have an adult legal relationship (i.e. step-siblings).
3. The universe of siblings is limited to children under the custody of DCF with a legal status of "OTC", "committed" or "commitment-dual". TPR children are excluded from this universe of children.
4. "Placement" relates to the coinciding initial out of home placement and subsequent placement changes of sibling groups on or after January 1, 2004.
5. Partial compliance (i.e. two children together, with one in another resource without a documented therapeutic reason) does not achieve the standard. This is an all or nothing measurement.
6. The enhanced LINK monitoring system uses the term "clinical reasons". For our purpose, the definition of clinical reasons is consistent with the term "therapeutic reasons" above. "Non-clinical reasons" would be those reasons related to lack of resource; time of placement (i.e. after hours), size of sibling group, or other reason not related to the clinical/therapeutic needs of the children.

Measurements to be used by the Monitor:

1. DCF shall report quarterly on this outcome measure. Once LINK enhancements are in place to report on this measure, the percentage will be determined by averaging the three (3) months in each quarter. Prior to that period, the Quality Improvement Division will include questions related to this measure in their quarterly review process.

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- (a) The universe for Outcome Measure 10 includes all siblings entering out of home care on or after January 1, 2004. Voluntary placement cases, and children with a legal status of TPR will be excluded. Until such time that the LINK system is available to produce reports on the full universe, the QID will incorporate this outcome measure into its quarterly case review process and report on those cases falling into this universe of clients. Subsequent sibling placement changes occurring after January 1, 2004 will also be captured and reported.
- (b) Quarterly reporting is due to the Monitor's Office no later than 45 days from the close of each quarter.
2. The Monitor shall find that DCF has complied with this outcome measure when DCF has documented tills outcome measure for two (2) consecutive quarters, maintains compliance through exit from this action, and the Monitor has verified compliance with this measure. The Department must achieve sustained compliance with all 22 Outcome Measures prior to requesting the verification process outlined in the Introduction of this document (Bullet 5).

Outcome Measure 14: Reduction in the Number of Children Placed in Residential Care
(Measure Formerly Identified as Outcome Measure 19)

The number of children placed in privately operated residential treatment care shall not exceed 11% of the total number of children in DCF Out-Of-Home care.

The circumstances of all children in-state and out-of-state residential facilities shall be assessed after the Court's approval of this Exit Plan on a child specific basis to determine if their needs can be met in a less restrictive setting. The placement of any additional children out-of-state after the approval of this plan shall require the approval of the Transition Task Force.

Definitions and Clarifications:

1. Residential treatment facilities are 24-hour mental health facilities, which operate for the purpose of effecting positive change and normal growth and development for emotionally disturbed, behavioral disordered and socially maladjusted youth. Children are referred through a holistic treatment plan involving DCF staff and mental health professionals. Target Population: seriously emotionally disturbed children up to age 18. State operated facilities; stand-alone group homes, Safe Homes, and juvenile justice 24-hour facilities are not included in this measure.

Measurements to be used by the Monitor:

1. DCF will report on the number of children in in-state and out-of-state residential facilities in addition to the number of new admissions and discharges from residential facilities on a quarterly basis.
 - a. The universe for Outcome Measure 14 will be all children⁵ in in-state and out-of-state residential facilities.
 - b. DCF should identify the following groups of children in residential care to generate a more accurate portrayal of children who are eligible for less restrictive settings:
 - i. Children for whom mental retardation levels require facility care until child may pass into the adult DMR system,
 - ii. Children in facilities via voluntary placement per the request of parent,
 - iii. Children for whom mental health levels require facility care until child may pass into the adult DMHAS system, and
 - iv. Children with medically complex status requiring intensive facility settings through transition to adult facility care

The Monitor may take this additional information into account when determining compliance with Outcome Measure 14.

- c. Quarterly reporting is due to the Monitor's Office no later than 45 days from the close of each calendar quarter.

⁵ The Court Monitor reserves the right to grant exceptions on an individual child basis when deemed appropriate.

2. DCF will report on its aggregate assessments of the needs of all children placed residentially sorted by in state and out-of-state.
 - a. The universe for Outcome Measure 14 will be all children in in-state and out-of-state residential facilities.
 - b. DCF should identify the following groups of children in residential care to generate a more accurate portrayal of children who are eligible for less restrictive settings:
 - i. Children for whom mental retardation levels require facility care until child may pass into the adult DMR system,
 - ii. Children in facilities via voluntary placement per the request of parent,
 - iii. Children for whom mental health levels require facility care until child may pass into the adult DMHAS system, and
 - iv. Children with medically complex status requiring intensive facility settings through transition to adult facility care
 - c. Quarterly reporting is due to the Monitor's Office no later than 45 days from the close of each calendar quarter upon court order of this Revised Exit Plan.

3. The Monitor shall find that DCF has complied with this outcome measure when DCF has documented this outcome measure for two (2) consecutive quarters as outlined in bullet 11 of the 2017 Revised Exit Plan.