

**Roe v. Staples Status Report**

The purpose of this report is to provide the court-approved expert for the plaintiff with information concerning the recommendations made to the Ohio Department of Job and Family Services (ODJFS) which were contained in the Roe v. Staples Interim Reports dated May 22, 2009 and December 10, 2010.

**May 22, 2009 Recommendations:**

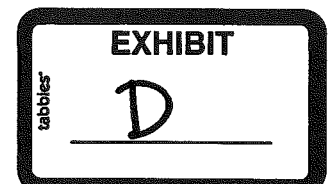
- 1) ***While Consultant recognizes that the current economic environment presents enormous fiscal constraints, additional CPOE staff positions should not be eliminated, as further reduction of staff would be detrimental to the CPOE system, maintenance of which is essential to compliance with the Roe v. Staples Consent Decree, as amended.***

ODJFS, Office of Child/Adult Protection, Bureau of Child and Adult Technical Assistance currently employs eleven technical assistance specialists (TASs) located in four field offices. These staff are responsible for conducting Child Protection Oversight and Evaluation (CPOE) reviews according to the requirements set forth in Ohio Administrative Code rule 5101:2-33-02. The availability of eleven TASs to conduct CPOE reviews is one more than was available in 2009.

- 2) ***ODJFS should continue to train staff to enter data correctly into SACWIS. Additional training should be provided to staff concerning the system's capacity to produce the reports they need.***

From July 2009 through June 2010, ODJFS provided 17 SACWIS training classes to approximately 104 county and state staff. Sessions ranged from Super User, End User, Assessment/Investigation and Court/Legal Functionality. ODJFS also developed two webinars to support financial functionality and released one instructional video to support county specific Child and Family Services Review reports. Training overviews were also provided during quarterly Statewide User Group meetings. ODJFS recently released a Request for Letterhead Bids "RLB" to assess options for developing additional online and self directed trainings to support automated systems including SACWIS. The project continues to support a comprehensive Knowledge Base Article website where guidance and "how to" documents are frequently posted.

Based upon feedback from the 14 counties that were included in the original financial roll out, ODJFS amended the development and roll out schedule for the SACWIS financial module to better support local agencies. Initial feedback and review revealed counties were struggling with financial roll out and experiencing backlog in payment



processing and reimbursement. As a result, ODJFS significantly worked with counties to increase automation in the fiscal module to support the payment adjustment process and increase flexibility to support reimbursement of leave days.

Also based on this feedback, the financial roll out was segregated into two phases: Phase 1: Adoption Assistance/Medicaid (completed February – October 2010) and Phase 2: Foster Care Maintenance (October 2010 – December 2011). The financial roll out includes a case by case comparison of data housed in the agency's legacy system and SACWIS. The Phase 1 successful roll out last year included significant training and data preparation. The current Phase 2 roll out also includes significant training and data preparation to assist staff in understanding how data are integrated in SACWIS as well as to update and correct inconsistent data in a coordinated effort between state and local staff. Breaking the roll out into two phases has allowed county staff to learn the financial components (which are connected to data in all system modules) in a manner that increases skill development and is not overwhelming.

ODJFS implemented two critical financial reports (4281 and the 4282) in SACWIS in late 2010 to improve data integrity and support financial roll out activities. These reports provide counties with the ability to pull from SACWIS federally required financial information based upon placement and provider/cost information. In the past, data were generated from multiple systems and had to be manually tabulated by counties to provide to the state. Counties that are utilizing the report indicate data integrity is improving as dependencies between caseworker/placement and financial payment data become more visible and manageable.

In December 2009, ODJFS completely re-wrote the AFCARS code and resolved long standing data integrity issues (ensured records were not dropped from one period to another, corrected code to better account for specific population needs and engaged in a comprehensive data mapping process in collaboration with county agencies). During the Performance Improvement Plan negotiation process with ACF over the past year, Ohio achieved a .2% error rate (the national target is 2%) in quality assurance standards set by ACF in CFSR measurement reports.

ODJFS has provided on-site as well as off-site technical assistance to personnel at both Cuyahoga and Franklin Counties to improve their understanding of SACWIS, particularly in the financial area. Franklin County has made significant progress in reducing its backlog and utilizing SACWIS "real time" to ensure payments made to providers from the county auditor match related placement, provider and eligibility information in SACWIS. ODJFS has also provided on-site assistance and regular teleconferences to Cuyahoga County staff. However, Cuyahoga County staff are still relying on their legacy system primarily to make provider payments, and staffing shortages have challenged their efforts to manage data proactively to avoid backlog and/or discrepancies. The longer a county delays utilizing SACWIS data to inform dependent payment systems, the more likely discrepancies and delayed data entry practices will occur.

As previously noted, significant development work to automate the payment adjustment process was also completed in September 2010 to better support county agencies (particularly metros). County staff from most of the financially live counties actively participated in financial module development efforts, and feedback from end users has largely been very positive. These changes will significantly assist personnel at the Cuyahoga County agency as they move forward with ongoing efforts to utilize SACWIS as their system of record.

Over the past year, a coordinated effort between ODJFS policy, monitoring, and SACWIS staff and county staff was made to improve monthly visitation data in SACWIS. ODJFS provided regular reports, training overviews and technical assistance to ensure all visits for children in substitute care are properly entered in SACWIS. A bi-product of this work resulted in the release of a training guide/manual to assist public children services agencies (PCSAs) in entering data accurately and improving performance in meeting monthly visitation standards. The tool "How to Use the Visitation-Monthly" and the "Visitation-Annual Data Cubes" was released in November 2010. Prior to its release, ODJFS SACWIS staff and technical assistance specialists provided technical assistance to PCSAs on entering visitation information correctly and also ensuring visits were occurring. ODJFS monitoring and SACWIS staff provided on-site technical assistance to Cuyahoga County in January 2011 to improve monthly visitation data entry, and the county agency continues to make significant progress moving from a monthly average below 60% in FFY 2010 to more than 80% for the first three months of FFY 2011. Overall, Ohio's annual statewide monthly visitation compliance rate (based upon SACWIS data entry) has improved from FFY 2009's rate of 67% to 81% for FFY 2010. State and county efforts continue toward achieving the 90% FFY 2011 target goal.

At this time, the SACWIS project team is actively engaged in three separate reporting initiatives: 1) Results Oriented Management "ROM", 2) Online SACWIS Report defects and 3) Online Management / Business Intelligence Reports. At a very high level, the ROM initiative is a partnership with Kansas University and Casey Family Programs to create a relatively easy to use reporting tool for counties to monitor federal outcome performance and drill down to the case level to better understand practice issues impacting outcomes. The initial SACWIS data extraction is complete and the project team is currently testing data integrity and working with counties to improve data integrity in SACWIS. As county agency personnel review information that is meaningful to them (in terms of actual cases and outcomes), they will be more likely to invest resources to ensure information is entered accurately. The second project is geared toward improving system performance for form templates/reports in SACWIS (i.e., homestudies, intake forms and case plans). Finally, the third initiative focuses on improving the integration/updating of the Business Intelligence Channel (BIC) (a reporting tool that utilizes SACWIS information and formats it by county and case level data as needed) and providing additional management and services reports to assist local staff. ODJFS in collaboration with the Supreme Court of Ohio Data Manager

provided BIC training to PCSA staff at PCSAO Director's meetings, Regional Training Centers/district offices and during regular Statewide SACWIS Usergroup Meetings.

Ohio's partnership with the Supreme Court of Ohio as well as several federal reform initiatives (ProtectOhio Title IV-E Waiver, Differential/Alternative Response, Kinship grant and the Midwest Child Welfare Implementation Center "MCWIC" project) are supporting improved practice and overall data integrity. As part of the Court Improvement Project, the following activities occurred to educate child welfare stakeholders on using data wisely, aligning program goals with data, and generating action oriented reports to improve child welfare outcomes:

- a) development of the Child and Federal Services Review Dashboard report enabling counties to better understand the federal outcome measures, county performance and best practice strategies;
- b) distribution of county specific reports/information on the degree of racial disparity and disproportionality in foster care;
- c) implementation of training to assist counties in using decision making tools and data to control costs;
- d) development of county specific reports (as requested) to analyze Alternative Response trends;
- e) development of a step-by-step guide to facilitate targeted improvement for monthly visitation data in SACWIS.

**3) ODJFS should consider shaping CPOE Stage 8 to include monitoring of accurate entry of data that could be used in needs assessments.**

During the CPOE Stage 7 review period, PCSAs were in varying stages of SACWIS implementation. Consequently, ODJFS determined compliance for this review period based upon information from the county agency's hard copy file and/or SACWIS.

CPOE Stage 8 was structured to review a random sample of PCSA cases in SACWIS using the CPOE Stage 8 assessment tool. TAS staff review cases to ensure that data is entered into SACWIS and that it is entered in the correct place. SACWIS and monitoring staff developed a mapping document during CPOE Stage 8 planning to identify for counties where data on the CPOE Stage 8 assessment tool can be found in SACWIS. The CPOE Stage 8 final report to each county agency will provide technical assistance about SACWIS data entry and compliance.

Monitoring and SACWIS business analyst staff are collaborating more proactively to assist county agencies. As technical issues impacting data entry/integrity are identified, communication and implementation strategies are shared. Technical assistance review meetings/calls/webinars are often attended by state staff from both areas when problem resolution actions are taken with county agencies. Periodic reports and communication sent to county agencies by the SACWIS team are also shared with the CPOE

monitoring staff to ensure mutual understanding of county challenges/progress and related technical issues.

The SACWIS team is currently engaged in several project initiatives to assist counties in merging data (both newly created and legacy system) in a more comprehensible format. The initial case merge functionality (due to be released prior to July 2011) will allow counties to combine case information for families who may have received services from multiple counties and/or cases that may be inadvertently in the system more than once. Modifications to improve the merge functionality to account for more scenarios and a wider range of cases will occur over the next budget cycle as counties utilize the new functionality and provide improvement feedback to the project team. In addition, the Non ODJFS provider merge functionality (also due to be released prior to July 2011) will assist counties in standardizing service provider information by reducing duplicate providers in the system.

***4) Necessary steps should be taken to correct data discrepancies between old and new systems in Cuyahoga County.***

Since the release of the CPOE Stage 7 report on July 17, 2009, ODJFS determined to focus its efforts on assisting Cuyahoga County Department of Children and Family Services (CCDCFS) in: (1) improving worker/child visit compliance and SACWIS data entry for children in substitute care; and (2) managing data proactively to reduce backlog in financial reimbursement and payment adjustment records.

Worker-child Visits: At the time of the CPOE Stage 7 review, CCDCFS was at a 45% compliance level for monthly visits with children residing in family foster homes, group homes, non-relative homes and relative homes; at a 33% level of compliance for every two weeks visits to children residing in treatment foster homes; and at a 20% level of compliance in conducting every other month visits with children residing in children's residential centers.

As previously noted, SACWIS staff have provided ongoing technical assistance to the agency to improve SACWIS data entry and reliability of monthly visitation data. In addition, Cuyahoga leadership embraced the issue and incorporated visitation data entry expectations into the performance expectations of staff in collaboration with their collective bargaining unit. Regular performance reports, ongoing dialogue between county/state staff to identify and address report code issues as well as a cultural shift in expectations at the county level have all positively impacted Cuyahoga's success in addressing this issue.

As described in the prior section, the financial roll out plan has involved a great deal of thought and preparation in terms of: improving the application to better support agencies (particularly major metros), educating staff on important data dependencies in SACWIS/building county skill sets and cleaning up data discrepancies. By mid 2010, other county major metro agencies were successfully utilizing the system to manage



placement provider reimbursements. ODJFS provided on-site technical assistance as well as technical data fixes and enhancements to address the issue and will continue over the next calendar year. Cuyahoga leadership is also more aware now of the need to ensure SACWIS is utilized proactively (rather than after payments are made and the legacy system is updated) to achieve full success in this area.

The SACWIS project has actively partnered with counties over the past year and a half to improve many functionality and compliance issues through several critical initiatives: 1) financial enhancements/roll out; 2) alternative response (which includes significant changes in the services module and integrity of service provider information); 3) data fix project (eases the application in the intake/search, case transfer and case merge areas); and 4) various report initiatives (previously described). These efforts will continue throughout the current state fiscal year and have already made a significant difference in strengthening the partnership and "buy in" from county agencies in successfully utilizing SACWIS. Continued work over the next budget cycle will be needed to fully optimize functionality in the court, case plan and reports area, as well as required interfaces and overall federal SACWIS compliance.

**5) ODJFS should develop a plan for completing a needs assessment using SACWIS data, and should submit the plan to Plaintiffs for review.**

At this time, Ohio is engaged in significant efforts to meet the terms of the consent decree:

- Improving Service Data Entry: For many counties, as significant time has passed between its original SACWIS implementation and its SACWIS financial roll out, caseworkers have developed habits and "workarounds" that may bypass intended functionality. This is particularly true in the services module as caseworkers prefer to enter data in narrative fields rather than discrete fields that can easily be tabulated into aggregate reports. County caseworkers report difficulties in linking individual services to individual persons on the case plan and have requested additional automation to ease the data entry in the services/case plan functionality. As county and state staff have actively partnered (as previously described) and successfully resolved data entry and reporting issues for monthly visitation, as well as completed Phase 1 of the financial roll out (all counties are live in adoption assistance and Medicaid effective October 2010), ODJFS is in a better position now to partner with counties to improve services functionality, provide more meaningful reports and improve county data entry consistency.
- Improving Data Integrity through Waivers and Pilot Projects: In addition, several counties participating in Ohio's Title IV-E waiver program, entitled Protect Ohio, also are providing leadership to improve data entry. Their actions to improve data entry supporting the Title IV-E waiver target critical interventions, such as family team meetings and kinship service support. As Protect Ohio includes a formal evaluation

as part of the federal waiver reinforcing the federal outcome measures, the project also reinforces good data entry in multiple areas of the SACWIS application. To ultimately produce meaningful reports, a longer term continuous quality improvement process will need to occur in collaboration with county agencies. To the extent possible, ODJFS is incorporating these efforts in the context of the pilot reform initiatives previously described. Based upon success in these projects (which also heavily rely upon evaluation, practice improvements and greater data standardization across counties), progress in improving data integrity and subsequent reports will also be achieved.

- Ensuring Service Status Historical Information is Retained: Previous services functionality did not maintain a historical record of the services status changes. This issue is currently being corrected under the services component of the Alternative Response project. Maintaining a record of historical changes from one status to another will ultimately enable Ohio to successfully assess needed services, barriers and processing times to plan and deliver needed services. While the functionality changes will be implemented by June 30, 2011, additional time will be required to assist counties in utilizing the functionality consistently. Based upon past experience in working with counties to change local habits (as described in the efforts to improve monthly visitation data), a continuous improvement process of reviewing data, modifying discrepancies and improving the timeliness and accuracy of data will be required to produce meaningful service reports. Incremental target goals to increase data entry timeliness and accuracy over multiple reporting periods (likely 1-2 years) will be needed to secure county buy in and build upon strengths within the context of current county budget and resource constraints.
- Completing the Financial Roll Out and Improving Data Integrity: The financial roll out (Phase 2 Foster Care Maintenance due to be completed by December 2011) is a critical aspect of improving SACWIS data integrity and local implementation overall. As federal reimbursement will be tied to the data entered in SACWIS at that time, counties will have a clear financial interest tied to ensuring data are entered timely/properly. At the completion of this phase, dependencies on legacy systems should decrease significantly, freeing up county resources to focus on SACWIS data entry rather than always trying to maintain two systems.
- Improving SACWIS Services Functionality: Significant modifications in the services module are underway. These include enhancements to ease data entry (apply a service to multiple case members) kinship provider and reduce the number of provider duplicates in the system (non-placement providers are now entered in text fields and may be identified differently by multiple counties). All of these enhancements will improve Ohio's ability to accurately report services information as well as the county's ability to accurately capture the information.

- Improving Access to and Integrity of Outcome and System Reports: The Results Oriented Management "ROM" reporting tool as well as the other reporting initiatives are providing a needed platform for county and state staff to work through coding issues as well as local implementation barriers. As county agency staff initially did not trust SACWIS reliability and integrity, it has taken time to work through resistance and build trust to share resources and actively resolve these issues. As counties review the state's mapping logic and compare county and child specific outcome reports to their own internal data and experience, SACWIS use and data integrity will improve. As previously noted, these tools will support incremental steps to provide counties with information that is meaningful to them to support county practice. Ohio is clearly making progress in building a strong partnership with county agencies and improving functionality obstacles in SACWIS to produce a meaningful Needs Assessment. The reports to support the Needs Assessment are being included in the reports initiatives already described. While a great deal of SACWIS development work will be complete by July 1, 2011, additional work (particularly in the case plan and court module) will need to occur in the next two-year state budget cycle (2012-2013). ODJFS leadership is currently working with stakeholders to ensure adequate funding and support is available to continue progress on these critical initiatives.

**6) *Ohio's CFSR PIP should be shared with Plaintiffs upon completion.***

On October 26, 2010, ODJFS provided a copy of the Child and Family Services Review Program Improvement Plan (CFSR/PIP) to the court-approved expert. HHS approved the CFSR/PIP effective October 1, 2010. The first quarter of the CFSR/PIP ended on December 31, 2010.

**7) *Results of SACWIS monitoring should be shared with Plaintiffs when available.***

On May 17, 2010, ODJFS provided a copy of the User Group Presentation for the HHS visit, which included information about SACWIS compliance, to the court-approved expert.

**December 13, 2010 Recommendations:**

**1) *Convene a meeting of ODJFS legal and program representatives with Counsel for the Plaintiffs and Consultant to discuss continued viability of ODJFS's plans to comply with the Roe v. Staples consent decree.***

On December 16, 2010 following receipt of the December report an email, Joan Van Hull of ODJFS sent an e-mail to the court-appointed expert asking if there were any suggested dates for the meeting. The expert's e-mail response that same date stated "I



believe that Michael O'Hara was planning to contact Randi Lewis to discuss possible dates. I have not heard anything regarding specific dates." A follow-up email was sent indicating that Randi Lewis, Deputy Legal Counsel, was retiring in February and the meeting should occur before she left. A meeting is scheduled for February 25, 2011.

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**2) *Ohio officials should complete written responses to the 2009 Interim Report recommendations that have not been addressed by submitted documents.***

This report serves as ODJFS' response to the May 22, 2009 Interim Report.

**3) *Schedule a Roe v. Staples monitoring visit for spring 2011.***

Attached is a schedule of CPOE Stage 8 visits. Please notify Joan Van Hull of the date(s) you will be conducting your on-site visit.

## Child Protection Oversight and Evaluation 8

### County Reviews by Quarter

County	County Size	TAS Assigned	Entrance Date	150 <sup>th</sup> Day for Final CPOE 8 Report
Monroe	Small	Warne Edwards	9/30/10	2/25/11
Noble		Cheryl O'Brien	10/07/10	3/4/11
Champaign		Cyndi Scanland	11/17/10	4/16/11
Harrison		Lynette Way	9/29/10	2/25/11
Fayette		Susan Halter	9/22/10	2/19/11
Logan	Small/Medium	Susan Shafer	9/7/10	2/4/2011
Clinton		Susan Halter	9/13/10	02/10/11
Holmes		Warne Edwards	9/24/10	2/21/11
Belmont	Medium	Warne Edwards	9/30/10	2/25/11
Clark	Large	Susan Shafer	9/30/10	2/27/11
Lorain	Metro	Lynette Way	9/23/10	2/18/11
Franklin	Major Metro	Lisa Purdy	11/1/10	3/31/11

Quarter 2 (January, February, March 2011)				
Period Under Review				
November 1, 2009 to October 31, 2010				
County	County Size	TAS Assigned	Entrance Date	150 <sup>th</sup> Day for Final CPOE 8 Report
Adams	Small	Susan Halter	1/21/11	6/20/11
Coshocton		Cheryl O'Brien		
Carroll		Anne Kackley	1/25/11	6/24/11
Hocking		Lisa Purdy	3/1/11	8/8/11
Crawford	Small/Medium	Nancy Soldner	2/18/11	7/18/11
Hancock	Medium	Nancy Soldner	3/16/11	8/13/11
Seneca		Robert Bruni	2/15/11	7/15/11
Tuscarawas		Anne Kackley	2/24/11	7/22/11
Pickaway		Lisa Purdy	3/29/11	8/26/11
Greene	Large	Susan Shafer	01/12/11	06/11/11
Summit	Metro	Lynette Way	1/27/11	6/24/11
Mahoning		Cheryl O'Brien	3/15/11	8/12/11
Hamilton	Major Metro	Susan Halter	11/1/10	3/31/11

<b>Quarter 3 (April, May, June 2011)</b> <b>Period Under Review</b> <b>February 1, 2010 to January 31, 2011</b>				
County	County Size	TAS Assigned	Entrance Date	150 <sup>th</sup> Day for Final CPOE 8 Report
Henry	Small	Robert Bruni		
Wyandot		Cyndi Scanland		
Williams		Nancy Soldner		
Union	Small/Medium	Susan Shafer/Justin Abel		
Auglaize		Cyndi Scanland		
Fulton		Nancy Soldner		
Jefferson	Medium	Lynette Way		
Knox		Lynette Way		
Allen	Large	Robert Bruni		
Warren	Metro	Susan Halter		

County	County Size	TAS Assigned	Entrance Date	150 <sup>th</sup> Day for Final CPOE 8 Report
Paulding	Small	Robert Bruni		
Gallia		Lisa Purdy/Justin Abel		
Hardin		Cyndi Scanland		
Morrow		Cyndi Scanland/Anne Kackley		
Highland	Small/Medium	Warne Edwards/Justin Abel		
Shelby		Robert Bruni		
Guernsey		Lynette Way		
Sandusky	Medium	Nancy Soldner		
Portage	Large	Anne Kackley		
Ashtabula		Cheryl O'Brien		
Montgomery	Metro	Susan Shafer		



County	County Size	TAS Assigned	Entrance Date	150 <sup>th</sup> Day for Final CPOE 8 Report
Meigs	Small	Justin Abel		
Van Wert		Cyndi Scanland		
Putnam		Robert Bruni		
Preble	Small/Medium	Susan Halter		
Madison		Justin Abel		
Huron	Medium	Nancy Soldner		
Marion		Robert Bruni		
Medina	Large	Warne Edwards		
Richland		Lynette Way		
Trumbull	Metro	Anne Kackley		
Butler		Susan Shafer		
Cuyahoga	Major Metro	Warne Edwards		
Franklin		Lisa Purdy		

Quarter 6 (January, February, March 2012)				
Period Under Review				
November 1, 2010 to October 31, 2011				
County	County Size	TAS Assigned	Entrance Date	150 <sup>th</sup> Day for Final CPOE 8 Report
Jackson	Small	Justin Abel		
Defiance		Robert Bruni		
Ottawa	Small/Medium	Nancy Soldner		
Muskingum	Medium	Anne Kackley		
Geauga		Cheryl O'Brien		
Erie		Cyndi Scanland		
Washington		Lynette Way		
Darke		Susan Shafer		
Licking	Large	Lisa Purdy		
Wayne		Warne Edwards		
Miami		Susan Shafer		
Lucas	Major Metro	Cyndi Scanland		

County	County Size	TAS Assigned	Entrance Date	150 <sup>th</sup> Day for Final CPOE 8 Report
Perry	Small	Cheryl O'Brien		
Pike		Susan Shafer		
Ashland	Medium	Cheryl O'Brien		
Lawrence		Lisa Purdy		
Athens		Justin Abel		
Scioto		Susan Halter		
Columbiana	Large	Anne Kackley		
Delaware		Lisa Purdy		
Clermont		Susan Halter		
Stark	Metro	Anne Kackley		

Roe v. Staples Status Report				
County	County Size	TAS Assigned	Entrance Date	150 <sup>th</sup> Day for Final CPOE 8 Report
Morgan	Small	Warne Edwards		
Vinton		Lisa Purdy		
Brown	Small/Medium	Susan Halter		
Mercer		Cyndi Scanland		
Ross	Medium	Justin Abel		
Wood	Large	Nancy Soldner		
Fairfield		Lisa Purdy		
Lake	Metro	Cheryl O'Brien		