



Child and Family Services Reviews

Kentucky

Final Report

2016



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR
CHILDREN & FAMILIES
Administration on Children, Youth and Families
Children's Bureau

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Final Report: Kentucky Child and Family Services Review

INTRODUCTION

This document presents the findings of the Child and Family Services Review (CFSR) for the state of Kentucky. The CFSRs enable the Children's Bureau to: (1) ensure conformity with certain federal child welfare requirements; (2) determine what is actually happening to children and families as they are engaged in child welfare services; and (3) assist states in enhancing their capacity to help children and families achieve positive outcomes. Federal law and regulations authorize the Children's Bureau, within the U.S. Department of Health and Human Services' Administration for Children and Families, to administer the review of child and family services programs under titles IV-B and IV-E of the Social Security Act. The CFSRs are structured to help states identify strengths and areas needing improvement in their child welfare practices and programs as well as institute systemic changes that will improve child and family outcomes.

The findings for Kentucky are based on:

- The statewide assessment prepared by the Cabinet for Health and Family Services, Department for Community Based Services, Division of Protection and Permanency, and submitted to the Children's Bureau on May 9, 2016. The statewide assessment is the state's analysis of its performance on outcomes, and the functioning of systemic factors in relation to title IV-B and IV-E requirements and the title IV-B Child and Family Services Plan
- The results of case reviews of 65 cases (40 foster care and 25 in-home cases) conducted via a Traditional Review process in Jefferson, Rowan, and McCracken counties, Kentucky, during the week of July 25, 2016
- Interviews and focus groups with state stakeholders and partners, which included:
 - Attorneys representing the agency
 - Attorneys representing parents
 - Court Appointed Special Advocates
 - Child welfare agency caseworkers and supervisors
 - Child welfare agency directors, assistance directors, senior managers, and program managers
 - Foster and adoptive licensing staff
 - Foster and adoptive parents and relative caregivers
 - Interstate Compact on the Placement of Children staff
 - Judges
 - Data and IT staff
 - Parents
 - Private child care facility and foster home staff

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- Representatives from the courts and Court Improvement Project
- Service providers
- Youth served by the agency

In Round 3, the Children's Bureau suspended the use of the state's performance on the national standards for the 7 statewide data indicators in conformity decisions. For contextual information, Appendix A of this report shows the state's performance on the 7 data indicators. Moving forward, the Children's Bureau will refer to the national standards as "national performance." This national performance represents the performance of the nation on the statewide data indicators for an earlier point in time. For the time periods used to calculate the national performance for each indicator, see 80 Fed. Reg. 27263 (May 13, 2015).

Background Information

The Round 3 CFSR assesses state performance with regard to substantial conformity with 7 child and family outcomes and 7 systemic factors. Each outcome incorporates 1 or more of the 18 items included in the case review, and each item is rated as a Strength or Area Needing Improvement based on an evaluation of certain child welfare practices and processes in the cases reviewed in the state. With two exceptions, an item is assigned an overall rating of Strength if 90% or more of the applicable cases reviewed were rated as a Strength. Because Item 1 is the only item for Safety Outcome 1 and Item 16 is the only item for Well-Being Outcome 2, the requirement of a 95% Strength rating applies to those items. For a state to be in substantial conformity with a particular outcome, 95% or more of the cases reviewed must be rated as having substantially achieved the outcome.

Eighteen items are considered in assessing the state's substantial conformity with the 7 systemic factors. Each item reflects a key federal program requirement relevant to the Child and Family Services Plan (CFSP) for that systemic factor. An item is rated as a Strength or an Area Needing Improvement based on how well the item-specific requirement is functioning. A determination of the rating is based on information provided by the state to demonstrate the functioning of the systemic factor in the statewide assessment and, as needed, from interviews with stakeholders and partners. For a state to be in substantial conformity with the systemic factors, no more than 1 of the items associated with the systemic factor can be rated as an Area Needing Improvement. For systemic factors that have only 1 associated item, that item must be rated as a Strength for a determination of substantial conformity.

The Children's Bureau made several changes to the CFSR process and items and indicators relevant for performance based on lessons learned during the second round of reviews and in response to feedback from the child welfare field. As such, a state's performance in the third round of the CFSRs is not directly comparable to its performance in the second round. Appendix A provides tables presenting Kentucky's overall performance in Round 3. Appendix B provides information about Kentucky's performance in Round 2.

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I. SUMMARY OF PERFORMANCE

Kentucky 2016 CFSR Assessment of Substantial Conformity for Outcomes and Systemic Factors

None of the 7 outcomes was found to be in substantial conformity.

The following 3 of 7 systemic factors were found to be in substantial conformity:

- Statewide Information System
- Agency Responsiveness to the Community
- Foster and Adoptive Parent Licensing, Recruitment, and Retention

Children's Bureau Comments on Kentucky Performance

The following are the Children's Bureau's observations about cross-cutting issues and Kentucky's overall performance:

Kentucky's positive work in the area of foster and adoptive resources is evidenced by a substantial conformity rating of the systemic factor related to foster and adoptive parent licensing, recruitment, and retention along with strong case review findings related to the assessment of needs and provision of services for foster parents. Stakeholders also reported improved collaborative relationships between the agency and foster families. The Children's Bureau encourages Kentucky to consider ways of leveraging the state's existing strong system to support resource parents and to address other concerns raised during the review, particularly with regard to support for relative caregivers.

The Children's Bureau heard that the state is taking steps to remedy concerns with the adequacy of its service array. The state is working toward developing a performance-based contracting model that may improve access to individualized services for families and ensure better quality in tailored service delivery.

A number of the in-home services cases reviewed involved children who were not in the agency's placement and care responsibility or custody but in the temporary custody of relatives. We heard in stakeholder interviews about the extensive use of placement with relatives to prevent foster care placement. Although the children in these situations are not in foster care, children may remain in these out-of-home situations for extended periods of time. In some cases, it was not clear whether and how such children would return to their homes or achieve another form of legal permanency. Concerted efforts toward reunification with the parents/caregivers who originally were caring for the children were not always evident. An adequate assessment of the relative caregivers' ability to meet all of the needs of the children in their care was not always evident. For example, relative caregivers' financial capability to support the child was not assessed or ensured in all cases as only some caregivers were able to obtain child support or other funding to provide for the children.

Case reviews indicated significant challenges in achieving safety and well-being outcomes in in-home services cases. A key, cross-cutting issue is the lack of quality worker visits with all children in in-home cases. In some cases the focus is on one child in the

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family rather than on adequately assessing all of the children. The lack of frequent, quality caseworker visits affects the adequacy of ongoing risk and safety assessments, as well as comprehensive assessments of the children's needs. In some cases, children are left in homes with unaddressed safety issues due to insufficient assessment and lack of services. In many cases, inadequate safety planning is another significant issue and reveals a need for improved training and supervision to ensure that safety plans are developed and monitored appropriately.

Nearly half of the cases reviewed involved substance abuse by parents, caregivers, or youth. Stakeholders reported that substance abuse is a significant concern across the state and that there are limited services available. To craft strategies for improvement that are targeted to this specific need, we encourage the state to conduct further assessment of its array of substance abuse treatment services and access to those services. Stakeholders reported that the Sobriety Treatment and Recovery Teams (START) program has been effective in addressing these concerns in parts of the state. Further exploration of opportunities to expand the principles and services offered through the START program through worker training, court engagement, and service expansion would be beneficial for the state.

An overwhelming concern evident in the cases and raised by stakeholders is a lack of family engagement and a negative perception of families that does not support family-centered practice in Kentucky's child welfare system, including the court system. In more than half of the cases reviewed, frequent, quality worker visits with parents did not occur; parents were not adequately engaged in case planning; the needs of parents were not comprehensively assessed; and needed services were not provided. Some court jurisdictions exercise a punitive approach to working with families, and sometimes parents are not offered adequate time or services to resolve the issues that brought their children into care. The perspective of the court often drives decision-making and can influence engagement by the caseworker, resulting in little effort to adequately engage and support families. A limited service array may also impede the state's efforts to effectively engage with families.

The state's lowest performing outcome was ensuring that children have permanency and stability in their living situations. Systemically, although a variety of reviews occur for children in care, no consistent process for the periodic review of children statewide adequately supports timely permanency for children. Although permanency hearings are held frequently, case reviews showed concerns with ensuring appropriate permanency goals for children and delays in achieving timely permanency. Case reviews also showed significant delays in filing proceedings for termination of parental rights or in noting compelling reasons not to file. In addition, although concurrent plans are established in some cases, they often are not implemented effectively and, therefore, do not improve timely achievement of permanency.

In foster care cases, improvement is needed in ensuring that children's connections are preserved, relatives are assessed as placement resources, and the relationship between a child and parent is nurtured and supported through visitation and other activities. Court practices of withholding visitation based on compliance with services do not serve to support children's relationships with their parents, which is critical to ensuring child well-being and supporting permanency. Attention to these areas of permanency practice will likely also have a positive impact on family engagement. Families are often more likely to view the agency as supportive when efforts are made to utilize family resources and enhance those connections.

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A lack of consistency across the state in both practice performance and functioning of systemic factors is highlighted throughout the review results. A robust CQI system would effectively support consistency across the state, ensuring that the strengths and needs of the system are assessed uniformly and that improvement strategies are monitored and implemented effectively. Ensuring a case review process that assesses outcomes for families, evaluates strengths and needs in practice, and integrates the perspectives of children, parents, and foster parents is critical. The state's CFSP relies heavily on the use of regional plans to address areas needing improvement. The effectiveness of this strategy depends on the quality of regional plans in accurately assessing needs through data analysis and developing plans that are monitored to evaluate their effectiveness. The CB believes that focused work to improve these aspects of the CQI system will enhance Kentucky's capacity to achieve improved outcomes.

Stakeholder interviews and case review findings also highlighted significant workforce concerns, including inadequate staff training, high turnover, and high caseloads due to staffing shortages. Several caseworkers assigned to one case result in delayed service provision and disjointed case planning. Kentucky identified the workforce as an area of focus in the CFSP and plans to develop a recruitment plan for staff. The Children's Bureau encourages the state to consider staff retention efforts as well, to ensure a stabilized workforce.

II. KEY FINDINGS RELATED TO OUTCOMES

For each outcome, we provide performance summaries from the case review findings. The CFSR relies upon a case review of an approved sample of foster care cases and in-home services cases. Where relevant, we provide performance summaries that are differentiated between foster care and in-home services cases.

This report provides an overview. Results have been rounded to the nearest whole number. Details on each case rating are available to the Cabinet for Health and Family Services, Department for Community Based Services, Division of Protection and Permanency. The state is encouraged to conduct additional item-specific analysis of the case review findings to better understand areas of practice that are associated with positive outcomes and those that need improvement.

Safety Outcome 1: Children are, first and foremost, protected from abuse and neglect.

The Children's Bureau calculates the state's performance on Safety Outcome 1 using the state's performance on Item 1.

State Outcome Performance

Kentucky is not in substantial conformity with Safety Outcome 1.

The outcome was substantially achieved in 75% of the 36 applicable cases reviewed.

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Safety Outcome 1 Item Performance

Item 1. Timeliness of Initiating Investigations of Reports of Child Maltreatment

Purpose of Assessment: To determine whether responses to all accepted child maltreatment reports received during the period under review were initiated, and face-to-face contact with the child(ren) made, within the time frames established by agency policies or state statutes.

State policy requires that reports indicating imminent danger be initiated within 1 hour. An exception is possible if there are indications that the alleged perpetrator does not have immediate access to the alleged victim or other children in the home. Reports indicating non-imminent risk of physical abuse are initiated within 24 hours, and reports indicating non-imminent risk and not involving physical abuse are initiated within 48 hours. A report is considered initiated when face-to-face contact with the reported victim occurs. Initiation time frames begin from the moment the intake Social Services Worker submits the report to the intake Family Services Office Supervisor (FSOS) or, in after-hours situations, upon the on-call FSOS's decision to accept the report.

- Kentucky received an overall rating of Area Needing Improvement for Item 1 because 75% of the 36 applicable cases were rated as a Strength.

For performance on the safety statewide data indicators, see Appendix A.

Safety Outcome 2: Children are safely maintained in their homes whenever possible and appropriate.

The Children's Bureau calculates the state's performance on Safety Outcome 2 using the state's performance on Items 2 and 3.

State Outcome Performance

Kentucky is not in substantial conformity with Safety Outcome 2.

The outcome was substantially achieved in 60% of the 65 cases reviewed.

The outcome was substantially achieved in 75% of the 40 foster care cases and 36% of the 25 in-home services cases.

Safety Outcome 2 Item Performance

Item 2. Services to Family to Protect Child(ren) in the Home and Prevent Removal or Re-Entry Into Foster Care

Purpose of Assessment: To determine whether, during the period under review, the agency made concerted efforts to provide services to the family to prevent children's entry into foster care or re-entry after a reunification.

- Kentucky received an overall rating of Area Needing Improvement for Item 2 because 67% of the 21 applicable cases were rated as a Strength.

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- Item 2 was rated as a Strength in 90% of the 10 applicable foster care cases and 45% of the 11 applicable in-home services cases.

Item 3. Risk and Safety Assessment and Management

Purpose of Assessment: To determine whether, during the period under review, the agency made concerted efforts to assess and address the risk and safety concerns relating to the child(ren) in their own homes or while in foster care.

- Kentucky received an overall rating of Area Needing Improvement for Item 3 because 60% of the 65 applicable cases were rated as a Strength.
- Item 3 was rated as a Strength in 75% of the 40 applicable foster care cases and 36% of the 25 applicable in-home services cases.

Permanency Outcome 1: Children have permanency and stability in their living situations.

The Children's Bureau calculates the state's performance on Permanency Outcome 1 using the state's performance on Items 4, 5, and 6.

State Outcome Performance

Kentucky is not in substantial conformity with Permanency Outcome 1.

The outcome was substantially achieved in 23% of the 40 applicable cases reviewed.

Permanency Outcome 1 Item Performance

Item 4. Stability of Foster Care Placement

Purpose of Assessment: To determine whether the child in foster care is in a stable placement at the time of the onsite review and that any changes in placement that occurred during the period under review were in the best interests of the child and consistent with achieving the child's permanency goal(s).

- Kentucky received an overall rating of Area Needing Improvement for Item 4 because 68% of the 40 applicable cases were rated as a Strength.

Item 5. Permanency Goal for Child

Purpose of Assessment: To determine whether appropriate permanency goals were established for the child in a timely manner.

- Kentucky received an overall rating of Area Needing Improvement for Item 5 because 33% of the 40 applicable cases were rated as a Strength.

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Item 6. Achieving Reunification, Guardianship, Adoption, or Other Planned Permanent Living Arrangement

Purpose of Assessment: To determine whether concerted efforts were made, or are being made, during the period under review to achieve reunification, guardianship, adoption, or other planned permanent living arrangement.

- Kentucky received an overall rating of Area Needing Improvement for Item 6 because 35% of the 40 applicable cases were rated as a Strength.

For performance on the permanency statewide data indicators, see Appendix A.

Permanency Outcome 2: The continuity of family relationships and connections is preserved for children.

The Children's Bureau calculates the state's performance on Permanency Outcome 2 using the state's performance on Items 7, 8, 9, 10, and 11.

State Outcome Performance

Kentucky is not in substantial conformity with Permanency Outcome 2.

The outcome was substantially achieved in 56% of the 39 applicable cases reviewed.

Permanency Outcome 2 Item Performance

Item 7. Placement With Siblings

Purpose of Assessment: To determine whether, during the period under review, concerted efforts were made to ensure that siblings in foster care are placed together unless a separation was necessary to meet the needs of one of the siblings.

- Kentucky received an overall rating of Strength for Item 7 because 96% of the 26 applicable cases were rated as a Strength.

Item 8. Visiting With Parents and Siblings in Foster Care

Purpose of Assessment: To determine whether, during the period under review, concerted efforts were made to ensure that visitation between a child in foster care and his or her mother, father,¹ and siblings is of sufficient frequency and quality to promote continuity in the child's relationship with these close family members.

¹ For Item 8, "Mother" and "Father" are typically defined as the parents/caregivers from whom the child was removed and with whom the agency is working toward reunification. The persons identified in these roles for the purposes of the review may include individuals who do not meet the legal definitions or conventional meanings of a mother and father.

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- Kentucky received an overall rating of Area Needing Improvement for Item 8 because 63% of the 30 applicable cases were rated as a Strength.
- In 44% of the 9 applicable cases, the agency made concerted efforts to ensure that both the frequency and quality of visitation with a sibling(s) in foster care who is/was in a different placement setting was sufficient to maintain and promote the continuity of the relationship.
- In 68% of the 22 applicable cases, the agency made concerted efforts to ensure that both the frequency and quality of visitation between the child in foster care and his or her mother was sufficient to maintain and promote the continuity of the relationship.
- In 70% of the 10 applicable cases, the agency made concerted efforts to ensure that both the frequency and quality of visitation between the child in foster care and his or her father was sufficient to maintain and promote the continuity of the relationship.

Item 9. Preserving Connections

Purpose of Assessment: To determine whether, during the period under review, concerted efforts were made to maintain the child's connections to his or her neighborhood, community, faith, extended family, Tribe, school, and friends.

- Kentucky received an overall rating of Area Needing Improvement for Item 9 because 68% of the 38 applicable cases were rated as a Strength.

Item 10. Relative Placement

Purpose of Assessment: To determine whether, during the period under review, concerted efforts were made to place the child with relatives when appropriate.

- Kentucky received an overall rating of Area Needing Improvement for Item 10 because 54% of the 35 applicable cases were rated as a Strength.

Item 11. Relationship of Child in Care With Parents

Purpose of Assessment: To determine whether, during the period under review, concerted efforts were made to promote, support, and/or maintain positive relationships between the child in foster care and his or her mother and father² or other primary caregiver(s) from whom the child had been removed through activities other than just arranging for visitation.

² For Item 11, "Mother" and "Father" are typically defined as the parents/caregivers from whom the child was removed and with whom the agency is working toward reunification.

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- Kentucky received an overall rating of Area Needing Improvement for Item 11 because 52% of the 23 applicable cases were rated as a Strength.
- In 57% of the 21 applicable cases, the agency made concerted efforts to promote, support, and otherwise maintain a positive and nurturing relationship between the child in foster care and his or her mother.
- In 45% of the 11 applicable cases, the agency made concerted efforts to promote, support, and otherwise maintain a positive and nurturing relationship between the child in foster care and his or her father.

Well-Being Outcome 1: Families have enhanced capacity to provide for their children's needs.

The Children's Bureau calculates the state's performance on Well-Being Outcome 1 using the state's performance on Items 12, 13, 14, and 15.

State Outcome Performance

Kentucky is not in substantial conformity with Well-Being Outcome 1.

The outcome was substantially achieved in 31% of the 65 cases reviewed.

The outcome was substantially achieved in 35% of the 40 foster care cases and 24% of the 25 in-home services cases.

Well-Being Outcome 1 Item Performance

Item 12. Needs and Services of Child, Parents, and Foster Parents

Purpose of Assessment: To determine whether, during the period under review, the agency (1) made concerted efforts to assess the needs of children, parents,³ and foster parents (both initially, if the child entered foster care or the case was opened during the period under review, and on an ongoing basis) to identify the services necessary to achieve case goals and adequately address the issues relevant to the agency's involvement with the family, and (2) provided the appropriate services.

- Kentucky received an overall rating of Area Needing Improvement for Item 12 because 34% of the 65 cases were rated as a Strength.

³ For Sub-Item 12B, in the in-home cases, "Mother" and "Father" are typically defined as the parents/caregivers with whom the children were living when the agency became involved with the family and with whom the children will remain (for example, biological parents, relatives, guardians, adoptive parents). In the foster care cases, "Mother" and "Father" are typically defined as the parents/caregivers from whom the child was removed and with whom the agency is working toward reunification; however, biological parents who were not the parents from whom the child was removed may also be included, as may adoptive parents if the adoption was finalized during the period under review. A rating could consider the agency's work with multiple applicable "mothers" and "fathers" for the period under review in the case.

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- Item 12 was rated as Strength in 38% of the 40 foster care cases and 28% of the 25 in-home services cases.

Item 12 is divided into three sub-items:

Sub-Item 12A. Needs Assessment and Services to Children

- Kentucky received an overall rating of Area Needing Improvement for Item 12A because 68% of the 65 cases were rated as a Strength.
- Item 12A was rated as a Strength in 85% of the 40 foster care cases and 40% of the 25 in-home services cases.

Sub-Item 12B. Needs Assessment and Services to Parents

- Kentucky received an overall rating of Area Needing Improvement for Item 12B because 39% of the 57 applicable cases were rated as a Strength.
- Item 12B was rated as a Strength in 41% of the 32 applicable foster care cases and 36% of the 25 applicable in-home services cases.
- In 39% of the 54 applicable cases, the agency made concerted efforts both to assess and address the needs of mothers.
- In 37% of the 41 applicable cases, the agency made concerted efforts both to assess and address the needs of fathers.

Sub-Item 12C. Needs Assessment and Services to Foster Parents

- Kentucky received an overall rating of Area Needing Improvement for Item 12C because 81% of the 37 applicable foster care cases were rated as a Strength.

Item 13. Child and Family Involvement in Case Planning

Purpose of Assessment: To determine whether, during the period under review, concerted efforts were made (or are being made) to involve parents⁴ and children (if developmentally appropriate) in the case planning process on an ongoing basis.

- Kentucky received an overall rating of Area Needing Improvement for Item 13 because 40% of the 63 applicable cases were rated as a Strength.

⁴ For Item 13, in the in-home cases, “Mother” and “Father” are typically defined as the parents/caregivers with whom the children were living when the agency became involved with the family and with whom the children will remain (for example, biological parents, relatives, guardians, adoptive parents). In the foster care cases, “mother” and “father” are typically defined as the parents/caregivers from whom the child was removed and with whom the agency is working toward reunification; however, biological parents who were not the parents from whom the child was removed may also be included, as may adoptive parents if the adoption was finalized during the period under review. A rating could consider the agency’s work with multiple applicable “mothers” and “fathers” for the period under review in the case.

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- Item 13 was rated as a Strength in 47% of the 38 applicable foster care cases and 28% of the 25 applicable in-home services cases.
- In 51% of the 41 applicable cases, the agency made concerted efforts to involve child(ren) in case planning.
- In 52% of the 52 applicable cases, the agency made concerted efforts to involve mothers in case planning.
- In 49% of the 37 applicable cases, the agency made concerted efforts to involve fathers in case planning.

Item 14. Caseworker Visits With Child

Purpose of Assessment: To determine whether the frequency and quality of visits between caseworkers and the child(ren) in the case are sufficient to ensure the safety, permanency, and well-being of the child(ren) and promote achievement of case goals.

- Kentucky received an overall rating of Area Needing Improvement for Item 14 because 58% of the 65 cases were rated as a Strength.
- Item 14 was rated as a Strength in 73% of the 40 foster care cases and 36% of the 25 in-home services cases.

Item 15. Caseworker Visits With Parents

Purpose of Assessment: To determine whether, during the period under review, the frequency and quality of visits between caseworkers and the mothers and fathers⁵ of the child(ren) are sufficient to ensure the safety, permanency, and well-being of the child(ren) and promote achievement of case goals.

- Kentucky received an overall rating of Area Needing Improvement for Item 15 because 41% of the 56 applicable cases were rated as a Strength.
- Item 15 was rated as a Strength in 45% of the 31 applicable foster care cases and 36% of the 25 applicable in-home services cases.
- In 43% of the 53 applicable cases, the agency made concerted efforts to ensure that both the frequency and quality of caseworker visitation with mothers were sufficient.

⁵ For Item 15, in the in-home cases, “Mother” and “Father” are typically defined as the parents/caregivers with whom the children were living when the agency became involved with the family and with whom the children will remain (for example, biological parents, relatives, guardians, adoptive parents). In the foster care cases, “Mother” and “Father” is typically defined as the parents/caregivers from whom the child was removed and with whom the agency is working toward reunification; however, biological parents who were not the parents from whom the child was removed may also be included, as may adoptive parents if the adoption was finalized during the period under review. A rating could consider the agency’s work with multiple applicable mother and fathers for the period under review in the case.

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- In 44% of the 36 applicable cases, the agency made concerted efforts to ensure that both the frequency and quality of caseworker visitation with fathers were sufficient.

Well-Being Outcome 2: Children receive appropriate services to meet their educational needs.

The Children's Bureau calculates the state's performance on Well-Being Outcome 2 using the state's performance on Item 16.

State Outcome Performance

Kentucky is not in substantial conformity with Well-Being Outcome 2.

The outcome was substantially achieved in 77% of the 44 applicable cases reviewed.

Well-Being Outcome 2 Item Performance

Item 16. Educational Needs of the Child

Purpose of Assessment: To assess whether, during the period under review, the agency made concerted efforts to assess children's educational needs at the initial contact with the child (if the case was opened during the period under review) or on an ongoing basis (if the case was opened before the period under review), and whether identified needs were appropriately addressed in case planning and case management activities.

- Kentucky received an overall rating of Area Needing Improvement for Item 16 because 77% of the 44 applicable cases were rated as a Strength.
- Item 16 was rated as a Strength in 84% of the 37 applicable foster care cases and 43% of the 7 applicable in-home services cases.

Well-Being Outcome 3: Children receive adequate services to meet their physical and mental health needs.

The Children's Bureau calculates the state's performance on Well-Being Outcome 3 using the state's performance on Items 17 and 18.

State Outcome Performance

Kentucky is not in substantial conformity with Well-Being Outcome 3.

The outcome was substantially achieved in 59% of the 59 applicable cases reviewed.

The outcome was substantially achieved in 73% of the 40 applicable foster care cases and 32% of the applicable 19 in-home services cases

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Well-Being Outcome 3 Item Performance

Item 17. Physical Health of the Child

Purpose of Assessment: To determine whether, during the period under review, the agency addressed the physical health needs of the children, including dental health needs.

- Kentucky received an overall rating of Area Needing Improvement for Item 17 because 76% of the 49 applicable cases were rated as a Strength.
- Item 17 was rated as a Strength in 83% of the 40 foster care cases and 44% of the 9 applicable in-home services cases.

Item 18. Mental/Behavioral Health of the Child

Purpose of Assessment: To determine whether, during the period under review, the agency addressed the mental/behavioral health needs of the children.

- Kentucky received an overall rating of Area Needing Improvement for Item 18 because 63% of the 43 applicable cases were rated as a Strength.
- Item 18 was rated as a Strength in 75% of the 28 applicable foster care cases and 40% of the 15 applicable in-home services cases.

III. KEY FINDINGS RELATED TO SYSTEMIC FACTORS

For each systemic factor below, we provide performance summaries and a determination of whether the state is in substantial conformity with that systemic factor. In addition, we provide ratings for each item and a description of how the rating was determined. The CFSR relies upon a review of information contained in the statewide assessment to assess each item. If an item rating cannot be determined from the information contained in the statewide assessment, the Children's Bureau conducts stakeholder interviews and considers information gathered through the interviews in determining ratings for each item.

Statewide Information System

The Children's Bureau assesses the state's performance on this systemic factor using the state's performance on Item 19.

State Systemic Factor Performance

Kentucky is in substantial conformity with the systemic factor of Statewide Information System. The one item in this systemic factor was rated as a Strength.

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Statewide Information System Item Performance

Item 19. Statewide Information System

Description of Systemic Factor Item: The statewide information system is functioning statewide to ensure that, at a minimum, the state can readily identify the status, demographic characteristics, location, and goals for the placement of every child who is (or, within the immediately preceding 12 months, has been) in foster care.

- Kentucky received an overall rating of Strength for Item 19 based on information from the statewide assessment and stakeholder interviews.
- Information in the statewide assessment and collected during stakeholder interviews showed that Kentucky's statewide information system, The Worker Information System (TWIST), can readily identify the status, demographic characteristics, location, and goals for placement of every child who is in foster care. Stakeholders reported that some mechanisms are in place to monitor data entry, including management reports and the use of CQI specialists.

Case Review System

The Children's Bureau assesses the state's performance on this systemic factor using the state's performance on Items 20, 21, 22, 23, and 24.

State Systemic Factor Performance

Kentucky is not in substantial conformity with the systemic factor of Case Review System. One of the 5 items in this systemic factor was rated as a Strength.

Case Review System Item Performance

Item 20. Written Case Plan

Description of Systemic Factor Item: The case review system is functioning statewide to ensure that each child has a written case plan that is developed jointly with the child's parent(s) and includes the required provisions.

- Kentucky received an overall rating of Area Needing Improvement for Item 20 based on information from the statewide assessment and stakeholder interviews.
- Information provided in the statewide assessment and collected during stakeholders interviews showed that parents are not routinely engaged in case planning and engagement varies based on the worker involved. Barriers include worker turnover, high caseloads, lack of available services to offer parents and, in some jurisdictions, punitive court practices that are not family-centered. For example, courts sometimes have withheld contact between parents and children until parents complete services and have applied unreasonable time frames to demonstrate progress for families struggling with addiction.

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Additionally, stakeholders reported that case plans are sometimes developed without parental involvement and before case planning conferences.

Item 21. Periodic Reviews

Description of Systemic Factor Item: The case review system is functioning statewide to ensure that a periodic review for each child occurs no less frequently than once every 6 months, either by a court or by administrative review.

- Kentucky received an overall rating of Area Needing Improvement for Item 21 based on information from the statewide assessment and stakeholder interviews.
- Information in statewide assessment and collected during stakeholder interviews showed that there is no consistent process in place statewide to ensure that periodic reviews of every child in foster care occur no less frequently than once every 6 months. In the statewide assessment, Kentucky reported that administrative reviews are held for every child in foster care to meet the periodic review requirements; however, stakeholders said that an objective third party is not always present during these reviews. Stakeholders reported that frequent court hearings, sometimes every 3 months, are held in many jurisdictions of the state, but it was not clear whether court hearings are happening at least every 6 months for every child in care across the state. Stakeholders also reported that although the foster care review board reviews the case of every child in foster care every 6 months, the state has not determined whether this review meets the requirements for periodic reviews.

Item 22. Permanency Hearings

Description of Systemic Factor Item: The case review system is functioning statewide to ensure that each child has a permanency hearing in a qualified court or administrative body that occurs no later than 12 months from the date the child entered foster care and no less frequently than every 12 months thereafter.

- Kentucky received an overall rating of Strength for Item 22 based on information from the statewide assessment and stakeholder interviews.
- Information in the statewide assessment and collected during stakeholder interviews showed that permanency hearings occur timely for all children in foster care throughout the state. Permanency hearings are routinely scheduled at the disposition hearing and reminders are built into the agency data system to indicate when a hearing is due. All stakeholders confirmed that there are no concerns with the timeliness of hearings, although there are some concerns that the quality of hearings is inconsistent.

Item 23. Termination of Parental Rights

Description of Systemic Factor Item: The case review system is functioning statewide to ensure that the filing of termination of parental rights proceedings occurs in accordance with required provisions.

- Kentucky received an overall rating of Area Needing Improvement for Item 23 based on information from the statewide assessment and stakeholder interviews.

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- Information in the statewide assessment and collected during stakeholder interviews showed that the filing of termination of parental rights (TPR) proceedings is not occurring as required in a consistent manner across the state and the timeliness of filing varies by region. Although pre-permanency conferences appear to be occurring to prepare for permanency decisions, including TPR filing, delays are experienced in some regions. Some barriers include a lack of adequate staffing in the Office of Legal Services to process the petitions and staff turnover.

Item 24. Notice of Hearings and Reviews to Caregivers

Description of Systemic Factor Item: The case review system is functioning to ensure that foster parents, pre-adoptive parents, and relative caregivers of children in foster care are notified of, and have a right to be heard in, any review or hearing held with respect to the child.

- Kentucky received an overall rating of Area Needing Improvement for Item 24. Findings were determined based on information from the statewide assessment. Kentucky agreed with this rating and felt that additional information collected during stakeholder interviews would not affect the rating.
- Information provided in the statewide assessment indicated that foster parents are not routinely notified of reviews and court hearings, and that their right to be heard in these proceedings is not always guaranteed. The state does not have a standard statewide process to ensure that caregivers are consistently notified of or invited to participate in periodic reviews, or informed of their right to be heard in hearings. Kentucky reported in the statewide assessment that in some jurisdictions caregivers are not allowed to remain in the courtroom or offer information during the hearing.

Quality Assurance System

The Children's Bureau assesses the state's performance on this systemic factor using the state's performance on Item 25.

State Systemic Factor Performance

Kentucky is not in substantial conformity with the systemic factor of Quality Assurance System. The one item in this systemic factor was rated as an Area Needing Improvement.

Quality Assurance System Item Performance

Item 25. Quality Assurance System

Description of Systemic Factor Item: The quality assurance system is functioning statewide to ensure that it (1) operating in the jurisdictions where the services included in the Child and Family Services Plan (CFSP) are provided, (2) has standards to evaluate the quality of services (including standards to ensure that children in foster care are provided quality services that protect their health and safety), (3) identifies strengths and needs of the service delivery system, (4) provides relevant reports, and (5) evaluates implemented program improvement measures.

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- Kentucky received an overall rating of Area Needing Improvement for Item 25 based on information from the statewide assessment and stakeholder interviews.
- Information provided in the statewide assessment and collected during stakeholder interviews showed that Kentucky does not have a quality assurance (QA) system that is functioning effectively statewide. While Kentucky's QA system includes key components that are strengths, such as dedicated Continuous Quality Improvement (CQI) specialists assigned to each region and management's access to some meaningful data reports, the case review process is not effectively identifying the strengths and needs of the system. Some stakeholders question the usefulness of the process because it appears to be more compliance driven rather than focused on assessing practice. There are concerns that despite having a structure in place for regional action plans to address areas needing improvement, the state is not adequately evaluating implemented program improvement measures. Although the state has access to large amounts of data, there are concerns with the quality of some of the data being used to evaluate performance in some key practice areas, and relevant CQI data are not always being used to inform other parts of the state system, including training, the service array, and the courts.

Staff and Provider Training

The Children's Bureau assesses the state's performance on this systemic factor using the state's performance on Items 26, 27, and 28.

State Systemic Factor Performance

Kentucky is not in substantial conformity with the systemic factor of Staff and Provider Training. One of the 3 items in this systemic factor was rated as a Strength.

Staff and Provider Training Item Performance

Item 26. Initial Staff Training

Description of Systemic Factor Item: The staff and provider training system is functioning statewide to ensure that initial training is provided to all staff who deliver services pursuant to the CFSP that includes the basic skills and knowledge required for their positions.

- Kentucky received an overall rating of Area Needing Improvement for Item 26 based on information from the statewide assessment and stakeholder interviews.
- Information provided in the statewide assessment and collected during stakeholder interviews showed that although the state appears to have a training system in place that ensures staff are trained in a timely manner, the quality of the training and its adequacy in preparing staff with the skills and knowledge required for their positions is a concern. Data provided during interviews showed that staff evaluations noted concerns with the effectiveness of the training.

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Item 27. Ongoing Staff Training

Description of Systemic Factor Item: The staff and provider training system is functioning statewide to ensure that ongoing training is provided for staff⁶ that addresses the skills and knowledge base needed to carry out their duties with regard to the services included in the CFSP.

- Kentucky received an overall rating of Area Needing Improvement for Item 27 based on information from the statewide assessment and stakeholder interviews.
- Information provided in the statewide assessment and collected during stakeholder interviews showed that the state does not have ongoing training requirements for staff and there is no clear process to ensure that staff are provided appropriate access to relevant, ongoing training to support them in carrying out their duties. The method for informing staff of ongoing training opportunities was unclear given the lack of established training requirements. Stakeholders provided conflicting information as to whether worker's training needs are identified and tracked through individualized training plans and whether the ongoing training that is available for staff is adequate.

Item 28. Foster and Adoptive Parent Training

Description of Systemic Factor Item: The staff and provider training system is functioning statewide to ensure that training is occurring statewide for current or prospective foster parents, adoptive parents, and staff of state licensed or approved facilities (that care for children receiving foster care or adoption assistance under title IV-E) that addresses the skills and knowledge base needed to carry out their duties with regard to foster and adopted children.

- Kentucky received an overall rating of Strength for Item 28 based on information from the statewide assessment and stakeholder interviews.
- Information provided in the statewide assessment and collected during stakeholder interviews showed that the state's training system ensures that foster parents, adoptive parents, and staff of state licensed facilities receive training that addresses the skills and knowledge base needed to carry out their duties with regard to foster and adopted children. Monitoring mechanisms are in place for public and private homes/agencies to ensure that training is completed and meets the needs of foster parents and staff. All foster homes now receive the same basic training, with additional training provided for homes that provide varying levels of therapeutic care. No significant barriers were identified concerning access to training. A few stakeholders felt

⁶ "Staff," for purposes of assessing this item, includes all contracted and non-contracted staff who have case management responsibilities in the areas of child protection services, family preservation and support services, foster care services, adoption services, and independent living services pursuant to the state's CFSP. "Staff" also includes direct supervisors of all contracted and non-contracted staff who have case management responsibilities in the areas of child protection services, family preservation and support services, foster care services, adoption services, and independent living services pursuant to the state's CFSP.

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that additional training for foster parents on appropriate views and expectation of birth parents could support family-centered practice.

Service Array and Resource Development

The Children's Bureau assesses the state's performance on this systemic factor using the state's performance on Items 29 and 30.

State Systemic Factor Performance

Kentucky is not in substantial conformity with the systemic factor of Service Array and Resource Development. None of the items in this systemic factor were rated as a Strength.

Service Array and Resource Development Item Performance

Item 29. Array of Services

Description of Systemic Factor Item: The service array and resource development system is functioning to ensure that the following array of services is accessible in all political jurisdictions covered by the CFSP: (1) services that assess the strengths and needs of children and families and determine other service needs, (2) services that address the needs of families in addition to individual children in order to create a safe home environment, (3) services that enable children to remain safely with their parents when reasonable, and (4) services that help children in foster and adoptive placements achieve permanency.

- Kentucky received an overall rating of Area Needing Improvement for Item 29 based on information from the statewide assessment and stakeholder interviews.
- Information provided in the statewide assessment and collected during stakeholder interviews showed that the state's array of services is not adequate or accessible to children and families in all political jurisdictions covered by the CFSP. Stakeholders reported service gaps for families that include substance abuse treatment, mental health services, services to address intellectual and developmental disabilities, services to support relative caregivers, in-home prevention services, housing, visitation services, and transportation. Although some of these services are available in parts of the state, waitlists are extensive. In some jurisdictions, courts require parents to pay for their own services, which is a barrier for many parents. Many stakeholders noted that substance abuse is a significant concern across the state and additional services are needed to adequately support families struggling with addiction. Kentucky has a statewide interagency council for addressing service array issues; however, improvements are needed to proactively assess gaps in services and the quality of services.

Item 30. Individualizing Services

Description of Systemic Factor Item: The service array and resource development system is functioning statewide to ensure that the services in Item 29 can be individualized to meet the unique needs of children and families served by the agency.

- Kentucky received an overall rating of Area Needing Improvement for Item 30 based on information from the statewide assessment and stakeholder interviews.

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- Information provided in the statewide assessment and collected during stakeholder interviews showed challenges in individualizing services in many areas of the state because of unavailable resources, providing families with services that are available rather than needed services, waitlists, and the use of standardized case plans that do not consider the unique needs of families. Stakeholders also noted that relatives caring for children cannot access the same services or supports that foster parents or birth parents do.

Agency Responsiveness to the Community

The Children's Bureau assesses the state's performance on this systemic factor using the state's performance on Items 31 and 32.

State Systemic Factor Performance

Kentucky is in substantial conformity with the systemic factor of Agency Responsiveness to the Community. One item in this systemic factor was rated as a Strength.

Agency Responsiveness to the Community Item Performance

Item 31. State Engagement and Consultation With Stakeholders Pursuant to CFSP and APSR

Description of Systemic Factor Item: The agency responsiveness to the community system is functioning statewide to ensure that, in implementing the provisions of the CFSP and developing related APSRs, the state engages in ongoing consultation with Tribal representatives, consumers, service providers, foster care providers, the juvenile court, and other public and private child- and family-serving agencies and includes the major concerns of these representatives in the goals, objectives, and annual updates of the CFSP.

- Kentucky received an overall rating of Area Needing Improvement for Item 31 based on information from the statewide assessment and stakeholder interviews.
- Information provided in the statewide assessment and collected during stakeholder interviews showed that the state does not yet ensure active engagement and ongoing consultation with key stakeholders in developing the goals, objectives, and annual updates of the CFSP. Some stakeholders reported not being familiar with the state's strategic planning efforts, although some informal engagement and collaboration occur at the local and state levels.

Item 32. Coordination of CFSP Services With Other Federal Programs

Description of Systemic Factor Item: The agency responsiveness to the community system is functioning statewide to ensure that the state's services under the CFSP are coordinated with services or benefits of other federal or federally assisted programs serving the same population.

- Kentucky received an overall rating of Strength for Item 32 based on information from the statewide assessment and stakeholder interviews.

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- Information in the statewide assessment and collected during stakeholder interviews showed how the state coordinates services or benefits with other federal or federally assisted programs serving the same population. Examples include coordination with community mental health centers, the Department of Education, and the Department of Juvenile Justice. In Jefferson County, local coordination with the housing authorities prioritizes families involved with the agency.

Foster and Adoptive Parent Licensing, Recruitment, and Retention

The Children's Bureau assesses the state's performance on this systemic factor using the state's performance on Items 33, 34, 35, and 36.

State Systemic Factor Performance

Kentucky is in substantial conformity with the systemic factor of Foster and Adoptive Parent Licensing, Recruitment, and Retention. Three of the four items in this systemic factor were rated as a Strength.

Foster and Adoptive Parent Licensing, Recruitment, and Retention Item Performance

Item 33. Standards Applied Equally

Description of Systemic Factor Item: The foster and adoptive parent licensing, recruitment, and retention system is functioning statewide to ensure that state standards are applied to all licensed or approved foster family homes or child care institutions receiving title IV-B or IV-E funds.

- Kentucky received an overall rating of Strength for Item 33 based on information from the statewide assessment and stakeholder interviews.
- Information provided in the statewide assessment and gathered through stakeholder interviews showed that the state is ensuring that state standards are applied to all licensed or approved foster family homes or child care institutions receiving title IV-B or IV-E funds. Monitoring processes are in place for public and private foster homes and institutions to ensure that standards are being met.

Item 34. Requirements for Criminal Background Checks

Description of Systemic Factor Item: The foster and adoptive parent licensing, recruitment, and retention system is functioning statewide to ensure that the state complies with federal requirements for criminal background clearances as related to licensing or approving foster care and adoptive placements and has in place a case planning process that includes provisions for addressing the safety of foster care and adoptive placements for children.

- Kentucky received an overall rating of Strength for Item 34 based on information from the statewide assessment and stakeholder interviews.

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- Information provided in the statewide assessment and gathered through stakeholder interviews showed that the state is ensuring compliance with federal requirements for criminal background clearances. The state's case planning process is in place and routinely functioning to adequately address criminal history concerns and ensure the safety of children. Monitoring processes are functioning to ensure that requirements are being met for all homes and institutions.

Item 35. Diligent Recruitment of Foster and Adoptive Homes

Description of Systemic Factor Item: The foster and adoptive parent licensing, recruitment, and retention system is functioning to ensure that the process for ensuring the diligent recruitment of potential foster and adoptive families who reflect the ethnic and racial diversity of children in the state for whom foster and adoptive homes are needed is occurring statewide.

- Kentucky received an overall rating of Strength for Item 35 based on information from the statewide assessment and stakeholder interviews.
- Information provided in the statewide assessment and gathered through stakeholder interviews described localized recruitment efforts that are supported and monitored by the state for recruitment of foster and adoptive families that reflect the ethnic and racial diversity of children in the system. Relevant data are used at the local level to inform the recruitment focus and activities. Data indicate that recruitment efforts have been effective in ensuring that the pool of homes in the state is improving to meet the needs of most children in care.

Item 36. State Use of Cross-Jurisdictional Resources for Permanent Placements

Description of Systemic Factor Item: The foster and adoptive parent licensing, recruitment, and retention system is functioning to ensure that the process for ensuring the effective use of cross-jurisdictional resources to facilitate timely adoptive or permanent placements for waiting children is occurring statewide.

- Kentucky received an overall rating of Area Needing Improvement for Item 36 based on information from the statewide assessment and stakeholder interviews.
- Data and information provided in the statewide assessment instrument and collected during stakeholder interviews showed that the state is effectively utilizing cross-jurisdictional resources to support the permanent placement of waiting children through the Special Needs Adoption Program and child-specific recruitment efforts. However, the timeliness of the state's response to requests by other states to complete home studies to facilitate permanent placement of children in Kentucky is a concern. Recent data show that only approximately half of the requests for home studies are completed within the 60-day requirement.

Appendix A: Summary of Kentucky 2016 CFSR Performance

**Appendix A
Summary of Kentucky 2016 Child and Family Services Review Performance**

I. Ratings for Safety, Permanency, and Well-Being Outcomes and Items

Outcome Achievement: Outcomes may be rated as in substantial conformity or not in substantial conformity. 95% of the applicable cases reviewed must be rated as having substantially achieved the outcome for the state to be in substantial conformity with the outcome.

Item Achievement: Items may be rated as a Strength or as an Area Needing Improvement. For an overall rating of Strength, 90% of the cases reviewed for the item (with the exception of Item 1 and Item 16) must be rated as a Strength. Because Item 1 is the only item for Safety Outcome 1 and Item 16 is the only item for Well-Being Outcome 2, the requirement of a 95% Strength rating applies.

SAFETY OUTCOME 1: CHILDREN ARE, FIRST AND FOREMOST, PROTECTED FROM ABUSE AND NEGLECT.

Data Element	Overall Determination	State Performance
Safety Outcome 1 Children are, first and foremost, protected from abuse and neglect	Not in Substantial Conformity	75% Substantially Achieved
Item 1 Timeliness of investigations	Area Needing Improvement	75% Strength

SAFETY OUTCOME 2: CHILDREN ARE SAFELY MAINTAINED IN THEIR HOMES WHENEVER POSSIBLE AND APPROPRIATE.

Data Element	Overall Determination	State Performance
Safety Outcome 2 Children are safely maintained in their homes whenever possible and appropriate	Not in Substantial Conformity	60% Substantially Achieved
Item 2 Services to protect child(ren) in home and prevent removal or re-entry into foster care	Area Needing Improvement	67% Strength
Item 3 Risk and safety assessment and management	Area Needing Improvement	60% Strength

Appendix A: Summary of Kentucky 2016 CFSR Performance

PERMANENCY OUTCOME 1: CHILDREN HAVE PERMANENCY AND STABILITY IN THEIR LIVING SITUATIONS.

Data Element	Overall Determination	State Performance
Permanency Outcome 1 Children have permanency and stability in their living situations	Not in Substantial Conformity	23% Substantially Achieved
Item 4 Stability of foster care placement	Area Needing Improvement	68% Strength
Item 5 Permanency goal for child	Area Needing Improvement	33% Strength
Item 6 Achieving reunification, guardianship, adoption, or other planned permanent living arrangement	Area Needing Improvement	35% Strength

PERMANENCY OUTCOME 2: THE CONTINUITY OF FAMILY RELATIONSHIPS AND CONNECTIONS IS PRESERVED FOR CHILDREN.

Data Element	Overall Determination	State Performance
Permanency Outcome 2 The continuity of family relationships and connections is preserved for children	Not in Substantial Conformity	56% Substantially Achieved
Item 7 Placement with siblings	Strength	96% Strength
Item 8 Visiting with parents and siblings in foster care	Area Needing Improvement	63% Strength
Item 9 Preserving connections	Area Needing Improvement	68% Strength
Item 10 Relative placement	Area Needing Improvement	54% Strength
Item 11 Relationship of child in care with parents	Area Needing Improvement	52% Strength

Appendix A: Summary of Kentucky 2016 CFSR Performance

WELL-BEING OUTCOME 1: FAMILIES HAVE ENHANCED CAPACITY TO PROVIDE FOR THEIR CHILDREN'S NEEDS.

Data Element	Overall Determination	State Performance
Well-Being Outcome 1 Families have enhanced capacity to provide for their children's needs	Not in Substantial Conformity	31% Substantially Achieved
Item 12 Needs and services of child, parents, and foster parents	Area Needing Improvement	34% Strength
Sub-Item 12A Needs assessment and services to children	Area Needing Improvement	68% Strength
Sub-Item 12B Needs assessment and services to parents	Area Needing Improvement	39% Strength
Sub-Item 12C Needs assessment and services to foster parents	Area Needing Improvement	81% Strength
Item 13 Child and family involvement in case planning	Area Needing Improvement	40% Strength
Item 14 Caseworker visits with child	Area Needing Improvement	58% Strength
Item 15 Caseworker visits with parents	Area Needing Improvement	41% Strength

WELL-BEING OUTCOME 2: CHILDREN RECEIVE APPROPRIATE SERVICES TO MEET THEIR EDUCATIONAL NEEDS.

Data Element	Overall Determination	State Performance
Well-Being Outcome 2 Children receive appropriate services to meet their educational needs	Not in Substantial Conformity	77% Substantially Achieved
Item 16 Educational needs of the child	Area Needing Improvement	77% Strength

Appendix A: Summary of Kentucky 2016 CFSR Performance

WELL-BEING OUTCOME 3: CHILDREN RECEIVE ADEQUATE SERVICES TO MEET THEIR PHYSICAL AND MENTAL HEALTH NEEDS.

Data Element	Overall Determination	State Performance
Well-Being Outcome 3 Children receive adequate services to meet their physical and mental health needs	Not in Substantial Conformity	59% Substantially Achieved
Item 17 Physical health of the child	Area Needing Improvement	76% Strength
Item 18 Mental/behavioral health of the child	Area Needing Improvement	63% Strength

II. Ratings for Systemic Factors

The Children’s Bureau determines whether a state is in substantial conformity with federal requirements for the 7 systemic factors based on the level of functioning of each systemic factor across the state. The Children’s Bureau determines substantial conformity with the systemic factors based on ratings for the item or items within each factor. Performance on 5 of the 7 systemic factors is determined on the basis of ratings for multiple items or plan requirements. For a state to be found in substantial conformity with these systemic factors, the Children’s Bureau must find that no more than 1 of the required items for that systemic factor fails to function as required. For a state to be found in substantial conformity with the 2 systemic factors that are determined based on the rating of a single item, the Children’s Bureau must find that the item is functioning as required.

STATEWIDE INFORMATION SYSTEM

Data Element	Source of Data and Information	State Performance
Statewide Information System	Statewide Assessment and Stakeholder Interviews	In Substantial Conformity
Item 19 Statewide Information System	Statewide Assessment and Stakeholder Interviews	Strength

Appendix A: Summary of Kentucky 2016 CFSR Performance

CASE REVIEW SYSTEM

Data Element	Source of Data and Information	State Performance
Case Review System	Statewide Assessment and Stakeholder Interviews	Not in Substantial Conformity
Item 20 Written Case Plan	Statewide Assessment and Stakeholder Interviews	Area Needing Improvement
Item 21 Periodic Reviews	Statewide Assessment and Stakeholder Interviews	Area Needing Improvement
Item 22 Permanency Hearings	Statewide Assessment and Stakeholder Interviews	Strength
Item 23 Termination of Parental Rights	Statewide Assessment and Stakeholder Interviews	Area Needing Improvement
Item 24 Notice of Hearings and Reviews to Caregivers	Statewide Assessment	Area Needing Improvement

QUALITY ASSURANCE SYSTEM

Data Element	Source of Data and Information	State Performance
Quality Assurance System	Statewide Assessment and Stakeholder Interviews	Not in Substantial Conformity
Item 25 Quality Assurance System	Statewide Assessment and Stakeholder Interviews	Area Needing Improvement

STAFF AND PROVIDER TRAINING

Data Element	Source of Data and Information	State Performance
Staff and Provider Training	Statewide Assessment and Stakeholder Interviews	Not in Substantial Conformity
Item 26 Initial Staff Training	Statewide Assessment and Stakeholder Interviews	Area Needing Improvement

Appendix A: Summary of Kentucky 2016 CFSR Performance

Data Element	Source of Data and Information	State Performance
Item 27 Ongoing Staff Training	Statewide Assessment and Stakeholder Interviews	Area Needing Improvement
Item 28 Foster and Adoptive Parent Training	Statewide Assessment and Stakeholder Interviews	Strength

SERVICE ARRAY AND RESOURCE DEVELOPMENT

Data Element	Source of Data and Information	State Performance
Service Array and Resource Development	Statewide Assessment and Stakeholder Interviews	Not in Substantial Conformity
Item 29 Array of Services	Statewide Assessment and Stakeholder Interviews	Area Needing Improvement
Item 30 Individualizing Services	Statewide Assessment and Stakeholder Interviews	Area Needing Improvement

AGENCY RESPONSIVENESS TO THE COMMUNITY

Data Element	Source of Data and Information	State Performance
Agency Responsiveness to the Community	Statewide Assessment and Stakeholder Interviews	In Substantial Conformity
Item 31 State Engagement and Consultation With Stakeholders Pursuant to CFSP and APSR	Statewide Assessment and Stakeholder Interviews	Area Needing Improvement
Item 32 Coordination of CFSP Services With Other Federal Programs	Statewide Assessment and Stakeholder Interviews	Strength

Appendix A: Summary of Kentucky 2016 CFSR Performance

FOSTER AND ADOPTIVE PARENT LICENSING, RECRUITMENT, AND RETENTION

Data Element	Source of Data and Information	State Performance
Foster and Adoptive Parent Licensing, Recruitment, and Retention	Statewide Assessment and Stakeholder Interviews	In Substantial Conformity
Item 33 Standards Applied Equally	Statewide Assessment and Stakeholder Interviews	Strength
Item 34 Requirements for Criminal Background Checks	Statewide Assessment and Stakeholder Interviews	Strength
Item 35 Diligent Recruitment of Foster and Adoptive Homes	Statewide Assessment and Stakeholder Interviews	Strength
Item 36 State Use of Cross-Jurisdictional Resources for Permanent Placements	Statewide Assessment and Stakeholder Interviews	Area Needing Improvement

III. Performance on Statewide Data Indicators⁷

The state's performance is considered against the national performance for each statewide data indicator and provides contextual information for considering the findings. This information is not used in conformity decisions. State performance may be statistically above, below, or no different than the national performance. If a state did not provide the required data or did not meet the applicable item data quality limits, the Children's Bureau did not calculate the state's performance for the statewide data indicator.

Statewide Data Indicator	National Performance	Direction of Desired Performance	RSP*	95% Confidence Interval**	Data Period(s) Used for State Performance***
Recurrence of maltreatment	9.1%	Lower	7.7%	7.3% - 8.2%	FY13-14
Maltreatment in foster care (victimizations per 100,000 days in care)	8.50	Lower	20.93	18.97 - 23.09	14A-14B, FY14

⁷ In October 2016, the Children's Bureau issued Technical Bulletin #9 (<http://www.acf.hhs.gov/cb/resource/cfsr-technical-bulletin-9>), which alerted states to the fact that there were technical errors in the syntax used to calculate the national and state performance for the statewide data indicators. The syntax revision is still underway, so performance shown in this table is based on the 2015 Federal Register syntax.

Appendix A: Summary of Kentucky 2016 CFSR Performance

Statewide Data Indicator	National Performance	Direction of Desired Performance	RSP*	95% Confidence Interval**	Data Period(s) Used for State Performance***
Permanency in 12 months for children entering foster care	40.5%	Higher	45.4%	44%–46.7%	12B–15A
Permanency in 12 months for children in foster care 12-23 months	43.6%	Higher	32.6%	30.5%–34.7%	14B–15A
Permanency in 12 months for children in foster care 24 months or more	30.3%	Higher	30.0%	28.2%–31.8%	14B–15A
Re-entry to foster care in 12 months	8.3%	Lower	9.3%	8.2%–10.5%	12B–15A
Placement stability (moves per 1,000 days in care)	4.12	Lower	4.06	3.92–4.21	14B–15A

* **Risk-Standardized Performance (RSP)** is derived from a multi-level statistical model and reflects the state's performance relative to states with similar children and takes into account the number of children the state served, the age distribution of these children, and, for some indicators, the state's entry rate. It uses risk-adjustment to minimize differences in outcomes due to factors over which the state has little control and provides a more fair comparison of state performance against national performance.

** **95% Confidence Interval** is the 95% confidence interval estimate for the state's RSP. The values shown are the lower RSP and upper RSP of the interval estimate. The interval accounts for the amount of uncertainty associated with the RSP. For example, the CB is 95% confident that the true value of the RSP is between the lower and upper limit of the interval.

*** **Data Period(s) Used for State Performance:** Refers to the initial 12-month period and the period(s) of data needed to follow the children to observe their outcomes. The FY or federal fiscal year refers to NCANDS data, which spans the 12-month period October 1 – September 30. All other periods refer to AFCARS data. "A" refers to the 6-month period October 1 – March 31. "B" refers to the 6-month period April 1 – September 30. The 2-digit year refers to the calendar year in which the period ends.

Appendix B: Kentucky 2008 CFSR Key Findings

Appendix B Summary of CFSR Round 2 Kentucky 2008 Key Findings

The Children's Bureau conducted a CFSR in Kentucky in 2008. Key findings from that review are presented below. Because the Children's Bureau made several changes to the CFSR process and items and indicators relevant for performance based on lessons learned during the second round and in response to feedback from the child welfare field, a state's performance in the third round of the CFSR is not directly comparable to its performance in the second round.

Identifying Information and Review Dates

General Information
Children's Bureau Region: 4
Date of Onsite Review: June 16–20, 2008
Period Under Review: April 1, 2007, through June 20, 2008
Date Courtesy Copy of Final Report Issued: April 14, 2009
Date Program Improvement Plan Due: July 12, 2009
Date Program Improvement Plan Approved: March 1, 2010

Highlights of Findings

Performance Measurements
A. The State met the national standards for four of the six standards.
B. The State achieved substantial conformity for none of the seven outcomes.
C. The State achieved substantial conformity for four of the seven systemic factors.

Appendix B: Kentucky 2008 CFSR Key Findings

State's Conformance With the National Standards

Data Indicator or Composite	National Standard	State's Score	Meets or Does Not Meet Standard
Absence of maltreatment recurrence (data indicator)	94.6 or higher	93.5	Does Not Meet Standard
Absence of child abuse and/or neglect in foster care (data indicator)	99.68 or higher	99.82	Meets Standard
Timeliness and permanency of reunifications (Permanency Composite 1)	122.6 or higher	125.4	Meets Standard
Timeliness of adoptions (Permanency Composite 2)	106.4 or higher	123.4	Meets Standard
Permanency for children and youth in foster care for long periods of time (Permanency Composite 3)	121.7 or higher	122.8	Meets Standard
Placement stability (Permanency Composite 4)	101.5 or higher	93.8	Does Not Meet Standard

State's Conformance With the Outcomes

Outcome	Achieved or Did Not Achieve Substantial Conformity
Safety Outcome 1: Children are, first and foremost, protected from abuse and neglect.	Did Not Achieve Substantial Conformity
Safety Outcome 2: Children are safely maintained in their homes whenever possible and appropriate.	Did Not Achieve Substantial Conformity
Permanency Outcome 1: Children have permanency and stability in their living situations.	Did Not Achieve Substantial Conformity
Permanency Outcome 2: The continuity of family relationships and connections is preserved for children.	Did Not Achieve Substantial Conformity

Appendix B: Kentucky 2008 CFSR Key Findings

Outcome	Achieved or Did Not Achieve Substantial Conformity
Child and Family Well-Being Outcome 1: Families have enhanced capacity to provide for their children’s needs.	Did Not Achieve Substantial Conformity
Child and Family Well-Being Outcome 2: Children receive appropriate services to meet their educational needs.	Did Not Achieve Substantial Conformity
Child and Family Well-Being Outcome 3: Children receive adequate services to meet their physical and mental health needs.	Did Not Achieve Substantial Conformity

State’s Conformance With the Systemic Factors

Systemic Factor	Achieved or Did Not Achieve Substantial Conformity
Statewide Information System	Did Not Achieve Substantial Conformity
Case Review System	Did Not Achieve Substantial Conformity
Quality Assurance System	Achieved Substantial Conformity
Staff and Provider Training	Achieved Substantial Conformity
Service Array and Resource Development	Did Not Achieve Substantial Conformity
Agency Responsiveness to the Community	Achieved Substantial Conformity
Foster and Adoptive Parent Licensing, Recruitment, and Retention	Achieved Substantial Conformity

Appendix B: Kentucky 2008 CFSR Key Findings

Key Findings by Item

Outcomes

Item	Strength or Area Needing Improvement
Item 1. Timeliness of Initiating Investigations of Reports of Child Maltreatment	Strength
Item 2. Repeat Maltreatment	Area Needing Improvement
Item 3. Services to Family to Protect Child(ren) in the Home and Prevent Removal or Re-entry Into Foster Care	Area Needing Improvement
Item 4. Risk Assessment and Safety Management	Area Needing Improvement
Item 5. Foster Care Re-entries	Area Needing Improvement
Item 6. Stability of Foster Care Placement	Area Needing Improvement
Item 7. Permanency Goal for Child	Area Needing Improvement
Item 8. Reunification, Guardianship, or Permanent Placement With Relatives	Area Needing Improvement
Item 9. Adoption	Area Needing Improvement
Item 10. Other Planned Permanent Living Arrangement	Strength
Item 11. Proximity of Foster Care Placement	Strength
Item 12. Placement With Siblings	Strength
Item 13. Visiting With Parents and Siblings in Foster Care	Area Needing Improvement
Item 14. Preserving Connections	Area Needing Improvement
Item 15. Relative Placement	Area Needing Improvement
Item 16. Relationship of Child in Care With Parents	Area Needing Improvement
Item 17. Needs and Services of Child, Parents, and Foster Parents	Area Needing Improvement

Appendix B: Kentucky 2008 CFSR Key Findings

Item	Strength or Area Needing Improvement
Item 18. Child and Family Involvement in Case Planning	Area Needing Improvement
Item 19. Caseworker Visits With Child	Area Needing Improvement
Item 20. Caseworker Visits With Parents	Area Needing Improvement
Item 21. Educational Needs of the Child	Area Needing Improvement
Item 22. Physical Health of the Child	Area Needing Improvement
Item 23. Mental/Behavioral Health of the Child	Strength

Systemic Factors

Item	Strength or Area Needing Improvement
Item 24. Statewide Information System	Area Needing Improvement
Item 25. Written Case Plan	Area Needing Improvement
Item 26. Periodic Reviews	Strength
Item 27. Permanency Hearings	Strength
Item 28. Termination of Parental Rights	Area Needing Improvement
Item 29. Notice of Hearings and Reviews to Caregivers	Area Needing Improvement
Item 30. Standards Ensuring Quality Services	Strength
Item 31. Quality Assurance System	Strength
Item 32. Initial Staff Training	Strength
Item 33. Ongoing Staff Training	Strength
Item 34. Foster and Adoptive Parent Training	Strength
Item 35. Array of Services	Strength
Item 36. Service Accessibility	Area Needing Improvement
Item 37. Individualizing Services	Area Needing Improvement
Item 38. Engagement in Consultation With Stakeholders	Strength

Appendix B: Kentucky 2008 CFSR Key Findings

Item	Strength or Area Needing Improvement
Item 39. Agency Annual Reports Pursuant to CFSP	Strength
Item 40. Coordination of CFSP Services With Other Federal Programs	Strength
Item 41. Standards for Foster Homes and Institutions	Strength
Item 42. Standards Applied Equally	Strength
Item 43. Requirements for Criminal Background Checks	Strength
Item 44. Diligent Recruitment of Foster and Adoptive Homes	Area Needing Improvement
Item 45. State Use of Cross-Jurisdictional Resources for Permanent Placements	Strength