



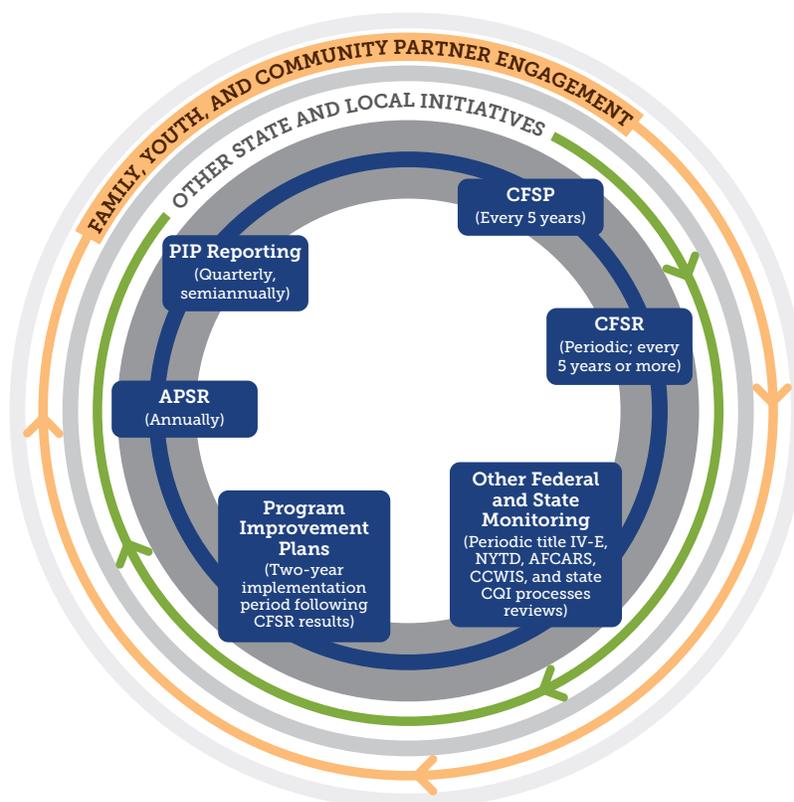
Strategic Planning in Child Welfare: Integrating Efforts for Systems Improvement



Capacity Building
CENTER FOR STATES

In order to continually improve outcomes for children and families, states regularly monitor and assess the functioning of their child welfare agencies and engage in strategic planning processes to target improvement efforts. While each of these processes may follow different timeframes and involve different teams, integrated planning helps agencies find connections between processes, more easily share information, and realize efficiencies and align priorities with their planning, monitoring, and reporting. Ideally, the more connections agencies can make between these processes, the easier and more impactful these processes will become over time.

The Children’s Bureau’s requirements for strategic planning, monitoring, and reporting help states define a vision and set goals to promote the safety, permanency, and well-being of children and families. These requirements also ensure compliance with federal funding requirements, including states’ 5-year title IV-B Child and Family Services Plan (CFSP), the Annual Progress and Services Reports (APSR), and the Child and Family Services Review (CFSR). States also work to improve child and family outcomes and agency functioning via state-initiated continuous quality improvement (CQI) efforts and other change initiatives. **Exhibit 1: Integrated Planning, Monitoring, and Reporting** highlights the cyclical nature of these processes and how they map to each other. (For a closer look at how the main components of these processes relate to each other and to see a detailed breakdown of this cycle over time, see appendices A and B.)



Federal Processes

Child and Family Services Plan (CFSP)

Child and Family Services Plan (CFSP): A 5-year, long-term strategic plan detailing a jurisdiction’s vision and goals to improve its child welfare system.

Annual Progress and Services Report (APSR)

Annual Progress and Services Report (APSR): An annual report that presents an update on a state’s progress toward the goals and objectives defined in its CFSP and outlines the planned activities for the following fiscal year.

Child and Family Services Review (CFSR)

Child and Family Services Review (CFSR): A process that monitors state child welfare systems by assessing seven outcomes in three outcome areas (safety, permanency, and well-being) and seven systemic factors. The CFSR is conducted in rounds, the third and latest of which occurred from 2015 to 2018.

Program Improvement Plans (PIP)

Program Improvement Plans (PIP): Plans that aim to create systemic change based on the results from federal and state monitoring, including Round 3 of the CFSR.

Other Federal and State Monitoring

Other Federal and State Monitoring: Processes through which the Children’s Bureau and state agencies systematically gather data and assess child welfare services to measure compliance with regulations and the achievement of outcomes to promote improvement in performance.

To help states effectively coordinate required monitoring and reporting efforts and infuse these efforts into their overarching strategic planning, the Children’s Bureau continues to structure the integration of CFSR monitoring processes with states’ CFSPs and APSRs (Children’s Bureau, 2014b). This publication presents information to support agencies as they work toward this vision of coordinated strategic and long-term planning. It includes tips and strategies to help agency CFSP and CFSR leads, CQI and evaluation staff, and others coordinate and integrate CFSP/APSR development with the CFSR and other planning processes. It also features a resource list that identifies guidance and tools to help integrate processes and manage change, as well as a matrix that crosswalks elements of major federal planning and improvement processes.

Overview of Strategic Planning Processes

Federal child welfare planning, monitoring, and reporting processes are a partnership between the Children’s Bureau and states that aims to:

- Ensure states’ eligibility to receive specific federal funding (e.g., Title IV-E and Title IV-B of the Social Security Act)
- Assess the status of child and family well-being and systems functions in jurisdictions
- Improve system functioning and collaboration to ensure the well-being of children and families

While each of these processes has a specific purpose, they should work together to outline how states’ systems are functioning and help states create and implement comprehensive, targeted, and sustainable long-term plans for improvement. The CFSP requires states to take a big-picture approach in thinking about the strategies and plans they need to implement to reach their vision of where they want their agencies to be in 5 years. The CFSP necessarily begins with an assessment of the system’s performance on the Child and Family Outcomes and Systemic Factors, which identifies how state agencies are functioning and what areas need improvement. The CFSR process is intended to be coordinated with the planning and monitoring of the CFSP. For example, the CFSR Statewide Assessment is developed as an update to the performance assessment in the state’s most recent CFSP and/or APSR rather than a separate assessment process and reporting document.

Following the performance assessment, the CFSP outlines the state’s plans for improvement and services. Once implemented, the CFSR and ongoing CQI processes can be used to help monitor progress. The APSR includes a discussion of any necessary changes in agencies’ CFSP goals that have resulted over time and an updated description of services to be provided in the following fiscal year (Children’s Bureau, n.d.). A state’s PIP addresses its CFSR findings as an actionable plan that will guide the state’s program improvement efforts and encourage better outcomes for children and families. It should be aligned with the goals and implementation of the CFSP/APSRs (Child and Family Services Review Information Portal, n.d.). These are ongoing processes, representing continuous cycles of review, assessment, revision, and implementation. In other words, they represent key aspects of a functional and effective strategic planning process.

Strategic planning, as in the CFSP, is a continuous process that aims to improve an agency's performance and takes a long-term view of the direction in which the organization would like to go (National Child Welfare Resource Center for Organizational Improvement [NRCOI], 2004). It involves evaluating an agency's current status and developing and implementing strategies and approaches that will allow the organization to move toward its goals (NRCOI, 2004). A strategic planning process should (NRCOI, 2004):

- Include clear steps or stages through which an agency can confirm its vision and desired direction
- Examine the agency's strengths and challenges to pinpoint areas that need work
- Determine the necessary steps for implementing change
- Allow for adjustments to the plan as necessary to promote flexible growth and address changing needs (NRCOI, 2004).

Coordinating strategic planning efforts across child welfare monitoring and reporting processes gives states a broader and more far-reaching vision of their system functioning and needs, allowing them to:

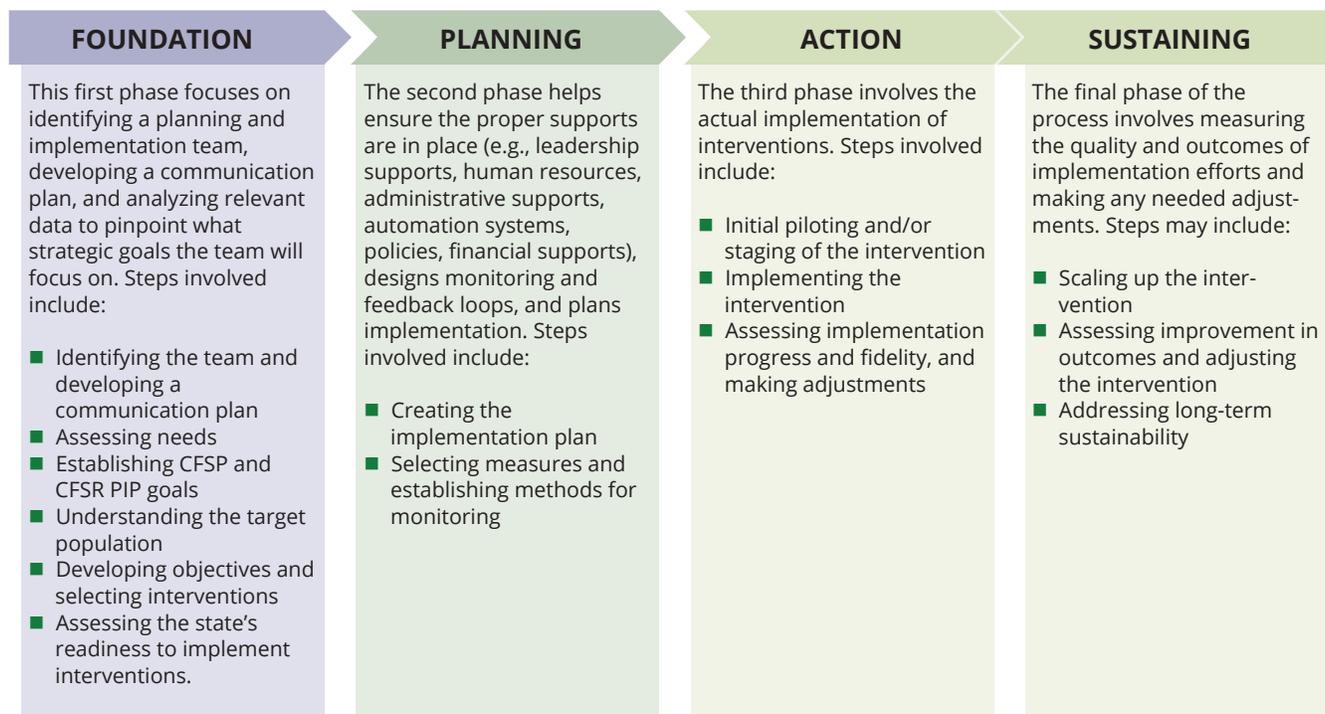
- Monitor systems and interventions
- Create more targeted plans for improvement
- Adjust their plans with the backing of comprehensive data and evidence
- Report more efficiently

Integration of Strategic Planning

In a key change to the 2015-19 CFSP, the Children's Bureau structured the further integration of the CFSP/ APSR with the CFRS Statewide Assessment and requires states to assess their performance on the CFRS's seven outcomes and seven systemic factors as part of their CFSP/APSR (Children's Bureau, 2014b). This change was made to better coordinate and integrate the above processes into cohesive and ongoing system improvement efforts, and to emphasize that these processes are meant to work together as parts of a comprehensive and coordinated strategic plan. Exhibit 1 highlights the cyclical nature of these processes and how they map to each other.

To provide guidance on how state and federal partners can work together to integrate the goals and objectives of these processes, the Children's Bureau developed *A Guide for Implementing Improvement Through the CFSP and CFRS* (<http://kt.cfsrportal.org/ktwebservice/download.php?code=39fd3c0f6f1a910b5ff0c18b4e544fe395d419a7&d=73148&u=publicdownload>). The guide presents a framework for implementation, detailed in exhibit 2. Agencies should consider where they are in the process of implementing improvements and consult the corresponding section of the guide for more information.

Exhibit 2: Phases for Implementing Improvement Through the CFSP and CFSR



Adapted from Children's Bureau, 2014c.

The teams and staff members involved in working toward this change should incorporate strategies for CQI and change management/implementation in their strategic planning efforts. The following section highlights examples of practices and strategies agencies can use in conjunction with the Children's Bureau's guide and their current processes to improve implementation and better coordinate the integration of their planning, monitoring, and reporting processes.

Connecting Strategic Planning With Ongoing Monitoring and CQI

Strategic planning sets a vision that guides an agency's steps toward achieving its established goals. An ongoing process of review, evaluation/assessment, and planning helps agencies identify problem areas and promotes continuous improvement so agencies can reach their goals. By applying CQI principles and strategies to their planning and quality assurance, states can help ensure that their processes are better coordinated to accurately address current needs and find the best and most relevant ways to move toward goals over time.¹

The objective of CQI is to help teams assess their organization's status and readiness for change and guide them in plotting the best strategies to address challenges and achieve sustainable change. The CQI process helps agencies (JBS International, n.d.):

- Identify and assess needs and opportunities
- Develop a theory of change
- Select and adapt or design interventions
- Plan, prepare, and implement
- Evaluate and apply findings

¹ The Children's Bureau's Information Memorandum on CQI systems (<https://www.acf.hhs.gov/cb/resource/im1207>) provides guidance on a framework for a state CQI system for child welfare that would also meet existing federal requirements for quality assurance, evaluation, and delivery of quality services.

State Highlight

For example, as part of CFSP development, one state performed assessments of readiness by taking a comprehensive inventory of active interventions, projects, and strategies and connected them to specific goals, objectives, and desired outcomes. This helped give the team an overall picture of its ongoing CQI efforts and a better understanding of the team's duplicated efforts/redundancies, gaps, and an initial idea of what data and steps were needed moving forward. This first step gave the team a foundation upon which it could begin to build a change management plan to help inform the development of its CFSP.

As states consider their 2020-24 CFSP and future strategic plans, agencies should reflect on the CQI practices and strategies they have in place and consider whether they have been effective, and how and where they can be improved or updated. States in which the Round 3 CFSR will be timed near their strategic planning and CFSP development are in an especially good position to think about how and where they may scale up existing strategies or implement new ones.

The Capacity Building Center for States (the Center), a service of the Children's Bureau, offers a number of resources that agencies can use to learn more about CQI and how to infuse CQI principles into their practice (<https://capacity.childwelfare.gov/states/focus-areas/cqi/self-assessment/>). Resources include a variety of assessment tools and trainings available as CQI learning experiences.

Implementing Change

The Center also is developing the Change and Implementation in Practice series (<https://capacity.childwelfare.gov/states/focus-areas/cqi/change-implementation/>) that builds on implementation science and includes step-by-step guidance to help child welfare agencies implement change and address barriers. Because the combined federal planning, monitoring, and reporting processes and this change management approach both follow a CQI framework, agencies can use the resources in this series in the context of processes already in place (e.g., ongoing CQI, monitoring, and strategic planning). Agencies may find it helpful to use this series in conjunction with the Children's Bureau's CFSP/CFSR implementation guide—the series highlights similar strategies alongside more in-depth steps for implementation that can help agencies carry out the CFSP/CFSR integration guidance. The series walks agencies through a change management process that includes the following topics:

- Teaming
- Problem exploration
- Theory of change
- Intervention selection and design/adaptation
- Readiness
- Implementation planning and capacity building
- Intervention testing, piloting, and staging
- Monitoring, evaluating, and applying findings

The "Change and Implementation in Practice: Overview" brief provides additional information on series topics and organization. (Access the brief and related resources at <https://capacity.childwelfare.gov/states/focus-areas/cqi/change-implementation/>). The following sections offer examples of how the series' in-depth guidance can be applied throughout the CFSP/CFSR implementation guide's framework. For more information and tools on the CQI process and implementation, see the "Resources" section at the end of this document.

How to Integrate System Improvement Efforts

The tasks below (exhibit 3) can help agencies align planning, monitoring, and reporting processes to establish an integrated approach to systems improvement. Jurisdictions will be at different stages and should start wherever is most appropriate based on where they are in relation to their system improvement efforts and the federal processes.

Exhibit 3: Aligning System Improvement Efforts



1. Align Planning and Teaming Processes

An integrated approach to systems improvement requires a unified planning structure comprised of planning and implementation teams and subgroups, as needed, with clear governance and responsibilities. The agency's leadership (e.g., director, assistant or deputy directors, chief financial officer) should lead the planning processes and exercise ultimate decision-making authority, but a more diverse collection of key stakeholders should steer the system's strategic planning and reform efforts. At the start

of the alignment process, agency leadership should gauge the nature and scope of current planning and teaming work and determine how it might be applicable to 2020–24 CFSP development.

At the outset of the process, the state should establish a Planning and Implementation Team—the core working group of individuals responsible for leading a change effort that includes strategic and long-term planning processes—or use an existing teaming structure responsible for such work. Having a core team of individuals responsible for coordinating and aligning all planning and improvement processes can help ensure effective integration. The state should consider the key roles that need to be represented on the team and select members who will be key partners in implementing reform efforts, including:

- Representatives from various levels and jurisdictions of the child welfare system (e.g., midlevel managers, supervisors, caseworkers, Children's Bureau Regional Office staff)
- Representatives from tribes and legal communities
- Representatives from related state agencies (e.g., education, mental health, law enforcement)
- Additional key stakeholders and partners (e.g., parents, youth, resource families, and service providers)

Agency leadership, in partnership with the team members, should regularly review the team's composition to ensure that the necessary partners are represented throughout the CFSP and CFSR processes. It is especially important that agencies engage in a joint planning process with Children's Bureau Regional Office leadership before beginning the federal processes alignment described here.

Initially, the Planning and Implementation Team will partner with agency leadership to identify and outline the teaming structure and decision-making processes. The team should develop a team charter to define the team's purpose, roles and responsibilities, and communication processes. The Planning and Implementation Team should also develop and implement a comprehensive communication plan to facilitate the

broader involvement of other partners/stakeholders. The communication plan outlines the strategies for communicating with internal and external partners/stakeholders during each step of the process and addresses (Children’s Bureau, 2014c):

- An ongoing review of data and assessment of agency strengths and concerns
- Selection of priority areas for the CFSP and CFSR PIP
- Identification of goals, objectives, target populations, and interventions
- Identification and installation of implementation supports
- Implementation of interventions
- Assessment of process and outcome data

The communication plan should include bidirectional communication, providing relevant information to internal and external partners and then gathering and analyzing their feedback, throughout the CFSP/ APSR, CFSR/PIP, and other CQI processes. It should establish a continuous feedback loop coordinated by the agency.

States must consistently engage stakeholders—agencies, organizations, and individuals—in ongoing CFSP-related consultation and coordination processes, including tribes, the state’s Court Improvement Program (CIP), youth, families, the Community-Based Child Abuse Prevention (CBCAP) lead agency, the Children’s Justice Act (CJA) grantee, providers, and faith-based and community organizations. Furthermore, federal regulations (45 CFR 1357.16) require that, when conducting the annual review in preparation for submission of the APSR, states must engage the agencies, organizations, and individuals who are part of the ongoing CFSP-related consultation and coordination process (those listed above). For the Round 3 CFSR, federal guidance required that the Statewide Assessment be completed by “staff of the state child welfare agency, representatives selected by the agency who were consulted in the development of the Child and Family Services Plan, and other individuals deemed appropriate and agreed upon by the state and the Children’s Bureau (Children’s Bureau, 2014a).” This group should make up and/or inform the Planning and Implementation Team(s) by:

- Assessing agency strengths and areas needing improvement
- Reviewing and modifying the goals, objectives, and interventions
- Monitoring CFSP and CFSR PIP progress



The Center’s brief on teaming strategies offers guidance on how to build effective teams and teaming structures. Find the brief and other teaming resources at <https://capacity.childwelfare.gov/states/focus-areas/cqi/change-implementation/teaming/>.

State Highlight

One state's response to the recent approval of the Family First Prevention Services Act (FFPSA) is an example of good teaming leading to agile decision-making and targeted action. The FFPSA, passed in February of 2018, restructured the way specific federal child welfare funds (Title IV-E and Title IV-B of the Social Security Act) can be spent by states. As soon as the legislation came out, the state's management team prioritized exploring what overarching immediate action steps would need to be taken to ensure the state was compliant. The state had submitted the written state assessment and completed its CFSR, and was expecting a report back from the federal review. Teams anticipated that there would be action steps related to the new legislation, and they were able to work flexibly to identify overarching compliance concerns and related issues that would need to be addressed in the PIP.

2. Integrate Performance Assessments

The CFSP/APSR and CFSR all include an assessment of or update on the child welfare system's performance on the Child and Family Outcomes and Systemic Factors. Coordinated planning and monitoring require integration of the performance assessments used in these processes. For the Round 3 CFSR, the Children's Bureau asked states to consider the Statewide Assessment as an update to their assessment of performance in the state's most recent CFSP/APSR rather than as a distinct process. Some of the content for the Statewide Assessment overlaps with the CFSP/APSR, and the same expectations for collaboration with external partners and stakeholders exist across all planning processes. States should use a systematic approach rooted in data (both quantitative and qualitative) to assess performance for the 2020–24 CFSP and all subsequent APSRs. The Children's Bureau does not require jurisdictions to use the Statewide Assessment Instrument or the same methods/tools used to complete their Statewide Assessments for the Round 3 CFSR, but the approaches should be aligned, where appropriate, so that measurement and evaluation are consistent. Coordination and joint planning with the Children's Bureau are critical at the onset of each of these processes (i.e., CFSP/APSR and CFSR/PIP).

Before beginning the integration of performance assessments, states should have already engaged in a joint planning process with Children's Bureau Regional Office leadership regarding this work. The Planning and Implementation Team should assimilate the available data and evidence to accurately evaluate the system's performance on key measures (e.g., Outcomes, Systemic Factors, state-specific metrics). For each updated assessment, the team should create a comprehensive data plan that includes all pertinent internal and external data sources, then collect and analyze the information. The team will draw conclusions based on the analyses, prioritize the findings, and establish the specific problems to be addressed. Planning and Implementation Team members will then take a deeper dive to identify possible contributing factors and explore and validate potential root causes, before finally isolating the root causes to address through the change effort (e.g., the 2020-24 CFSP or the Round 3 CFSR PIP). In updating each performance assessment annually, the Planning and Implementation Team will reflect on the previous assessment to monitor progress, map trends, and identify gaps. Integrating these assessments will provide a consistent measuring rod against which the state/territory may evaluate its performance.



The Center's brief on problem exploration outlines key steps on how to gather data and explore problems in depth. Find the brief and other related resources at <https://capacity.childwelfare.gov/states/focus-areas/cqi/change-implementation/problem-exploration/>.

Remember: Problem exploration and data analysis can be used by agencies to inform decisions throughout CQI and strategic planning processes. It is essential not only for helping lay the foundation for the initial stages of a process, but also for helping to measure plan outcomes and success rates and enabling teams to adjust plans accordingly.

3. Align Improvement Plans

From the Round 3 CFSR PIP to the 2020-24 CFSP, child welfare agencies develop plans for improvement in response to findings from performance assessments and monitoring processes. Specifically, teams review assessment information and prioritize the outcomes based on needs, strengths, and resources. Using an integrated approach to system improvement, the Planning and Implementation Team should establish goals, objectives, strategies/interventions, and action steps for implementation that align across planning and improvement processes. They will outline measurement plans, identifying performance indicators, measures and benchmarks, as well as roles/responsibilities and timeframes/timelines in establishing the plans for improvement.

As teams plan changes to address problems and needs, they should consider developing a theory of change to map the pathways they want to take from an identified problem to a desired solution or outcome (Capacity Building Center for States, 2018c). A theory of change outlines what changes need to occur to eliminate the root cause of the problem and achieve the desired outcome, as well as how and why the changes need to happen (PII-TTAP, 2016).



The Center's brief on theory of change offers step-by-step guidance on how teams can develop this useful tool, including how to (Capacity Building Center for States, 2018c):

- Representatives from various levels and jurisdictions of the child welfare system (e.g., midlevel managers, supervisors, caseworkers, Children's Bureau Regional Office staff)
- Representatives from tribes and legal communities
- Representatives from related state agencies (e.g., education, mental health, law enforcement)
- Additional key stakeholders and partners (e.g., parents, youth, resource families, and service providers)

Access the brief and other related resources at <https://capacity.childwelfare.gov/states/focus-areas/cqi/change-implementation/theory-of-change/>.

Remember: A theory of change based on data can help an agency understand the steps necessary to reach a desired outcome, and can point an agency to the best intervention to meet its needs.

Before a jurisdiction selects the reform initiatives and interventions it wants to implement as part of the CFSP and/or CFSR PIP, the Planning and Implementation Team should develop a comprehensive understanding of the populations whose outcomes it wishes to change, including their characteristics and needs. The state or territory should then use this information to inform the selection of the most appropriate interventions that are likely to improve the identified outcomes for the target populations.

Rather than approaching each of these plans for improvement as separate processes or mandates, states and territories should coordinate these efforts by integrating the plans' goals and implementation. The Planning and Implementation Team must determine and clearly articulate the overarching goals of the CFSP

and CFSR PIP based on the changes the state/territory hopes to achieve by the end of the improvement period(s). The goals should align with the state's prioritized needs, respond to improvement efforts mandated by federal regulations, and reflect the input of key internal and external partners.

4. Coordinate Implementation of Reform Efforts

States, territories, and local jurisdictions (e.g., counties, parishes, etc.) should assess their readiness for implementing specific interventions before beginning implementation. This will allow the jurisdictions to identify the infrastructure development and technical assistance required for implementation.

After developing objectives and selecting specific interventions to meet needs and challenges and achieve the plan's goals, the Planning and Implementation Team should establish an implementation plan. This involves documenting the identified goals, target populations, objectives, selected interventions, and core components. The Planning and Implementation Team can use the results of the readiness assessment to develop an implementation plan for the new solutions they're putting in place. For example, agencies might document the specific actions to be taken for each intervention, including the actions needed to put the necessary supports (e.g., infrastructure) in place, the required timeframes, and the sequencing of key actions. As much as possible, the implementation plans for these improvement processes should be aligned to avoid redundancies and to line up implementation supports with monitoring and evaluation plans. Existing CQI practices can be used in conjunction with monitoring and reporting processes to evaluate implementation. Agencies should not expect to align these processes all at once but should do as much as they can at every phase of this work. Agencies can work with the Children's Bureau to determine how the CFSR outcomes can be used to inform strategic planning work.

Once finalized, the Planning and Implementation Team should implement and manage the plan (e.g., from the Round 3 CFSR and/or the 2020-24 CFSP) in coordination with all other planning and improvement processes, including communicating the plan to stakeholders and supervising implementation. The team will assess progress/improvements at regular intervals and adjust as needed, including scaling up and sustaining interventions when appropriate, as described in the following section.

State Highlight

One state made it a practice to regularly crosswalk CFSR data with its current CFSP. Teams regularly communicated and shared data about what was happening in the field and how it connected to the state's strategic plan. They were able to make well-informed changes to the plan when necessary and explain why the changes were needed with the backing of solid data points. Continuously sharing and connecting data among processes can help states more accurately align their strategic plans and aim for more targeted long-term improvement.

5. Assimilate Evaluations of Improvement in Outcomes

Once the plans for improvement are implemented, jurisdictions will assess improvements in outcomes to determine whether the interventions are having the desired effect and adjust as necessary, addressing potential concerns with specific interventions and/or their implementation. States and territories should use these evaluations to determine when specific interventions are ready for expansion.

The Planning and Implementation Team should analyze data and evidence related to initial implementation efforts to determine whether interventions are ready for expansion based upon the criteria established in the implementation plan, considering information received through feedbacks loops and the process, fidelity, and outcome measures. The Planning and Implementation Team should take a holistic approach to

these evaluations, regularly assessing the impact of all system improvement efforts and the interventions/ solutions from each plan for improvement. This coordinated approach will help states and territories ensure they are making improvements in all required areas and working toward improved safety, permanency, and well-being outcomes for children, youth, and families.

As jurisdictions determine that specific interventions are ready for expansion, they should assess and adjust the implementation plans as needed, determining whether the rollout schedule, sequencing, etc., are still appropriate based on the data and evidence from the feedback loops and the process, fidelity, and outcome measures. The Planning and Implementation Team should review supports and readiness activities for the next sites to determine whether they are prepared to begin implementation activities. This will be an ongoing process until the intervention is statewide and/or fully implemented for the target population.

States and territories should establish and put into operation plans and mechanisms to sustain the improvement efforts after the completion of the CFSR/PIP and realization of the CFSP plan for improvement. After achieving the outlined goals/objectives in these processes, jurisdictions should look to other areas needing improvement and repeat these processes to implement improvements and affect change.

Conclusion

The Children's Bureau helps states integrate their strategic planning and monitoring to promote better teaming between federal and state partners and make their processes more efficient to achieve the larger goal of improving safety, permanency, and well-being outcomes for children and families across the nation. The strategies and tools presented here encourage teams to explore different ways of improving their systems.

Because planning, monitoring, and reporting processes are continuous and cyclical, states should explore new strategies in whatever stage of a change process they may find themselves. Sustainable change need not, and indeed cannot, occur immediately and at full scale. Therefore, teams are encouraged to think about how they can improve and coordinate their processes incrementally and strategically. Going forward, teams can continue to leverage their strengths and assess their challenges in an ongoing cycle of improvement.

Resources

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CQI

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Appendix A: Federal Planning, Monitoring, and Reporting Processes Matrix

Federal Monitoring and Reporting Processes				
	CFSP	APSR	CFSR	PIP
Purpose	<ul style="list-style-type: none"> A 5-year strategic plan describing state's/ tribe's vision, goals for strengthening its child welfare system, and proposed integration and administration of programs and services to promote the safety, permanency, and well-being of children and families.¹ 	<ul style="list-style-type: none"> A narrative report on progress made toward meeting each goal and objective of the CFSP. It also contains any changes in goals and objectives and services to be provided in the upcoming year. 	<ul style="list-style-type: none"> This monitoring process enables the Children's Bureau (CB) to <ol style="list-style-type: none"> Ensure conformity with federal child welfare requirements Determine what is happening to children and families as they are engaged in child welfare services Assist states in enhancing their capacity to help children and families achieve positive outcomes.² 	<ul style="list-style-type: none"> Addresses areas of non-conformity identified in the CFSR. Create lasting and state-wide systemic change in key areas identified in the CFSR, while also addressing the immediate needs of children and families.
Timing	<ul style="list-style-type: none"> Due every 5 years. Current cycle: fiscal year (FY) 2015–FY 2019. The next CFSP planning for FY 2020–2024 will be due by June 30, 2019.³ 	<ul style="list-style-type: none"> Due every year subsequent to CFSP (June 30 prior to the year for which state or tribe is applying).⁴ 	<ul style="list-style-type: none"> For all states: 2015–2018. States submit the completed Statewide Assessment Instrument no later than 2 months before the start of the onsite review period. 	<ul style="list-style-type: none"> States must submit PIPs to the Children's Bureau for approval within 90 calendar days from the date on which the state is notified that it is not operating in substantial conformity with CFSP outcomes or systemic factors.

¹ Children's Bureau. (n.d.). State and tribal Child and Family Service Plan. Retrieved from <https://www.acf.hhs.gov/cb/programs/state-tribal-cfsp>

² Children's Bureau. (2014). Child and Family Services Review fact sheet. Retrieved from https://www.acf.hhs.gov/sites/default/files/cb/cfsr_general_factsheet.pdf

³ Children's Bureau. (2018). Program instruction ACYF-CB-PI-18-01. Retrieved from <https://www.acf.hhs.gov/sites/default/files/cb/pi1801.pdf>

⁴ Children's Bureau. (2018). CFSP/APSR reporting requirements for states and tribes. Retrieved from https://www.acf.hhs.gov/sites/default/files/cb/cfsp_apsr_requirements_2019.pdf

Federal Monitoring and Reporting Processes

	CFSP	APSR	CFSR	PIP
Requirements	<ol style="list-style-type: none"> 1. General information 2. Assessment of performance 3. Plan for improvement over the 5-year period 4. Agency services 5. Consultation and coordination between states and tribes 6. Chafee Foster Care Program for Successful Transition to Adulthood (Chafee) 7. Monthly caseworker Visit formula grants and standards for caseworker visits 8. Adoption Incentive Payments (section 473A of the Act) 9. Child Welfare Waiver Demonstration Activities (applicable states only) 10. Targeted plans within the CFSP 	<ol style="list-style-type: none"> 1. General information (collaboration) 2. Update on assessment of performance 3. Update to the plan for improvement and progress made to improve outcomes 4. Update on service description 5. Program support 6. Consultation and coordination between states and tribes 7. Monthly caseworker visit formula grant 8. Adoption and legal guardianship incentive payments 9. Child Welfare Demonstration Activities (applicable states only) 10. Quality assurance system <p>Additional information</p> <ul style="list-style-type: none"> • Section D: Child Abuse Prevention and Treatment Act (CAPTA) State Plan Requirements • Section E: Chafee Foster Care Independence Program • Education and Training Voucher Program • Section F: Updates to Targeted Plans within the 2015–2019 CFSP • Section G: Statistical and Supporting Information • Section H: Financial Information 	<p>Statewide Assessment</p> <ul style="list-style-type: none"> • Section I: General information about the state agency and a list of the Tribes, partners, and stakeholders involved in developing the assessment. • Section II: State data profiles for the safety and permanency outcomes. • Section III: Assessment of the seven outcome areas and explanation of the state’s performance in meeting the national standards as presented in section II. • Section IV: Assessment of the statewide functioning of each of the seven systemic factors. <p>Onsite review</p> <ol style="list-style-type: none"> 1) State-conducted case reviews OR 2) Traditional case reviews <p>Cases must be reviewed using the Onsite Review Instrument (OSRI):</p> <ul style="list-style-type: none"> • Face Sheet • Section I: Safety (Safety Outcomes 1 and 2) • Section II: Permanency (Permanency Outcomes 1 and 2) • Section III: Well-Being (Well-Being Outcomes 1, 2, and 3) 	<ol style="list-style-type: none"> 1. Goals, strategies or interventions 2. Key activities 3. Statewide data indicators requiring improvement (not required for Round 3 CFSR) 4. Case review items requiring quantifiable measurement 5. Systemic factor items requiring quantifiable measurement 6. Program Improvement Plan reporting schedule 7. Technical assistance

Federal Monitoring and Reporting Processes

	CFSP	APSR	CFSR	PIP
Child and Family Outcomes	<ul style="list-style-type: none"> • Permanency for children. • Well-being of children and their families. • The nature, scope, and adequacy of existing child and family and related social services. 	<ul style="list-style-type: none"> • States should review the CFSR Statewide Assessment Instrument to ensure that all outcome items and systemic factor items are addressed in the 2019 APSR assessment and that data and information provided address the CFSR requirements. 	<p>Safety</p> <ul style="list-style-type: none"> • Children are, first and foremost, protected from abuse and neglect. • Children are safely maintained in their homes whenever possible and appropriate. <p>Permanency</p> <ul style="list-style-type: none"> • Children have permanency and stability in their living situations. • The continuity of family relationships and connections is preserved for families. <p>Family and child well-being</p> <ul style="list-style-type: none"> • Families have enhanced capacity to provide for their children’s needs. • Children receive appropriate services to meet their educational needs. • Children receive adequate services to meet their physical and mental health needs. 	<ul style="list-style-type: none"> • The PIP must address any areas identified as not conforming with one or more of the seven outcomes or seven systemic factors assessed in the CFSR.
Systemic Factors	<ul style="list-style-type: none"> • The 2015–19 CFSP requires states to assess their performance on the CFSR’s seven systemic factors.⁵ 	<ul style="list-style-type: none"> • States should review the CFSR Statewide Assessment Instrument to ensure agreed-upon systemic factor items are addressed in the 2019 APSR assessment and that data and information provided address the CFSR requirements.⁶ 	<ul style="list-style-type: none"> • Statewide information system • Case review system • Quality assurance system • Staff and provider training • Service array and resource development • Agency responsiveness to the community • Foster and adoptive parent licensing, recruitment, and retention 	<ul style="list-style-type: none"> • The PIP must address any areas identified as not conforming with one or more of the seven systemic factors assessed in the CFSR.

⁵ Children’s Bureau. (2014). *Child and Family Services Review technical bulletin #7*. Retrieved from https://www.acf.hhs.gov/sites/default/files/cb/cfsr_tb7.pdf

⁶ Children’s Bureau. (2018). *Checklist for 2019 APSR due June 30, 2018*. Retrieved from https://www.acf.hhs.gov/sites/default/files/cb/state_checklist_2019.pdf

Appendix B: Timing of Integrated Planning, Monitoring, and Reporting (The 2020–24 CFSP will differ from below)

Every 5 Years or More (Long-Term)

Child and Family Services Plan (CFSP)

Updated assessment of Child and Family Outcomes and Systemic Factors and plan for improvement

Five-year strategic plan describing state's or tribe's vision, goals for strengthening its child welfare system, and proposed integration and administration of programs and services to promote the safety, permanency, and well-being of children and families. Includes assessment and reporting of the following:

CFSP requirements (for the 2015–19 CFSP)

1. General Information
 - a. State Agency Administering the Programs
 - b. Vision Statement
 - c. Collaboration
2. Assessment of Performance (Child and Family Outcomes and Systemic Factors)
 - a. Safety (Safety Outcomes 1 and 2)
 - b. Permanency (Permanency Outcomes 1 and 2)
 - c. Well-being (Well-Being Outcomes 1, 2, and 3)
 - d. Systemic Factors
3. Plan for Improvement
 - a. Goals
 - b. Objectives
 - c. Measures of Progress
 - d. Staff Training, Technical Assistance, and Evaluation
 - e. Implementation Supports
4. Services
 - a. Child and Family Services Continuum
 - b. Service Coordination (45 CFR 1357.15(m))
 - c. Service Description (45 CFR 1357.15(o))
 - d. Service Decision-Making Process for Family Support Services
 - e. Populations at Greatest Risk of Maltreatment
 - f. Services for Children under the Age of Five
 - g. Services for Children Adopted from Other Countries

5. Consultation and Coordination Between States and Tribes
6. CAPTA State Plan Requirements
7. Chafee Foster Care Program for Successful Transition to Adulthood (Chafee)
 - a. Background
 - b. NYTD
 - c. Instructions for Chafee Portions of CFSP
 - d. Education and Training Vouchers (ETV) Program
 - e. Consultation with Tribes
8. Monthly Caseworker Visit Formula Grants and Standards for Caseworker Visits
9. Adoption and Legal Guardianship Incentive Payments (section 473A of the Act)
10. Child Welfare Waiver Demonstration Activities (applicable states only)
11. Quality Assurance System
12. Targeted Plans
 - a. Foster and Adoptive Parent Diligent Recruitment Plan
 - b. Health Care Oversight and Coordination Plan
 - c. Disaster Plan
 - d. Training Plan

Child and Family Services Reviews (CFSR)

Formal assessment of Child and Family Outcomes and Systemic Factors for federal monitoring

Federal reviews to assess performance on Child and Family Outcomes and Systemic Factors using the Statewide Assessment and onsite review and to plan and implement strategies for improvement using the PIP (see *Program Improvement Plans* below). Collaboration between the Children’s Bureau, state child welfare agency, and system stakeholders is critical to the CFSR and ensuring conformity with federal child welfare requirements.

Statewide Assessment

The Children’s Bureau prepares and transmits the data profile to the state, after which the state evaluates its performance on the Outcomes and Systemic Factors using the Statewide Assessment Instrument, which includes the following sections:

- I. General Information (Agency info, review period, and participants)
- II. Safety and Permanency Data (State Data Profile)
- III. Assessment of Child and Family Outcomes and Performance on National Standards
 - A. Safety (Safety Outcomes 1 and 2)
 - B. Permanency (Permanency Outcomes 1 and 2)
 - C. Well-Being (Well-Being Outcomes 1, 2, and 3)
- IV. Assessment of Systemic Factors
 - A. Statewide Information System

- B. Case Review System
- C. Quality Assurance System
- D. Staff and Provider Training
- E. Service Array and Resource Development
- F. Agency Responsiveness to the Community
- G. Foster and Adoptive Parent Licensing, Recruitment, and Retention

Onsite review

A team of reviewers examines case records and conducts case-related and stakeholder interviews to collect qualitative and quantitative information on the Outcomes and Systemic Factors to supplement the data and information reported through the Statewide Assessment. Case reviews are conducted using the Onsite Review Instrument (OSRI), which is organized as follows:

- Face Sheet
- Section I: Safety (Safety Outcomes 1 and 2)
- Section II: Permanency (Permanency Outcomes 1 and 2)
- Section III: Well-Being (Well-Being Outcomes 1, 2, and 3)

Every 2–4 Years (Short-Term)

Program Improvement Plans (PIP)

Plans to create systemic change based on results from federal and state monitoring, including:

Round 3 CFSR

Once the CFSR ends and the Children’s Bureau issues the final report with determinations of substantial conformity, states are expected to continue their collaboration with the legal and judicial communities, families, tribes, community partners, and other key stakeholders to develop a PIP in consultation with the Children’s Bureau. States should use their CFSP/APSR, Statewide Assessment, and ongoing CQI processes as a foundation for PIP development. By engaging with its partners and the Children’s Bureau in ongoing review of data and in the development and implementation of the CFSP, the state should be well positioned to strategically address in its PIP any Outcomes and/or Systemic Factors requiring improvement:

The PIP includes:

- Agency information and timeframes (submission date, approval date, effective date, implementation period, reporting schedule)
- Part 1: Goals, strategies/interventions, and key activities
- Part 2: Measurement plan

Other monitoring processes for which a jurisdiction may implement a PIP or similar improvement plan include:

- Title IV-E Foster Care Eligibility Reviews
- National Youth in Transition Database (NYTD) Reviews

- Automated Foster Care and Adoption Reporting System (AFCARS) Assessment Reviews
- Comprehensive Child Welfare Information System (CCWIS)
- State Continuous Quality Improvement (CQI) Processes

Yearly (Annually, semiannually)

Annual Progress and Services Report (APSR)

(Upcoming APSR requirements will differ from below)

Interim assessment of Child and Family Outcomes and Systemic Factors

A narrative report on progress made toward meeting each goal and objective of the CFSP, any changes in goals and objectives, and services to be provided in the upcoming year. The APSRs are organized similarly to the CFSP, as outlined above, and include Grantee, Waiver, and PIP reporting.

2019 APSR requirements

1. General Information (collaboration)
2. Update on Assessment of Performance
3. Update to the Plan for Improvement and Progress Made to Improve Outcomes
4. Update on Service Description
5. Program Support
6. Consultation and Coordination Between States and Tribes
7. Monthly Caseworker Visit Formula Grant
8. Adoption and Legal Guardianship Incentive Payments
9. Child Welfare Demonstration Activities (applicable states only)
10. Quality Assurance System

Section D. Child Abuse Prevention and Treatment Act (CAPTA) State Plan Requirements

Section E. Chafee Foster Care Independence Program and Education and Training Voucher Program

Section F. Updates to Targeted Plans within the 2015–2019 CFSP

Section G. Statistical and Supporting Information

Section H. Financial Information

PIP reporting (periodic)

Monitoring of implementation of interventions and efforts to achieve PIP goals (e.g., periodic Round 3 CFSR PIP reports)

Once the Children's Bureau approves the PIP, federal officials will partner with the state to jointly evaluate progress in meeting PIP goals. Once all goals are met, the PIP is complete.