

AFCARS ASSESSMENT REVIEW FINDINGS – General Requirements
State: Indiana
Report Period Under Review: April 1, 2007 - September 30, 2007 (2007B)

No.	Requirement	Findings/Notes	Rating Factor
Foster Care Population			
1	<p>Must include all children in foster care for whom the State title IV-B/IV-E agency has responsibility for placement, care, or supervision (45 CFR 1355.40(a)(2)).</p> <p>All children in foster care under the responsibility of the State agency administering or supervising the administration of the title IV-B Child and Family Services State plan and the title IV-E State plan; that is, all children who are required to be provided the assurances of section 422(b)(8) of the Social Security Act (the Act) (Appendix A – SECTION II).</p>	<p>Indiana Department of Child Services is the title IV-B/IV-E single State agency. The Department includes Child Welfare and Child Support.</p> <p>The State is correctly reporting children in foster care for whom the State agency has responsibility for placement, care, or supervision with two exceptions. These are:</p> <ul style="list-style-type: none"> • The State is incorrectly not including children in which the child is on a runaway status at the time the agency received responsibility for care and placement. • The State is incorrectly including the records of children whose only placement while under the agency’s responsibility for care and placement is a locked facility or a hospital. <p>The State must modify the selection logic of the extraction code in order to address the above two items.</p>	2
2	<p>Must include all children supervised by or under the responsibility of another public agency with which the title IV-B/E agency has an agreement under title IV-E and on whose behalf the State makes title IV-E foster care maintenance payments (Appendix A - SECTION II).</p>	<p>The county agencies have a title IV-E interagency agreement with their juvenile court. The State is correctly including children/youth that are under the responsibility of the courts and for whom the State agency claims a title IV-E foster care maintenance payment.</p> <p>The State is in the process of developing an interagency agreement at the State level with the Probation Office. It should be effective January 1, 2009.</p> <p>The courts will order a youth into a placement and the youth is under the court’s jurisdiction. In these situations the court issues an order to the county child welfare office to pay for the placement. The State claims title IV-E on behalf of these youth if they are eligible and includes them in the AFCARS reporting population. However, it appears the State is also including those youth that are not eligible for title IV-E and whose the placement is paid for only by county funds. These children should not be part of the AFCARS reporting population.</p>	2

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		During the debriefing, the State staff indicated that those youth that are “payment only” are not included in the extraction. The records noted as “DJS case type” represents the cases under the interagency agreement for title IV-E funds.	
3	Includes American Indian children covered under section 422(b)(8) of the Act, on the same basis as any other child (45 CFR 1355.40(a)(2)).	There are no Federally recognized Tribes in Indiana.	4
4	For children in out-of-State placements, the State placing the child submits and continually updates the data (45 CFR 1355.40(a)(2)).	The State correctly reports children that are placed outside of the State and does not include children placed in Indiana from other State public child welfare agencies.	4
5	Includes all children who have been in foster care at least 24 hours (Appendix A - SECTION II).	<p>The State incorrectly reports records of children whose removal episode is 24 hours or less.</p> <p>The State and Federal team discussed the possibility of adding a time field to the start and end dates of a removal. The extraction code would then use these fields to more accurately determine a 24-hour removal episode.</p> <p>The State correctly includes children placed in an emergency shelter facility.</p>	2
6	Does not include children who are in their own homes under the responsibility of the State agency (Appendix A - SECTION II).	<p>The State correctly does not include in its reporting population those children in its custody that are in their own home.</p> <p>The State does correctly include those children in which the State made a “constructive removal.”</p>	4
7	Include all children who are in the placement, care, or supervision responsibility of the title IV-B/E agency that are on “trial home visits” (Child Welfare Policy Manual, Section 1.3, AFCARS Reporting Population).	<p>The State does return children to their own home while maintaining care and placement responsibility of the child. The State correctly includes these children in the AFCARS reporting population.</p> <p>The State has a new policy that limits a “trial home visit” to three months (90 days); it can be extended for three additional months.</p> <p>Currently, for those records in which the child is in his/her own home while still under the care and placement responsibility of the State agency the caseworker will receive a reminder notice after five months (if the child has not already been discharged from care). At that point the worker must petition the court for either an extension or to have the agency’s</p>	4

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		responsibility for care and placement dismissed. Once the new policy is effective, the reminder notice dates must be changed.	
8	Includes youth over the age of 18 if a payment is being made on behalf of the child (Child Welfare Policy Manual, Section 1, AFCARS).	The State’s age of legal majority is 18. The State does not claim title IV-E funds for youth over age 18. The State is incorrectly including youth over the age of 18 in its AFCARS reporting population. The State must develop a means to ensure that youth at age 18 are reported as discharged for AFCARS reporting purposes with a discharge reason of “emancipation.” See elements #56 and #58 in the foster care matrix. If the State does start claiming title IV-E funds for these youth, they must include them in the AFCARS reporting population up to their 19 th birthday, or sooner if title IV-E eligibility ends.	3
Adoption Population			
9	Data are required to be transmitted by the State on all adopted children who were placed by the State title IV-B/IV-E agency, and on all adopted children for whom the State agency is providing adoption assistance (either ongoing or for nonrecurring expenses), care or services directly or by contract or agreement with other private or public agencies. (45 CFR 1355.40(a)(3)). Report on all children adopted in the State during the reporting period and in whose adoption the State title IV-B/IV-E agency has had any involvement. All adoptions after 10/1/94 that meet the criteria below must be reported. <ul style="list-style-type: none"> • Children who had been in foster care under the responsibility and care of the State child welfare agency and who were subsequently adopted whether special needs or not and whether subsidies are provided or not (Appendix B – Section II, paragraph (a)). 	The State is correctly reporting all children in the adoption file that were in the Indiana foster care system and had an outcome of adoption. However, in the extraction code one of the case types used to identify adoptions to be reported is “other.” This represents a payment that is paid after the adoption occurs. This value is to be removed from the selection code. <u>Post site-visit corrections:</u> The extraction code has been corrected to not include “other.”	2 3

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10	<p>Report on all children adopted in the State during the reporting period and in whose adoption the State title IV-B/IV-E agency has had any involvement. All adoptions after 10/1/94 that meet the criteria below must be reported.</p> <ul style="list-style-type: none"> • All special needs children, whether or not they were in the public foster care system prior to their adoption and for whom non-recurring expenses were reimbursed. • Children adopted for whom an adoption assistance payment or service is being provided based on arrangements with the State agency. (Appendix B – Section II, paragraphs (b) and (c)). 	<p>The State does enter into adoption agreements with families that adopt a child through a private agency, and the child is determined to be special needs. These records are reported to AFCARS.</p>	4
11	<p>For children adopted out-of-State, the placing State reports the adoption data (45 CFR 1355.40(a)(3)).</p>	<p>The program code includes a case type of “AAP, out of State.” This is an ongoing payment type for an adoptive child where the family moved to Indiana from another State and the State is paying the subsidy. This code type is to be removed from the selection logic. <u>Post site-visit corrections:</u> The extraction code has been corrected to not include the value “AAP, out-of-state.”</p>	2 3
12	<p>Voluntarily reports on all other adoptions. (Appendix B – Section II).</p>	<p>The State does not include other adoptions.</p>	
Technical Requirements			
45 CFR 1355.40(b)(2)			
13	<p>For foster care information, the child-specific data to be transmitted must reflect the data in the information system when the data are extracted.</p>	<p>The ICWIS system contains appropriate history tables for those elements related to AFCARS. The system has the functionality to allow caseworkers to correct erroneously entered information. If new information is created, such as a new diagnosed condition or a new case plan goal, the previous condition is stored in the database table.</p>	4
45 CFR 1355.40(b)(3)			
14	<p>Adoption data are to be reported during the reporting period in which the adoption is legalized or, at the State’s option, in the following reporting period if the adoption is legalized within the last 60 days of the reporting period.</p>		4
Appendix A, 45 CFR 1355 Foster Care Data Elements and Appendix B, 45 CFR 1355 Adoption Data Elements			
15	<p>State uses sequential numbering of the case record number</p>	<p>The State uses an encryption routine on the record numbers. The State</p>	4

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	or encrypts the record number.	correctly uses the same routine for every reporting period.	
Appendix C, 45 CFR 1355 Electronic Data Transmission Format			
16	Data file must be in ASCII format.		4
17	Elements must be comprised of integer (numeric) value(s).		4
18	All records must be a fixed length.		4
19	Inform the Department, in writing, of the method of transfer intended to be used by the State.		
Appendix D, 45 CFR 1355 Foster Care and Adoption Record Layouts			
20	Report the status of all children in foster care as of the last day of the reporting period (Section A.1.b(5)).	When the State submits a “regular” file, the file correctly does not include information that occurs after the end of the current report period.	4
21	Provide data for all children who were discharged from foster care at any time during the reporting period, or in the previous reporting period, if not previously reported (Section A.1.b(5)).	The State has had problems with “dropped records.” These are records that were reported in one report period, but then in the next report period the record is not included and the Federal analyst have no information on what occurred with this case. The number of dropped records has significantly reduced over the past report periods. There are some issues with the methodology used in ICWIS to record discharge information. See findings for foster care elements #56 and #58 for the problems and proposed solutions.	3
ACYF-PI-CB-95-09, Reissued May 23, 1995 Technical Bulletin #13, AFCARS File Extraction			
22	State extracts all records based on the transaction date of discharge or the date of latest removal (foster care element #21), if the child has not been discharged.	The AFCARS foster care population is selected in part based on whether the child is in a foster care setting.	4
Technical Bulletin #2, File Format			
23	State must use correct file name for transmission.		4
Data Quality - Conversion			
24	State transferred historical information on open cases. Specifically, it included information on: date of first removal, total number of removals, and whether the child’s mother was married at the time of the child’s birth. If the case was open at the time of conversion, information on the number of placement settings was included.	Notes from 8/24/99 Site visit: <ul style="list-style-type: none"> • Rollout started 6/10/1996. • Conversion began 7/1996. • Brought over all cases open on 10/1/1993. If a case closed by conversion date it should have been converted as a closed case. • Roll out ended April/May 1997. • Workers had 30 days after rollout to clean up cases. 	4

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		<ul style="list-style-type: none"> Workers were given a minimum amount of information that was on a 63 page form of information to clean up on old cases. 	
25	The information system has the capability of recording historical information. This should apply to both open cases in which historical information must be entered, and for closed cases that re-open after conversion and must be entered into the system.		4
Data Quality - Subsequent Submissions			
26	The data must be reflective of the time period being submitted, not new information applying to a different time frame.	The State is incorrectly reporting subsequent files. The State needs to modify the extraction code to ensure that the child-specific data to be transmitted must reflect the data in the information system for the report period being resubmitted.	2