

The below links are dynamic and will be automatically updated. An up-to-date handout will be presented at the COJC meeting on February 11, 2016.

Legislative bills:

<http://www.azcapitolreports.com/webreport.cfm?webreport=25678&listid=57131&print=true>

<http://www.azcapitolreports.com/webreport.cfm?webreport=25679&listid=57131&print=true>

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ARIZONA SUPREME COURT

In the matter of :)
)
PETITION TO AMEND) Supreme Court No. R-16-_____
RULES 19, 30, 45, 47, and 104,)
RULES OF PROCEDURE FOR)
THE JUVENILE COURT)
_____)

Pursuant to Arizona Supreme Court Rule 28, David K. Byers, Director, Administrative Office of the Courts, Arizona Supreme Court, respectfully petitions this court to adopt the attached proposed rule amendment to the Rules of Procedure for the Juvenile Court.

I. Background and Purpose of the Proposed Rule Amendment

In late 2014, the Administrative Office of the Courts, Arizona Supreme Court, (AOC) became aware of varying practices around the State concerning the keeping and use of the Juvenile Social File in delinquency cases. AOC staff scheduled a series of meetings with presiding juvenile court judges, as well as representatives from the Office of the Arizona Attorney General, to identify and discuss local practices regarding the Social File. Participants in these discussions

identified lack of clarity and consistency concerning what was filed, where it was filed, where files are kept, how the court gained access to documents in the file, and what documents were included in the record on appeal. Recognizing the need for uniformity, clarity, and standardization concerning the handling of all documents relevant to the judicial determinations in a case, AOC staff met with and received recommendations from the Presiding Juvenile Court Judges in Maricopa and Pima Counties. Consultations also included the Presiding Juvenile Court Judges in Yavapai, Coconino, and Pinal Counties. During the course of these meetings and consultations, it also became apparent that similar issues were arising in dependency cases. The proposed rule revisions are a result of these collaborative efforts.

II. Contents of the Proposed Rule Amendment

The proposed rule amendments include:

Rule 19. Records and Proceedings

A. Contents of Juvenile Court Files

- 1. Legal File**
- 2. Social File.**

The recommended changes are intended to clarify that while the legal file is open to the public, there may be confidential information that will require segregation upon filing.

Rule 30. Disposition

The recommended changes are intended to clarify that the disposition report should include any Rule 19(A)(2) Social File information relevant to the recommendations and that the clerk must file this in a segregated portion of the Legal File.

Rule 45. Admissibility of Evidence.

The recommended changes are intended to provide the option for the court to set a date other than that prescribed by rule and to allow a child safety worker's report to be admitted unless it is the subject of an objection. In the event of an objection, the right to have the worker who prepared the report available for cross-examination at the time the report is being offered is preserved.

Rule 47. Release of Information

The amendments are technical in nature to conform to statutory citations.

Rule 104. Time Within Which An Appeal May be Taken and Notice Thereof; Preparation of Certified Transcript and Record on Appeal.

The new subsection requires the attorneys to order a certified transcript when a proceeding was recorded by audio or audiovideo means because there is no

court reporter to do so. The proposed language is consistent with the Arizona Rules of Civil Appellate Procedure, Rule 11 (b) (2).

III. Pre-Petition Distribution and Comment

Petitioner has not circulated this proposal for pre-petition comments.

IV. Request for Modified Comment Period.

Petitioner recognizes this petition has not been widely circulated prior to filing due to time constraints. Petitioner wishes to encourage comments from those impacted by these proposed amendments and requests that the Court allow a modified comment period to accommodate filing of an amended petition after an initial round of public comments. Petitioner suggests the following dates:

- March 1, 2016: First round of comments due
- April 1, 2016: Amended petition due
- May 20, 2016: Second round of comments due
- June 30, 2016: Reply due

Wherefore petitioner respectfully requests that the Supreme Court amend the Rules of Procedure of the Juvenile Court as set forth in Appendix A.

Respectfully submitted this ____ day of _____, 2016.

By _____
David K. Byers, Director
Administrative Office of the Courts
1501 W. Washington
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APPENDIX

RULE 19. Records and Proceedings

A. Contents of Juvenile Court Files.

1. Legal File. The legal file of the juvenile court shall consist of all pleadings, motions, minute entries, orders, or other documents ~~as the court may order as provided by rule or ordered by the court.~~ Within the legal file, the clerk shall file and segregate confidential documents, including any information and documents from the social file submitted to the court as provided in Rule 30(A). In addition, the court may close all or part of the legal file upon a finding of a need to protect the welfare of the victim or another person or a clear public interest in confidentiality. With the exception of the portions of the file marked confidential, or ordered closed by the judge, the legal file shall be open to public inspection without order of the court, except upon a finding by the court of a need to protect the welfare of the victim, another party or a clear public interest in confidentiality. The court shall state its reasons for withholding the legal file, or portions thereof, from public inspection.

2. Social File. The social file shall be maintained by the probation department and may consist of all social records, including diagnostic evaluations, psychiatric and psychological reports, treatment records, medical reports, social studies, Department of Child Safety records, police reports, predisposition reports, detention records, and records and reports or work product of the probation department ~~for use by the court in formulating and implementing a rehabilitation plan for the juvenile and his or her family.~~ The social file of the juvenile shall be confidential and withheld from public inspection except upon order of the court.

RULE 30. Disposition

A. Disposition~~al~~ Investigation and Report. Prior to the disposition hearing, the court shall order the juvenile probation officer to conduct an investigation and submit a written report to the court with recommendations regarding the disposition of the juvenile.

1. The disposition report shall:
 - a. Be submitted to the court three (3) days prior to the disposition hearing;
 - b. Be made available three (3) days prior to the hearing to counsel for the parties or to the parties if unrepresented by counsel;
 - c. Include a written victim impact statement as required by law;
 - d. Provide the court with information regarding restitution if restitution is requested; and
 - e. Make recommendations as to the most appropriate disposition for the juvenile.
 - f. Include any Rule 19(A)(2) Social File information and records relevant to the recommendations for use by the court in formulating and implementing a rehabilitation plan for the juvenile and his or her family. The clerk shall segregate Social File records and identify them as confidential.

(A)(6) Filing of Social File Information. When Social File information is part of a Disposition Report Pursuant to Rule 30(A)(1)(f), the clerk shall file the Disposition Report in a segregated portion of the Legal File, identifying the information as confidential unless the social file information is presented as a separate document that can be segregated from the Disposition Report.

RULE 45. Admissibility of Evidence.

~~**C. Admissibility of reports.** Prior to any dependency hearing, the court may review reports prepared by the child safety worker and shall admit those reports into evidence if the worker who prepared the report is available for cross-examination and the report was disclosed to the parties no later than:~~

- ~~1. One (1) day prior to the preliminary protective hearing; or~~
- ~~2. Ten (10) days prior to any other hearing.~~

C. Consideration, Filing and Admissibility of reports. Prior to any dependency hearing, the court may review reports prepared by the child safety worker and shall admit those reports into evidence if the worker who prepared the

~~report is available for cross-examination and~~ if the report was disclosed to the parties no later than:

1. One (1) day prior to the preliminary protective hearing; ~~or~~
2. Ten (10) days prior to any other hearing; or
3. Another date set by the court.

The court shall file a report considered by the court in the dependency file maintained by the clerk. Unless a party objects, a report used in an evidentiary hearing shall be admitted into evidence. If the child safety worker who prepared the report is available for cross-examination at the time the report is being offered, the report may be admitted into evidence over a party's objection.

RULE 47 Release of Information.

A. – B. [No change]

C. If the court grants the request for inspection of court records, the court shall redact any information subject to the requirements of A.R.S. § 8-525(B)(1) ~~and through~~ (6) and A.R.S. § ~~8-807(F)(2)~~ 8-807.01(A)(1).

RULE 104 Time Within which an Appeal May be Taken and Notice Thereof; Preparation of Certified Transcript and Record on Appeal.

(A) – (J) [No change]

(K) If the juvenile court created only an audio or audio-video recording of the proceeding, a party must order a certified transcript of the proceeding directly from an authorized transcriber. The juvenile court must furnish the transcriber with a copy of the designated electronic recording upon receipt of a notice from the transcriber that the transcriber has reached a satisfactory arrangement for payment. All parties to the appeal must cooperate with the transcriber by providing information that is necessary to facilitate transcription.

Honorable Colleen McNally
Presiding Juvenile Court Judge
Maricopa County Juvenile Court
Chair, Committee on Juvenile Courts
C/O Caroline Lauth-Owens
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ARIZONA SUPREME COURT

In the matter of:)
) Supreme Court No.
PETITION TO ADD RULE 40.2,)
DUTIES AND RESPONSIBILITIES OF)
APPOINTED COUNSEL FOR PARENT)
REPRESENTATION)
_____)

I. Background and Purpose of the Proposed Rule Amendments and New Rules.

The Arizona Supreme Court established Juvenile Rules of Procedure Rule 40.1, effective January 1, 2012, which provides Duties and Responsibilities of Appointed Counsel and Guardians Ad Litem to promote higher quality representation for children in care and to bar the appointment of untrained or poorly trained court-appointed representatives for children.

The Duties and Responsibilities of Appointed Counsel and Guardians Ad Litem are the result of several workgroups that began the work dating back to 2002. In 2009 and 2010, focus turned to drafting standards that would eventually be implemented through Administrative Order and Court Rule, rather than simply best practice standards. Through direction of the Committee on Juvenile Courts (COJC), the Court Improvement Advisory Workgroup was ultimately tasked with developing the standards. Rule 40.1

Duties and Responsibilities of Appointed Counsel and Guardians ad Litem was adopted on September 1, 2011, with an effective date of January 1, 2012. While discussions took place during that time regarding establishing standards for parent representation in dependency cases as well, the COJC agreed to move forward with standards for child representation and to address standards for parent representation once the child representation standards were adopted and implemented.

On September 26, 2013, the Dependent Children's Services Division, through the Court Improvement Advisory Workgroup, hosted a multidisciplinary summit entitled: *Hearing Their Voices: A Discussion about Parent Representation*. The results from the summit discussion were then used as a foundation for discussion by the Ad Hoc committee of the Court Improvement Advisory Workgroup, which was later assembled and tasked with developing standards for parent representation.

The Ad Hoc committee first met on January 25, 2014 and was composed of The Honorable Brenda Oldham, Chair (Juvenile Court Judge, Pinal County and now the Presiding Juvenile Court Judge in Pinal County), The Honorable Richard Weiss (Juvenile Court Judge, Mohave County), Ruel Barrus (Public Defender's Office, Mohave County), Eileen Bond (Private Practice, Yavapai County and Pro Tem Judge, Yavapai County), Brooke Gaunt (Office of the Legal Defender, Maricopa County), Laura Giaquinto (Attorney General's Office and now a Commissioner in Maricopa County), John Gilmore (Private Practice, Pima County), Maria Hoffman (Arizona Senate CPS Constituent Services Consultant and now Arizona Senate DCS Constituent Services Consultant), Joanne McDonnell (Deputy Ombudsman, Arizona Ombudsman Citizens' Aide), Bill Owsley (Office of the Legal Advocate, Maricopa County), John Phelps (Chief Executive

Officer and Executive Director, Arizona State Bar), and Joseph Ramiro-Shanahan (Private Practice, Maricopa County).

The Ad Hoc committee's work continued until a draft set of standards was ready to present to the Committee on Juvenile Courts (COJC) which occurred on May 22, 2014. On May 22, 2014 the COJC unanimously approved "sending the parent representation standards draft out for comment and move on to AJC for further action". The comment period was opened from June 16, 2014 – July 31, 2014.

After seeking and reviewing comments on the standards, the Ad Hoc Work Group reconvened and modified the draft standards. The standards were then presented again to the COJC on February 12, 2015 at which time they were adopted to be used in attorney training and were forwarded to the Arizona Judicial Council to consider supporting their implementation as Standards through an Administrative Order and supporting the filing of a rule petition to have them implemented through Court Rule. The standards were also vetted through the Superior Court Presiding Judges and then presented to the Arizona Judicial Council (AJC) on March 26, 2015. The AJC approved the attorney standards for parent representation supported their implementation through Administrative Order and eventually Court Rule. The standards became effective through Administrative Order on July 1, 2015.

II. Pre-Petition Distribution and Comment.

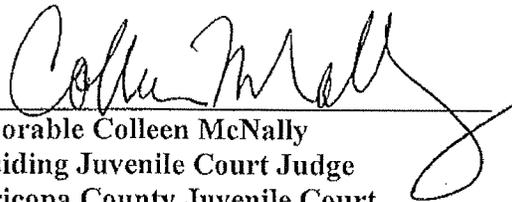
The proposed standards were widely distributed for comment from June 16, 2014 through July 31, 2014. (Please see Appendix A for distribution list.)

III. Contents of the Proposed Rule Amendments and New Rules.

The proposed new rule establishes Duties and Responsibilities for attorneys representing parents in Dependency cases. (Please see Appendix B for complete text of the proposed rule.)

The proposed rule is attached as Appendix B.

RESPECTFULLY SUBMITTED this 24 day of NOV 2015.

By 
Honorable Colleen McNally
Presiding Juvenile Court Judge
Maricopa County Juvenile Court
Chair, Committee on Juvenile Courts

“APPENDICES”

Appendix A

Distribution List

1. General notice to all AZ Lawyers via ELegal
2. State Bar of AZ Board of Governors
3. AZ State Bar Sections:
 - Juvenile Law Section
 - Family Law
4. AZ State Bar Committees:
 - Professional
 - Ethics
 - CLE
 - MCLE
5. AZ Attorney General's Office
6. Child and Family Protection Division Appeals Team Office
7. Maricopa County Bar
8. Pima County Bar
9. Maricopa County Public Advocate
10. Office of Maricopa County Public Defender
11. Office of Legal Advocate
12. Office of the Legal Defender
13. Maricopa County Contract Attorneys
14. Pima County Contract Attorneys
15. Coconino Juvenile Defense Attorneys
16. Mohave Juvenile Defense Attorneys
17. Pinal Juvenile Defense Attorneys
18. Yavapai Juvenile Defense Attorneys
19. Court Appointed Special Advocates
20. Foster Care Review Boards
21. Court Improvement Website
22. Arizona Ombudsman-Citizens' Aide Office
23. Arizona Senate CPS Constituent Services Consultant

Appendix B

Rule 40.2 Duties and Responsibilities of Appointed Counsel for Parent Representation

- A. The attorney must promptly identify any potential and actual conflicts of interest that would impair his or her ability to represent the parent. The attorney must, if necessary, move to withdraw. An attorney must not accept more cases than he or she can ethically handle.
- B. The attorney must inform the parent of the attorney's role and ethical obligations, including the concepts of privilege and confidentiality.
- C. The attorney must review the allegations of the dependency petition and explain to the parent the nature of the proceedings including terminology, timelines and courtroom protocol, his or her legal rights regarding the dependency action, various parties and participants associated with the action, ways that the parent can affect case outcomes, consequences of the parent not attending hearings, and possible consequences of being placed on the DES Central Registry.
- D. The attorney must explain all requirements outlined in the case plan and court orders.
- E. The attorney must, as required, participate in discovery, file pleadings, subpoena witnesses, provide the parent with disclosure and court documents and develop the parent's position for each hearing. The attorney must ensure the court is notified when an interpreter is needed. If a parent is incarcerated, the attorney must ensure that the proper notice or motion is filed with the court in order for the parent to participate in the hearing.

The duties of the attorney include advocating for appropriate services for the parent and explaining the procedural and substantive status of their case.
- F. The attorney must communicate with the parent before the preliminary protective hearing, if possible or soon thereafter. The attorney must establish procedures for regular communication with a client. Prior to every substantive hearing, the attorney must communicate with the parent and must reply to communications from a client in a timely manner.
- G. Attorneys must be familiar with the child and public welfare systems, and community-based organizations serving parents and how services are accessed. Examples of such services are behavioral health, substance abuse treatment, domestic violence services, developmental disability, health care, education, financial assistance, counseling support, family preservation, reunification and permanency services.

Attorneys must be familiar with the substantive juvenile law. Attorneys must stay abreast of changes and developments in relevant federal and state law and regulations, Rules of Procedure for the Juvenile Court and case law. Attorneys

must complete an introductory six (6) hours of court approved training prior to their first appointment unless otherwise determined by the presiding judge of the juvenile court for good cause shown and an additional two (2) hours within the first year of practice in juvenile court. All attorneys must complete at least eight (8) hours each year of education and training specifically on juvenile law and related topics such as child welfare policy and procedures, substance abuse and addiction, mental illness and treatment options, psychological evaluations (how to read), domestic violence, the effects of trauma, cultural awareness, social issues surrounding families involved in the dependency process, motivational interviewing, child and adolescent development, (including infant/toddler mental health), the effects of parental incarceration, the Indian Child Welfare Act, parent and child immigration issues, the need for timely permanency, and other training concerning abuse and/or neglect of children. Some or all of this training and continuing education may qualify as mandatory Continuing Legal Education under State Bar of Arizona requirements.

Attorneys must provide the presiding judge of the juvenile court with an affidavit of completion of the six (6) hour court approved training requirement prior to or upon their first appointment as attorney or guardian ad litem for a parent after the adoption of these standards unless a waiver of this requirement has been obtained from the presiding judge of the juvenile court in which the appointment is to be made. The affidavit of completion must include a list of courses including the name of the training, the date of the training, the training provider and the number of hours for each course.

All attorneys must file annually an affidavit with the presiding judge of the juvenile court certifying their compliance with this section. Such affidavit must be filed concurrently with the affidavit of compliance with State Bar MCLE and must include a list of courses including the name of the training, the date of the training, the training provider and the number of hours for each course.

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**IN THE SUPREME COURT
STATE OF ARIZONA**

PETITION TO CREATE RULE 40.2,
Rules of Procedure for Juvenile Court

Supreme Court No. R- -

**Petition to Create Rule 40.2, Rules of
Procedure for Juvenile Court**

Pursuant to Rule 28, Arizona Rules of the Supreme Court, the Arizona Public Defender Association ("APDA") petitions this Court to create **Rule 40.2, Rules of Procedure for Juvenile Court**, governing Duties and Responsibilities of Appointed Guardians Ad Litem for adults, as proposed **below in the draft of Rule 40.2**.

APDA is an Arizona non-profit corporation comprised of public defense offices and programs throughout the State of Arizona. The primary purposes of the organization include improving the quality of legal representation of indigent people who face the loss of liberty or the right to parent, and ensuring a just legal system. APDA's offices defend the majority of parents who are involved in a Title 8 dependency.

1 **Background and Purpose of the Proposed Rule Amendments**

2 Rule 40C, Rules of Procedure for Juvenile Court, allows for the appointment of a
3
4 Guardian Ad Litem for a parent, guardian or Indian custodian when the court believes
5 the individual may be incompetent and in need of protection. The Guardian Ad Litem
6 is required to conduct an investigation and report the findings to the court. The court
7 uses the information to enter orders to protect the interests of the parent, guardian or
8 Indian custodian. The Rule is silent as to what the continuing duties and
9 responsibilities the Guardian Ad Litem are to the parent, guardian or Indian custodian.
10

11 Rule 40.1, Rules of Procedure for Juvenile Court, details the role and obligation of a
12 Guardian Ad Litem who is appointed to represent a child. The Guardian Ad Litem for
13 a child is responsible for safeguarding the interest of the child, regardless of the child’s
14 stated position. The Guardian Ad Litem is responsible for pursuing placement,
15 services and case plans that are in the best interest of the child and possibly contrary to
16 the child’s desires. A child’s Guardian Ad Litem should take into consideration the
17 desires of the child when determining the best interest of the child. However, the duty
18 of the Guardian Ad Litem is to provide the court with information on the best interest
19 of the child.
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22 The role of Guardians Ad Litem appointed for parents, guardians, or Indian
23 custodians is “to protect the interest of... an incompetent in a particular case before the
24 court.” A.R.S. §8-531(7). Absent a judicial finding the parent is actually incompetent,
25 and to ensure due process before a parent’s decision-making right is infringed, a
26

1 GAL's role must be limited to investigating the best interest of the parent and
2 communicating those interests to the court. *Maricopa County Juvenile Action No.*
3 *JD6982*, 186 Ariz. 354, 359, 922 P.2d 319, 324 (1996). The court may not substitute
4 the opinions of the Guardian Ad Litem for the expressed interests of the parent.
5

6 A parent who is unable to adequately understand the complexities of dependency
7 and termination matters is still entitled to assert their desire and ability to parent their
8 child. The parent, with the assistance of counsel, must be permitted to contest the
9 matters in order to preserve their family. To assist the parent in understanding the
10 complex world of dependency and termination proceedings a Guardian Ad Litem
11 should be appointed to explain the process. The Guardian Ad Litem would be present
12 for all hearings to answer the client's questions about the process, allowing counsel for
13 the parent to advocate the client's position uninterrupted. This process would ensure
14 the parent Due Process. The parent would be provided information about the process
15 and the parent's expressed desires would be advocated.
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18 Client-attorney privilege should apply to Guardians Ad Litem for parents, guardians
19 and Indian custodians. The Guardian Ad Litem will be seated next to the parent,
20 guardian or Indian custodian during proceedings. The parent, not appreciating the role
21 of counsel, may inadvertently provide damaging information to the Guardian Ad
22 Litem during the proceedings, or the Guardian Ad Litem may overhear statements
23 made by the parent to counsel. In order for the Guardian Ad Litem to facilitate the
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1 court process and protect the client from statements made to his court team, client-
2 attorney privilege must apply.

3
4 Lastly, Guardians Ad Litem are permitted to file Notices of Appeal on the parent's,
5 guardian's or Indian custodian's behalf without being required to comply with the
6 avowal requirement of Rule 104(B), Rules of Procedure for Juvenile Court. As
7 discussed in *Cecilia A. v. ADES*, 229 Ariz. 286, 274 P.3d 1220 (2012), when a parent
8 is generally confused about the court proceedings and is unable to clearly express their
9 position regarding an appeal, the right to an appeal is not defaulted because counsel is
10 unable to make an avowal regarding the parent's desire for an appeal. In cases where
11 a Guardian Ad Litem for the parent has been appointed and the parent, guardian or
12 Indian custodian cannot communicate their position on an appeal, the Guardian Ad
13 Litem must be permitted to file the notice of appeal without making the avowal. To
14 hold otherwise, would essentially deny all parents, guardians and Indian custodians
15 who are not sophisticated enough to understand the complex juvenile court process,
16 the right to an appeal.
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19 **Conclusion**

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21 The role of Guardians Ad Litem is not clearly delineated in Juvenile Court Rules.
22 The adoption of Rule 40.2, Rules of Procedure for Juvenile Court, would provide
23 guidance to all parties on the expectations and duties of Guardians Ad Litem for
24 parents.
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RESPECTFULLY SUBMITTED this 19th day of October, 2015.

/Christina Phillis/
Christina Phillis
On behalf of APDA

Electronic copy filed with the Clerk of
the Supreme Court of Arizona this 19th
day of October, 2015.

by: Chris Phillis

1 Arizona Public Defender Association proposed addition to Rules of Procedure
2 for Juvenile Court

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5 **Rule 40.2**
6 **Duties and Responsibilities of Appointed Guardians Ad Litem**
7 **For Parents, Guardians and Indian Custodians**

- 8 A. A party may request or the court on its own motion may appoint a Guardian Ad
9 Litem for a parent, guardian or Indian custodian if the parent, guardian or
Indian custodian is believed to be incompetent or their interests need protection.

10 “Incompetent” means a parent, guardian or Indian custodian who does not
11 have a sufficient present ability to rationally and factually understand the
proceedings.

- 12 B. The Guardian Ad Litem shall conduct an investigation to ascertain whether a
13 parent, guardian or Indian custodian is incompetent or their interests are in need
14 of protection.
- 15 C. If the Court deems the parent’s, guardian’s or Indian custodian’s interests are in
16 need of protection after an investigation, the Guardian Ad Litem will remain
17 appointed for the purpose of protecting the parent’s, guardian’s or Indian
18 custodian’s fundamental rights. The Guardian Ad Litem shall be present for all
19 hearings to ensure the parent, guardian or Indian custodian understands the
proceedings. The Guardian Ad Litem is not a best interest attorney.
Communications between the Guardian Ad Litem and the parent, guardian or
Indian custodian are privileged.
- 20 D. The Guardian Ad Litem has the ability to file a notice of appeal without an
21 avowal for a client deemed to be incompetent or in need of protection.
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CFSR

Child and Family Services Review Results Meeting

Safety
Permanency
Child and Family Well-Being

Arizona Department of Child Safety

January 22, 2016



Arizona's Child Welfare System Strengths

Achieved 6 of the 7 statewide data indicators

- Absence of maltreatment in foster care
- Absence of recurrence of substantiated maltreatment
- Permanency for children already in care 12 to 23 months
- Permanency for children already in care 24 months or more
- Absence of re-entry to foster care
- Placement stability

Achieved 4 of the 7 systemic factors

- Statewide Information System
- Quality Assurance System (including continuous quality improvement)
- Staff and Provider Training
- Agency Responsiveness to the Community

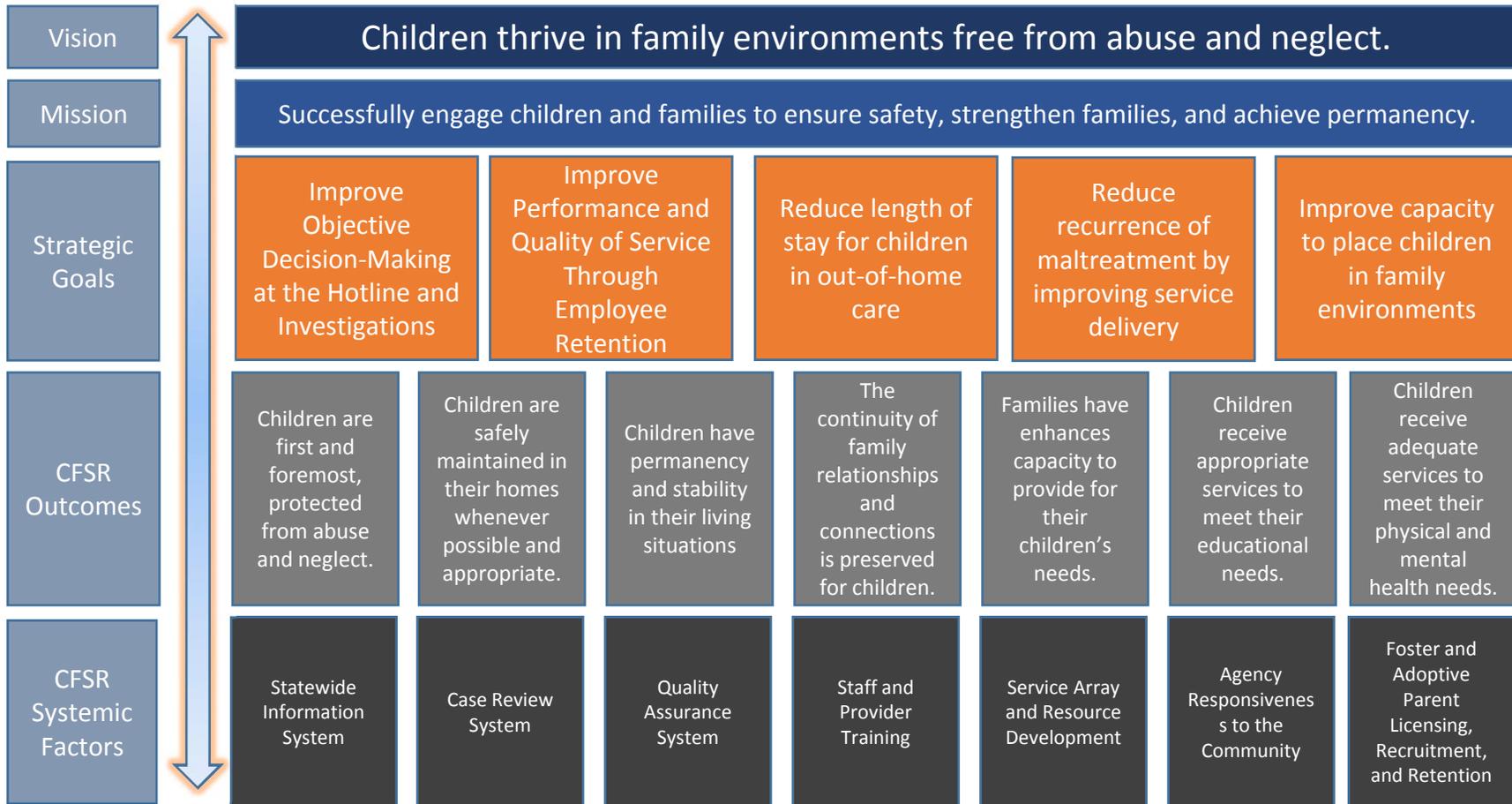
Met the target of 90% cases rated strength:

- Protecting children in the home to prevent removal or reentry into foster care (100%)
- Providing for children's educational needs (95%)
- Providing for the other needs of children (92%)

State performance improved on 11 of the 18 outcome items compared to the 2007 Round 2 CFSR.



Arizona's Child Welfare System Strengths



The CFSR Results in Perspective

- The CFSR is a piece of our continuous quality improvement process
- The Children's Bureau coaches states through a self-evaluation process
- CFSR standards intentionally set very high; all states will have a Program Improvement Plan (PIP)
- The CFSR results validate our current strategic direction
- Success through high-impact improvement activities (cross-cutting initiatives)
- Accountability in the form of possible financial penalties



The CFSR Results in Perspective

- The data indicators are based on FFY 2014 data and earlier
- The case review findings are based on activity from April 2014 through September 2015
 - All cases had some activity from 4/1/14 through 1/31/15
 - 10 of the 65 cases closed before CY 2015
- Case review included only 65 cases from three counties
 - Permanency items applicable to maximum of 40 cases
 - Findings may be based on as few as 30 cases
- Case rating procedures mask positive practice
 - Items have many questions
 - Outcomes have many items
 - Standard for PIP avoidance is 95% of cases substantially achieved





Child and Family Services Reviews

Results – Arizona

CFSR 2015



CFSR Overview



Arizona CFSR Results



Prior CFSR and PIP

- This is the third round of CFSRs
- The last CFSR in Arizona was conducted in 2007.
- After that review, the State developed a Program Improvement Plan (PIP) to make improvements in child welfare outcomes and systemic factors.
- The State was successful in completing its PIP in March 2012.



2015 CF SR

April-September

- Arizona chose to review 65 cases:
 - 25 in-home services cases
 - 40 foster care cases
- Cases were sampled in three counties:
 - Yuma
 - Maricopa
 - Pinal
- Together with the state, the Children's Bureau interviewed 21 groups of key state stakeholders and partners



CFSR Process

Outcome Assessment

- Measuring safety, permanency, and well-being for children and families in the child welfare system
- Performance on seven outcomes is based on
 - Evaluation of child welfare practice following a review of the case record and interviews with case-related participants
 - Performance against national standards for 7 Statewide Data Indicators



CFSR

State Performance: Outcomes

Arizona was in substantial conformity with 1 outcome: Well-Being Outcome 2

- Safety Outcome 1: Children are, first and foremost, protected from abuse and neglect
- Safety Outcome 2: Children are safely maintained in their homes whenever possible and appropriate
- Permanency Outcome 1: Children have permanency and stability in their living situations
- Permanency Outcome 2: The continuity of family relationships and connections is preserved for children
- Well-Being Outcome 1: Families have enhanced capacity to provide for their children's needs
- **Well-Being Outcome 2: Children receive appropriate services to meet their educational needs**
- Well-Being Outcome 3: Children receive adequate services to meet their physical and mental health needs



CFSR

State Performance: National Standards

Arizona met the National Standard for 6 of the 7 Data Indicators, listed in **bold**

- **Recurrence of Maltreatment**
- **Maltreatment in Foster Care**

- Permanency in 12 months – Entering Foster Care
- **Permanency – Children in care 12 – 23 months**
- **Permanency - Children in care 24+ months**
- **Re-entry into Foster Care in 12 months**
- **Placement Stability**



CFSR Process

Systemic Factor Assessment

- Measuring how well key systems function statewide
- Performance on seven systemic factors is evaluated based on
 - Information provided by the state in the statewide assessment
 - Interviews with key partners and stakeholders



CFSR

State Performance: Systemic Factors

Arizona achieved Substantial Conformity with 4 of the 7 Systemic Factors, listed in **bold**

- **Statewide Information System**
- Case Review System
- **Quality Assurance System**
- **Staff and Provider Training**
- Service Array
- **Agency Responsiveness to the Community**
- Foster and Adoptive Parent Licensing, Recruitment, and Retention





Outcome Findings



Themes Impacting Outcomes

- Safety concerns
 - Timeliness of face-to-face contact with children during investigations
 - Children staying overnight in offices
 - Backlog in investigations
- Inconsistent assessment quality
 - assessing risk, safety, and needs for children and families
- Inadequate parent engagement
 - case planning, assessing needs, supporting visitation, or supporting their relationship with their children
- High caseworker caseloads
- Budget cutbacks and gaps in service array, including too few foster families



Safety Outcome 1

Children are, first and foremost, protected from abuse
and neglect

Areas of Concern

Arizona was not in Substantial Conformity

- **Timeliness of Initiating Investigations**
 - Rated as a Strength in 75% of applicable cases
 - Backlog of investigations
 - Timeliness of face-to-face contact with child
 - Delayed resolution of investigations
- **2 Statewide Data Indicators**



Safety Outcome 2

**Children are safely maintained in their homes
whenever possible and appropriate**
Areas of Concern

Arizona was not in Substantial Conformity

- **Risk and Safety Assessment and Management**

- Rated as a Strength in 75% of the cases reviewed
 - Practice of assessing risk and safety for children in their homes and in foster care is inconsistent

Initial Assessments	85%
Ongoing Assessments	77%



Safety Outcome 2

Area of Strength

- **Services to Families to Protect Child(ren) in the Home and Prevent Removal or Re-Entry into Foster Care**
 - Rated as a Strength in 100% of applicable cases

Permanency Outcome 1

Children have permanency and stability in their living situations

Areas of Concern

Arizona was not in Substantial Conformity

- **Placement Stability**
 - Rated as a Strength in 82.5% of cases
 - 92% of current placements were stable
- **Permanency Goal Appropriate and Set Timely**
 - Reunification, guardianship, adoption, or OPPLA
 - Appropriate and established timely in 67.5% of cases
 - In 58% of cases, TPR petitions filed timely in accordance with ASFA or compelling reasons documented
- **Achieving Permanency**
 - For all goals, achieved in a timely manner in 55% of cases



5 Statewide Data Indicators



Permanency Outcome 1

Children have permanency and stability in their living situations

Most recent goal listed

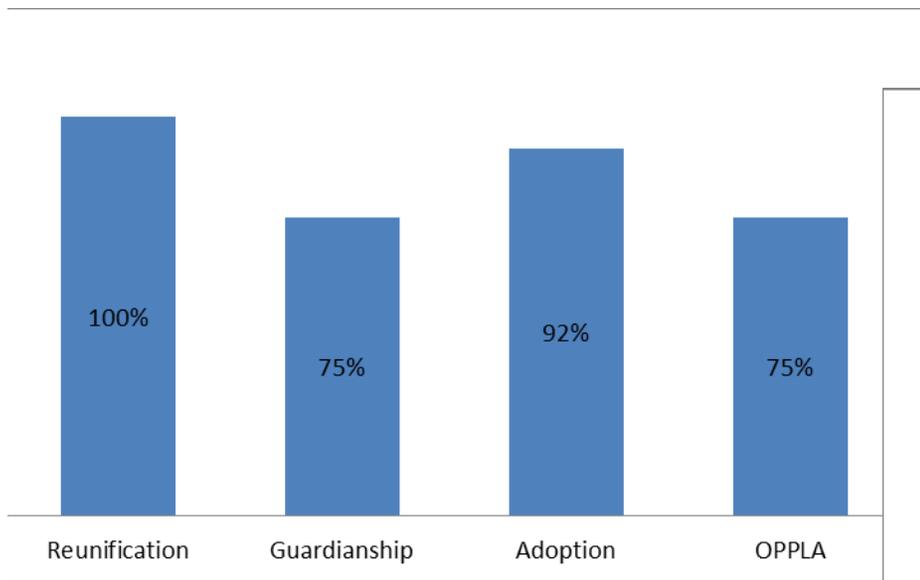
Adoption	20 cases
Reunification	9 cases
Guardianship	1 case
OPPLA	4 cases
Adoption & Reunification	5 cases
Guardianship & Reunification	1 case



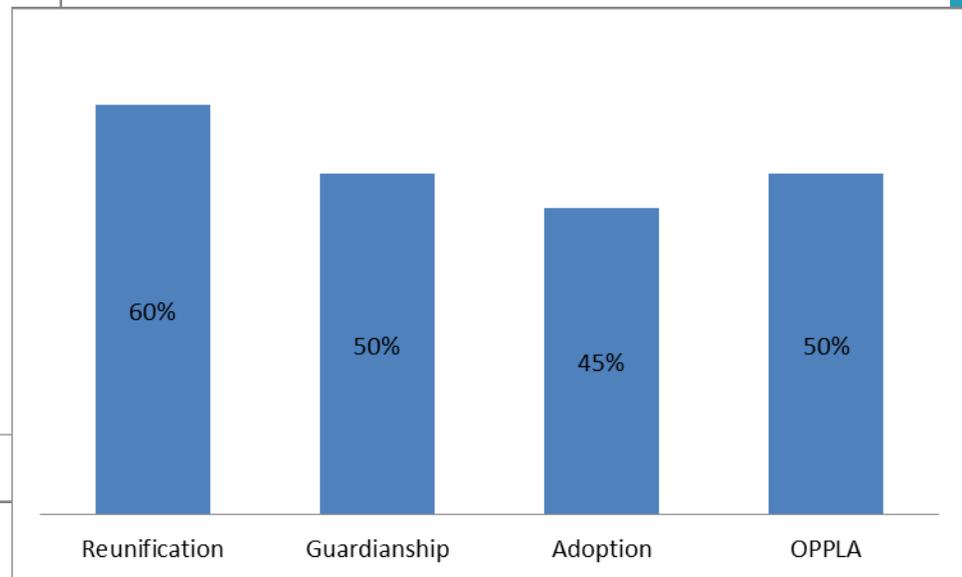
Permanency Outcome 1

Children have permanency and stability in their living situations

Goals were Appropriate



Goals were Achieved Timely



Permanency Outcome 2

The continuity of family relationships and connections is preserved for children

Areas of Concern

Arizona was not in Substantial Conformity

■ Relative Placement

- Rated as a Strength in 82.5% of cases
- 60% of children were placed with relatives
 - For children not placed with relatives...

Maternal Relative Identification	60%
Paternal Relative Identification	50%

■ Placement with Siblings

- Rated as a Strength in 68% of cases



Permanency Outcome 2

Areas of Concern (Continued)

- **Children Visiting with Parents and Siblings in Foster Care**
 - Rated as a Strength in 73% of cases

Visitation With:	Frequency 1x/month or more	Frequency Sufficient
Mothers	48%	78%
Fathers	46%	91%
Siblings	71%	76%

- Visits with parents and siblings were of sufficient quality in 100% of applicable cases



Permanency Outcome 2

Areas of Concern (Continued)

- **Preserving Connections**
 - Rated as a Strength in 60% of cases
 - Timely ICWA notification in 66% of 6 cases
- **Relationship of Child in Care with Parents**
 - Rated as a Strength in 39% of cases

Support Maternal Relationship	44%
Support Paternal Relationship	45%

Well-Being Outcome 1

Families have enhanced capacity to provide for their children's needs

Areas of Concern

Arizona was not in Substantial Conformity

Needs Assessment and Services

- **For Parents**

- Rated as a Strength in 61% of applicable cases
- Rated as a Strength in 52% of applicable foster care cases and 72% of applicable in-home services cases

- **For Child/ren**

- Rated as a Strength in 92% of cases

- **For Foster Parents**

- Rated as a Strength in 92% of cases



Well-Being Outcome 1

Areas of Concern (Continued)

Needs Assessment and Services for Mothers

- Rated as a Strength for mothers in 76% of applicable cases
- Mothers' needs were appropriately assessed and addressed in 95% of applicable *foster care cases* and 88% of applicable *in-home services cases*

Well-Being Outcome 1

Areas of Concern (Continued)

Needs Assessment and Services for Fathers

- Rated as a Strength for fathers in 78% of applicable cases
- Fathers' needs were appropriately assessed and addressed in 52% of applicable *foster care* cases and 72% of *in-home services* cases

Well-Being Outcome 1

Areas of Concern (Continued)

Needs Assessment and Services

Party:	Applicable cases for needs assessment	Needs Assessed	Applicable cases for services provided	Services Provided
Children	65	95%	22	91%
Mothers	51	76%	48	86%
Fathers	39	78%	34	71%



Well-Being Outcome 1

Areas of Concern (Continued)

- **Child and Family Involvement in Case Planning**
 - Rated as a Strength in 59% of applicable cases
 - Rated as a Strength in 50% of applicable *foster care* cases and 72% of applicable *in-home services* cases

Party:	Involved in Case Planning
Children	78%
Mothers	59%
Fathers	59%



Well-Being Outcome 1

Areas of Concern (Continued)

- **Caseworker Visits with Children**
 - Rated as a Strength in 72% of cases
- **Caseworker Visits with Parents**
 - Rated as a Strength in 46% of applicable cases
 - Rated as a Strength in 32% of *foster care* cases and 64% of *in-home services* cases

Visitation With:	Frequency 1x/month or more	Frequency Sufficient	Quality Sufficient
Children	89%	91%	75%
Mothers	66%	71%	68%
Fathers	42%	46%	60%

Well-Being Outcome 2

Children receive appropriate services to meet their educational needs

Area of Strength

Arizona was in Substantial Conformity

■ Educational Needs

- Rated as a Strength in 95% of applicable cases
- Pinal: Rated as a Strength in 100% of applicable cases



Well-Being Outcome 3

Children receive adequate services to meet their physical and mental health needs

Areas of Concern

Arizona was not in Substantial Conformity

■ Physical/Dental Health Needs

- Rated as a Strength in 54% of applicable cases
- Rated as a Strength in 50% of applicable *foster care* cases and 83% of applicable *in-home services* cases
- 80% of 20 cases had appropriate oversight of prescription medication

Needs	Assessed	Addressed
Physical	87%	92%
Dental	69%	79%



Well-Being Outcome 3

Areas of Concern (Continued)

■ Mental/Behavioral Health Needs

- Rated as a Strength in 76% of applicable cases
- Rated as a Strength in 82% of applicable *foster care* cases and 62% of *in-home services* cases
- 71% of 7 cases had appropriate oversight of prescription medication
- Yuma: Rated as a Strength in 100% of applicable cases

Needs Assessed	Needs Addressed
91%	80%



Systemic Factors Findings



Systemic Factors Statewide Information System

Arizona was in Substantial Conformity

- **Statewide Information System**
 - Relevant data are readily available and accurately reflect the placement, status, goal, and demographic information for children in foster care
 - The state measures data quality and accuracy



Systemic Factors Quality Assurance System

Arizona was in substantial conformity

- Quality Assurance System
 - Each of the five required quality assurance elements are functioning as intended across the state.
 - The Children's Bureau determined that the state's quality assurance system contained procedures and safeguards sufficient to support its use to conduct the case review component of the CFSR



Systemic Factors

Staff and Provider Training

Arizona was in substantial conformity

- Initial Staff Training
 - Most new specialists recently hired completed core training within 6 months
- Foster/Adoptive Parent Training
 - Foster parents and child care institution staff completed initial and ongoing training to satisfy licensing requirements
 - Required training provided needed skills and knowledge



Systemic Factors

Staff and Provider Training

Areas of Concern

- Ongoing Staff Training
 - The state cannot report whether caseworkers complete ongoing training according to required timeframes
 - Ongoing training provided does not provide staff with skills and knowledge needed to perform their duties



Systemic Factors Agency Responsiveness to the Community

Arizona was in substantial conformity

- **State Engagement and Consultation**
 - Variety of active stakeholder groups that inform the agency's strategic direction, planning, and program development with all required entities
- **Coordination With Other Federal Programs**
 - Coordinating activities with programs supporting economic security, child support, child care, education, juvenile courts, behavioral health, developmental disabilities, Tribal services, and Medicaid



Leveraging Systemic Strengths

- Arizona can use these four areas where systems are functioning effectively to galvanize change in other areas.
- Arizona's capacity for data analysis, combined with effective training and a functioning continuous quality improvement (CQI) system, can be leveraged to address other program areas and outcomes that need improvement.
- Arizona's engagement of key stakeholders who share responsibility for system improvement and strategic planning will be critical to the success of ongoing work



Systemic Factors Case Review System

Arizona was not in substantial conformity

- Written Case Plans
 - Case plans are not developed jointly with the child's parent(s) on a consistent basis
 - Written case plans for children in foster care are not routinely presented to the court for review
 - Parental engagement is uneven throughout the state
- Termination of Parental Rights Petitions
 - TPR petitions are not routinely filed or compelling reasons documented in accordance with ASFA requirements
- Notice of Hearings/Reviews
 - Notice is not provided to required individuals consistently due to the differing practices across counties in providing notification



Systemic Factors Case Review System

Areas of Strength

- **Periodic Review**
 - The majority of children in foster care have had periodic reviews within the last 6 months.
- **Permanency Hearing**
 - Almost all children who were the subject of a dependency petition had a permanency hearing held within 12 months of the petition being filed; and almost all had a subsequent permanency hearing within 12 months



Systemic Factors Service Array & Resource Development

Arizona was not in substantial conformity

- Service Array
 - Gaps in accessibility for programs
- Individualizing Services
 - Case plans offer insufficient individualization of services to address the needs of families, and in particular, of youth and individuals requiring culturally or linguistically tailored services



Systemic Factors Foster & Adoptive Parent Licensing, Recruitment, and Retention

Arizona was not in substantial conformity

- Criminal Background Checks and Placement Safety
 - There is an insufficient number of foster placements and there are times that children remain in placements that are potentially unsafe
 - The lack of placement options leads to children staying overnight in offices
- Use of Cross- Jurisdictional Placement Resources
 - Data available through CHILDS do not show the number of children who are free for adoption and do not have a permanent placement resource identified



Systemic Factors Foster & Adoptive Parent Licensing, Recruitment, and Retention

Areas of Strength

- **Standards Applied Equally**
 - A random sample of 35 licensing cases is reviewed monthly against a licensing requirement checklist to determine whether licensing standards are applied equally
- **Diligent Recruitment**
 - Regular review of data on the characteristics of children in foster care compared with the characteristics and availability of foster placements



Summary of Key Issues for Program Improvement

Systemic Factors

- Case Review System
 - Improve case planning and parent engagement
 - Improve court partnership to ensure timely TPR filing and notice to caregivers
- Service Array
 - Expand resources and services, including foster homes
 - Address high caseworker caseloads
- Foster and Adoptive Parent Licensing Recruitment & Retention
 - Monitor risk and safety in unlicensed settings
 - Expand the number of licensed foster homes



Summary of Key Issues for Program Improvement Outcomes

- Safety concerns
 - Strengthen policy guidance on time frame for initial face-to-face contact with children during investigations
 - Expand number and quality of foster homes to eliminate the need for children to stay overnight in offices
 - Expand investigations resources to eliminate backlog
- Assessment quality
 - Strengthen standards and practice for assessing risk, safety, and needs for children and families
- Parent engagement
 - Strengthen standards for case planning, supporting visitation, & supporting the parent-child relationship



Summary of Key Issues for Program Improvement National Standards

- Arizona's PIP will include the Data Indicator for which the National Standard was not met:
 - **Permanency in 12 months – Entering Foster Care**
- Arizona's PIP will also include a companion Data Indicator:
 - **Re-entry into foster care in 12 months**



Next Steps

Program Improvement Plan (PIP) Development

- Due in 90 days
- Two-year implementation period
- Focus on strategies that will show improvement in outcomes
- Focus on strategies that can be measured



Next Steps

PIP Development (Continued)

- Start with the state's existing CFSP goals and Strategic Plan goals
- Continue collaborative effort between the State and Children's Bureau
- Continue collaboration with partners and families to design the best strategies
- Identify technical assistance needs
- Continue ongoing assessment/re-assessment of progress





Thank You



Current Cross-Cutting Strategic Initiatives

DCS Strategic Goal 1: Improve Objective Decision-Making at the Hotline and in Investigations

Hotline

- New Hotline decision-making tool to improve accuracy of report screening and prioritization
- Proposed statutory change to improve report definitions (e.g. screen out concerns with no name or location; incident or child in another state)
- Dedicated audit staff at the Hotline for quality assurance

The new Hotline tool will be implemented February 1, 2016.

Investigations

- New data dashboards for workload management – all open reports and their status
- Supervisory case review guides for investigations – key decision points and QA check at closure
- Expand use of Considered Removal Team Decision-Making meetings (pre-removal)
- Revise investigation requirements for reports with low risk of recurrence
- New safety and risk assessment windows in CHILDS

42% of Hotline reports are unsubstantiated, receive no services, and no new report is received in at least two years.



Current Cross-Cutting Strategic Initiatives

DCS Strategic Goal 2: Improve performance and quality of service through employee retention

Manageable workloads improve retention, which improves quality

- CSRA Documentation & Field Guide to improve information collection and documentation, prevent rework when caseworkers resign
- Revise investigation requirements to align with family risk level
- Deploy targeted teams to reduce the investigation backlog

*DCS is almost **one third** of the way toward the target level of 12,800 open reports (90 days of reports).*

*Timely response to reports improved from 61% in CY2014 to **79%** in CY 2015, 86% for P1 reports.*

***100%** of Hotline reports are assigned.*

Hire and develop the right people for the work

- Behavioral characteristic profiles
- Exit surveys to understand why staff leave
- Training opportunities through Certified Public Manager course
- Advanced training curriculum under development



Current Cross-Cutting Strategic Initiatives

DCS Strategic Goal 3: Reduce Length of Stay for Children in Out-of-Home Care

Targeted staffings, case reviews, and TDMs for timely permanency

- Practice Improvement Specialists facilitating targeted permanency staffings on cases with reunification goal
- Supervisory case review guides for ongoing monthly case progress discussions and QA check
- Developing *Placement Options TDM* meetings to target children in congregate care
- Practice guidance on when guardianship is an appropriate alternative to adoption

Improved case transfer reduces workload and service delays

- Standard process flow for investigations and transfer to ongoing case management
 - Transfer dependency cases at the Preliminary Protective Hearing

Family engagement to achieve reunification for more children

- Family Engagement Specialists to conduct Family Finding, includes locating a parent
- Practice Guides provide family engagement techniques
- Arizona's Practice Model (values and practice skills)



Current Cross-Cutting Strategic Initiatives

DCS Strategic Goal 4: Reduce recurrence of maltreatment by improving service delivery

Expanded in-home services to prevent repeat maltreatment and removal

- Building Resilient Families is available in Maricopa County
- SENSE program expanding to Northern Region
- Service approval process so that the right families receive the right services at the right time
- Practice Guides on parenting time (visitation), parent aide services, lab tests, etc.

Targeted prevention strategies to reduce the need for Department intervention

- Partner with faith-based resources website, The Care Portal Network
- Community-based interventions in high report volume areas

In the Care Portal's first six weeks, churches in Tucson assisted the caregivers of 56 children in care with over \$7,400 worth of goods and services



Current Cross-Cutting Strategic Initiatives

DCS Strategic Goal 5: Improve capacity to place children in family environments

Increase foster homes through recruitment and support

- Fostering Inclusion Respect Support Trust Advisory (FIRST) Commission provides accessible information and resources for foster families in Maricopa county
- Improve the application process for initial foster home licensing
- Evaluate foster home licensing amendment process

Family engagement to locate relatives and kin

- Increase use of Placement Coordinators to identify available kinship placements upon removal
- Placement Center in Maricopa County opened June 1, 2015 for children ages zero to ten
- Family Engagement Specialists to conduct Family Finding
- Practice Guides provide family engagement techniques
- Arizona's Practice Model (values and practice skills)

Practice Guides have been written on parenting time, use of drug testing, and reasonable efforts to locate.



Arizona CFSR Results, PIP and the Strategic Initiatives

Question
&
Answer

Arizona CFSR Results, PIP and the Strategic Initiatives

Wrap-Up

Themes and Next steps



Child and Family Services Reviews

Arizona

Final Report

December 2015



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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Arizona 2015 CFSR Final Report

Final Report: Arizona Child and Family Services Review Report Issued: December 2015

INTRODUCTION

This document presents the findings of the Child and Family Services Review (CFSR) for the state of Arizona. 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 Arizona are based on:

- The statewide assessment prepared by the Arizona Department of Child Safety (DCS), and submitted to the Children's Bureau on March 17, 2015. 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 state's performance on national standards for 7 statewide data indicators
- The results of case reviews of 65 cases (40 foster care and 25 in-home cases) conducted via a State Conducted Case Review process at Maricopa, Pinal, and Yuma counties, Arizona, between April 1, 2015, and September 30, 2015.
- Interviews and focus groups with state stakeholders and partners, which included:
 - Attorneys representing the agency
 - Attorneys representing parents
 - Child care institution staff
 - Child welfare agency caseworkers and supervisors
 - Child welfare agency program managers, senior managers, and leadership
 - Guardians ad litem and children's legal representatives
 - Foster and adoptive parents and representatives from the state's foster and adoptive parent association

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- Licensing staff
- Members of Arizona Service Array Committee
- Representatives from administrative review boards
- Representatives from the court system and Court Improvement Project
- Representatives from state agencies managing other federal programs
- Parents served by the agency
- Service providers, including contract service providers
- Technical data specialists and individuals knowledgeable about data/information pertaining to child safety/health
- Training staff
- Tribal leaders and Tribal child welfare program administrators
- Youth served by the agency

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 one 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. Two outcomes—Safety Outcome 1 and Permanency Outcome 1—also are evaluated based on state performance with regard to statewide data indicators. For a state to be in substantial conformity with these outcomes, both the national standards for each relevant statewide data indicator must be met or considered no different than the national standard, and 95% of the applicable cases must be rated as having been substantially achieved.

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

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that have only 1 item associated with them, 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 Arizona's overall performance in Round 3. Appendix B provides information about Arizona's performance in Round 2.

I. SUMMARY OF PERFORMANCE

Arizona 2015 CFSR Assessment of Substantial Conformity for Outcomes, Systemic Factors, and Performance on Statewide Data Indicators

The following 1 of the 7 outcomes was found to be in substantial conformity:

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

The following 4 of 7 systemic factors were found to be in substantial conformity:

- Statewide Information System
- Quality Assurance System
- Staff and Provider Training
- Agency Responsiveness to the Community

The state's performance met the national standards for the following 6 of 7 statewide data indicators:

- Recurrence of maltreatment pertaining to Safety Outcome 1
- Maltreatment in foster care pertaining to Safety Outcome 1
- Permanency in 12 months for children in care 12-23 months pertaining to Permanency Outcome 1
- Permanency in 12 months for children in care 24 months or more pertaining to Permanency Outcome 1
- Re-entry to foster care in 12 months pertaining to Permanency Outcome 1
- Placement stability pertaining to Permanency Outcome 1

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Children's Bureau Comments on Arizona Performance

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

The systemic factors of Statewide Information System, Quality Assurance System, Staff and Provider Training, and Agency Responsiveness to the Community were all found to be functioning in substantial conformity. The Children's Bureau believes that with these systems in place and functioning, Arizona's capacity for data analysis, combined with a functioning continuous quality improvement (CQI) system, can be leveraged to address other program areas and outcomes that need improvement. Arizona's engagement of key stakeholders who share responsibility for system improvement and strategic planning will be critical to the success of ongoing work.

Cross-cutting concerns identified during the review include resource constraints and high caseworker caseloads. Data provided by the state in its statewide assessment and information collected from stakeholders interviewed indicated that barriers to assuring child safety and expediting permanency include a growing number of reports of child maltreatment, a growing number of children in foster care, and a backlog of pending investigations of reports of child maltreatment combined with a reduction in resources (placement, service, and caseworker resources) to manage them. Resource constraints and an insufficient array of appropriate services and service providers appear to have negatively affected performance on some of the outcomes. Stakeholders indicated that high caseworker caseloads prevent caseworkers from taking appropriate time to conduct high-quality investigations and assessments, monitor the safety of placements, effectively engage parents in case planning and visitation, and file termination of parental rights (TPR) petitions in a timely manner.

The review identified areas of concern pertaining to assessing and managing safety and risk. Arizona indicated in the statewide assessment that there is no specific time frame for completing face-to-face contact with children who are the subject of a report of child maltreatment. Reviewers found that in some cases investigations were kept open for long periods of time. Stakeholders interviewed reported, and case record reviews revealed, that children were staying overnight multiple days in DCS offices due to the lack of licensed providers. The Children's Bureau urges the state to address the many risk and safety concerns for children that this practice presents while it continues its efforts to secure additional resource families and appropriate placements for children.

Arizona uses a well-established model for assessing safety; however, the state's process is not clear for assessing risk and determining when in-home services should be provided or when safety concerns require removal. This review identified several contradictory results that warrant the state's further attention. The case review item focused on services to the family to protect children in the home and prevent removal or re-entry into foster care was rated as a Strength overall. In some cases, reviewers indicated that there were no appropriate services available to protect the children and prevent their entry into foster care, and stakeholders interviewed confirmed that there were insufficient resources available to support in-home services. In several in-home services cases in which the agency provided services, there were no documented risk or safety concerns. Stakeholders interviewed and case review findings noted a lack of formal safety plans when circumstances would seem to warrant them. Overall it appears that the state maintains a high threshold for identifying "safety-related" concerns that does not consistently link to DCS interventions with the family.

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Despite the relatively high percentage of strength ratings on the item related to assessing the needs of children, the assessments conducted indicated that a relatively low percentage of children were determined to have needs requiring services, which is unusual for children in foster care. The Children's Bureau is concerned that this low percentage of children in need of services may reflect on the quality of the assessment. In several cases, reviewers noted that caseworkers relied on informal observation or on children and parents to self-report their needs, rather than conducting independent needs assessments using professional judgment.

The case review results indicated overall areas needing improvement in the items related to setting appropriate goals for children in foster care and achieving permanency. Adoption was the goal in over half of the cases reviewed, and a significant barrier to achieving timely adoption included the failure to file TPR petitions in a timely manner.

The review results also found that relevant parents and caregivers were not always engaged in casework efforts. Engaging and working with appropriate parents and caregivers is critical to maintaining safety, achieving permanency, helping the child maintain connections, and promoting well-being. Review results indicated that the state's efforts to engage and work with parents are areas needing improvement, particularly for parents of children in foster care. The review results identified connections between the state's challenges in making concerted efforts to promote, support, and/or maintain positive relationships between the child in foster care and his or her parents; assessing the needs of parents and providing appropriate services; involving parents in the case planning process; and ensuring that the frequency and quality of visits between caseworkers and parents were sufficient to meet family needs. Further, the state did not meet the national standard related to achieving permanency in 12 months for children entering foster care, a key time when reunification is often achieved.

II. KEY FINDINGS RELATED TO OUTCOMES

For each outcome, we provide performance summaries from the case review findings and statewide data indicators (when relevant). 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 DCS. 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 and on two statewide data indicators related to safety.

State Outcome Performance

Arizona is not in substantial conformity with Safety Outcome 1.

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The outcome was substantially achieved in 75% of the 32 applicable cases reviewed. The state's performance met the national standards for both of the applicable statewide data indicators.

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 the agency respond within specific time frames based on the most severe allegation in the report. Arizona has four priority levels: the standard response time for a report assigned as a Priority 1 is 2 hours; the standard response time for a report assigned as a Priority 2 is 48 hours; the standard response time for a report assigned as a Priority 3 is 72 hours; and the standard response time for a report assigned as Priority 4 is 7 days. The DCS supervisor may aggravate or mitigate the response time for Priority 1-3 reports: the maximum mitigated response time for a Priority 1 report is 24 hours; for a Priority 2 report, 72 hours; for a Priority 3 report, 96 hours. The initial response is defined as an action taken by the agency, Office of Child Welfare Investigations (OCWI), law enforcement, or other emergency personnel to determine whether a child victim is currently safe. State policy does not provide a time frame for face-to-face contact with the alleged child victim(s). If the report is closed at investigation, reasonable efforts to interview the child must be made before case closure; if the report transfers to ongoing status, reasonable efforts to interview the child must be made before the case transfers to the ongoing caseworker or before the case transfers to ongoing status if it remains with the same caseworker. An investigation is considered to be closed or transferred on the date that a DCS supervisor approves the Child Safety and Risk Assessment (CSRA) document for the report/ investigation.

Arizona received an overall rating of Area Needing Improvement for Item 1 because 75% of the 32 applicable cases were rated as a Strength.

Safety Statewide Data Indicator Performance

Recurrence of Maltreatment

The indicator is described as: Of all children who were victims of a substantiated or indicated report of maltreatment during a 12-month reporting period, what percent were victims of another substantiated or indicated maltreatment allegation within 12 months of their initial report?

- Arizona met this national standard. The state's risk-standardized performance on this indicator was 6.9%, which met the national standard of 9.1%.

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Maltreatment in Foster Care

The indicator is described as: Of all children in foster care during a 12-month period, what is the rate of victimization per day of foster care?

- Arizona met this national standard. The state's risk-standardized performance on this indicator was 3.37 victimizations per 100,000 days in care, which met the national standard of 8.50 victimizations per 100,000 days in care.

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

Arizona is not in substantial conformity with Safety Outcome 2.

The outcome was substantially achieved in 75% of the 65 cases reviewed.

The outcome was substantially achieved in 85% of the 40 foster care cases and 60% 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.

- Arizona received an overall rating of Strength for Item 2 because 100% of the 30 applicable cases were rated as a Strength.
- Item 2 was rated as a Strength in 100% of the 10 applicable foster care cases and 100% of the 20 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.

- Arizona received an overall rating of Area Needing Improvement for Item 3 because 75% of the 65 applicable cases were rated as a Strength.

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- Item 3 was rated as a Strength in 85% of the 40 applicable foster care cases and 60% 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, and on 5 statewide data indicators related to permanency.

State Outcome Performance

Arizona is not in substantial conformity with Permanency Outcome 1.

The outcome was substantially achieved in 38% of the 40 applicable cases reviewed. The state's performance did not meet the national standards for 4 of the 5 national standards for the applicable statewide data indicators.

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).

- Arizona received an overall rating of Area Needing Improvement for Item 4 because 83% 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.

- Arizona received an overall rating of Area Needing Improvement for Item 5 because 68% of the 40 applicable cases were rated as a Strength.

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.

- Arizona received an overall rating of Area Needing Improvement for Item 6 because 55% of the 40 applicable cases were rated as a Strength.

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Permanency Statewide Data Indicator Performance

Permanency in 12 months for children entering foster care

This indicator is described as: Of all children who enter foster care in a 12-month period, what percent discharged to permanency within 12 months of entering foster care? Permanency, for the purposes of this indicator and the other permanency-in-12-months indicators, includes discharges from foster care to reunification with parents or primary caregivers, living with other relatives, adoption, and guardianship.

- Arizona did not meet this national standard. The state's risk-standardized performance on this indicator was 28.5%, which did not meet the national standard of 40.5%.

Permanency in 12 months for children in foster care 12 to 23 months

This indicator is described as: Of all children in foster care on the first day of a 12-month period who had been in foster care (in that episode) between 12 and 23 months, what percent discharged from foster care to permanency within 12 months of the first day of the period?

- Arizona met this national standard. The state's risk-standardized performance on this indicator was 50.9%, which met the national standard of 43.6%.

Permanency in 12 months for children in foster care 24 months or longer

This indicator is described as: Of all children in foster care on the first day of a 12-month period who had been in foster care (in that episode) for 24 months or more, what percent discharged to permanency within 12 months of the first day of the 12-month period?

- Arizona met this national standard. The state's risk-standardized performance on this indicator was 37.7%, which met the national standard of 30.3%.

Re-entry into foster care in 12 months

This indicator is described as: Of all children who enter foster care in a 12-month period who discharged within 12 months to reunification, living with a relative(s), or guardianship, what percent re-enter foster care within 12 months of their discharge?

- Arizona met this national standard. The state's risk-standardized performance on this indicator was 7.9%, which is considered no different than the national standard of 8.3%.

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Placement stability

This indicator is described as: Of all children who enter foster care in a 12-month period, what is the rate of placement moves per day of foster care?

- Arizona met this national standard. The state's risk-standardized performance on this indicator was 3.53 moves per 1,000 days in care, which met the national standard of 4.12 moves per 1,000 days in care.

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

Arizona is not in substantial conformity with Permanency Outcome 2.

The outcome was substantially achieved in 48% of the 40 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.

- Arizona received an overall rating of Area Needing Improvement for Item 7 because 68% of the 34 applicable cases were rated as a Strength.

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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.

- Arizona received an overall rating of Area Needing Improvement for Item 8 because 73% of the 33 applicable cases were rated as a Strength.
- In 76% of the 21 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 were sufficient to maintain and promote the continuity of the relationship.
- In 78% of the 27 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 were sufficient to maintain and promote the continuity of the relationship.
- In 91% of the 11 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 were 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.

- Arizona received an overall rating of Area Needing Improvement for Item 9 because 60% of the 40 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.

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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- Arizona received an overall rating of Area Needing Improvement for Item 10 because 83% of the 40 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.

- Arizona received an overall rating of Area Needing Improvement for Item 11 because 39% of the 28 applicable cases were rated as a Strength.
- In 44% of the 27 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

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

The outcome was substantially achieved in 52% of the 65 cases reviewed.

The outcome was substantially achieved in 45% of the 40 foster care cases and 64% of the 25 in-home services cases.

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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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.

- Arizona received an overall rating of Area Needing Improvement for Item 12 because 60% of the 65 cases were rated as a Strength.
- Item 12 was rated as Strength in 55% of the 40 foster care cases and 68% of the 25 in-home services cases.

Item 12 is divided into three sub-items:

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

- Arizona received an overall rating of Strength for Item 12A because 92% of the 65 cases were rated as a Strength.
- Item 12A was rated as a Strength in 95% of the 40 foster care cases and 88% of the 25 in-home services cases.

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

- Arizona received an overall rating of Area Needing Improvement for Item 12B because 61% of the 56 applicable cases were rated as a Strength.
- Item 12B was rated as a Strength in 52% of the 31 applicable foster care cases and 72% of the 25 applicable in-home services cases.
- In 73% of the 51 applicable cases, the agency made concerted efforts both to assess and address the needs of mothers.
- In 54% of the 39 applicable cases, the agency made concerted efforts both to assess and address the needs of fathers.

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

- Arizona received an overall rating of Area Needing Improvement for Item 12C because 86% 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.

- Arizona received an overall rating of Area Needing Improvement for Item 13 because 59% of the 61 applicable cases were rated as a Strength.
- Item 13 was rated as a Strength in 50% of the 36 applicable foster care cases and 72% of the 25 applicable in-home services cases.
- In 78% of the 46 applicable cases, the agency made concerted efforts to involve child(ren) in case planning.
- In 60% of the 48 applicable cases, the agency made concerted efforts to involve mothers in case planning.
- In 61% of the 38 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.

- Arizona received an overall rating of Area Needing Improvement for Item 14 because 72% 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 72% of the 25 in-home services cases.

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 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.

- Arizona received an overall rating of Area Needing Improvement for Item 15 because 47% of the 55 applicable cases were rated as a Strength.
- Item 15 was rated as a Strength in 33% of the 30 applicable foster care cases and 64% of the 25 applicable in-home services cases.
- In 58% of the 48 applicable cases, the agency made concerted efforts to ensure that both the frequency and quality of caseworker visitation with mothers were sufficient.
- In 39% of the 38 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

Arizona is in substantial conformity with Well-Being Outcome 2.

The outcome was substantially achieved in 95% of the 40 applicable cases reviewed.

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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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.

- Arizona received an overall rating of Strength for Item 16 because 95% of the 40 applicable cases were rated as a Strength.
- Item 16 was rated as a Strength in 94% of the 36 applicable foster care cases and 100% of the 4 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

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

The outcome was substantially achieved in 52% of the 58 applicable cases reviewed.

The outcome was substantially achieved in 43% of the 40 applicable foster care cases and 72% of the applicable 18 in-home services cases.

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.

- Arizona received an overall rating of Area Needing Improvement for Item 17 because 54% of the 46 applicable cases were rated as a Strength.
- Item 17 was rated as a Strength in 50% of the 40 foster care cases and 83% of the 6 applicable in-home services cases.

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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.

- Arizona received an overall rating of Area Needing Improvement for Item 18 because 76% of the 46 applicable cases were rated as a Strength.
- Item 18 was rated as a Strength in 82% of the 33 applicable foster care cases and 62% of the 13 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

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

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.

- Arizona received an overall rating of Strength for Item 19 based on information from the statewide assessment.

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- Information in the statewide assessment showed that the relevant data are readily available and accurately reflect the placement, status, goal, and demographic information for children in foster care. The state measures data quality and accuracy. Data errors and timeliness of data entry were within acceptable levels.

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

Arizona is not in substantial conformity with the systemic factor of Case Review System. Two of the 5 items in this systemic factor were 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.

- Arizona received an overall rating of Area Needing Improvement for Item 20 based on information from the statewide assessment and stakeholder interviews.
- In the statewide assessment, Arizona provided results of internal quality assurance case reviews that showed case plans are not developed jointly with the child's parent(s) on a consistent basis. Stakeholders confirmed that parents are not consistently involved in case plan development, and that although some parents receive a copy of the completed plan, written case plans for children in foster care are not routinely presented to the court for review. Some stakeholders suggested that high caseworker caseloads and turnover prevent the agency from effectively engaging parents in case planning and developing written case plans timely.

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.

- Arizona received an overall rating of Strength for Item 21 based on information from the statewide assessment.
- In the statewide assessment, Arizona reported recent data showing that the vast majority of children that had been in foster care for a 7-month period have had periodic reviews within the last 6 months.

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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.

- Arizona received an overall rating of Strength for Item 22 based on information from the statewide assessment.
- In the statewide assessment, Arizona provided recent data from the Administrative Office of the Courts showing that initial and subsequent permanency hearings for most children who were the subject of a dependency petition were occurring timely.

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.

- Arizona received an overall rating of Area Needing Improvement for Item 23 based on information from the statewide assessment and stakeholder interviews.
- In the statewide assessment, Arizona presented recent results of an internal quality assurance case review showing that a significant portion of cases sampled did not meet the federal requirements for termination of parent rights (TPR) petitions and noted that improvement is needed to ensure timely filing or documentation of the compelling reason. Stakeholders confirmed that TPR petitions are not filed according to required timelines and suggested that education is needed regarding TPR filing requirements. Stakeholders noted that barriers to timely filing practices include delays related to attorney or court requests for the agency to name grounds for termination, and the need to find a permanent home for the child before TPR proceedings are initiated. Some stakeholders suggested that high caseloads prevent caseworkers from preparing TPR petitions timely.

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.

- Arizona received an overall rating of Area Needing Improvement for Item 24 based on information from the statewide assessment and stakeholder interviews.
- Information in the statewide assessment and confirmed during stakeholder interviews indicated that notice is not provided to required individuals consistently and that there is no uniform process in place to provide the required notification. At times, the court may not receive timely information on placement changes to provide notice to the new caregiver. Many stakeholders reported that judges provided caregivers with the right to be heard, when the caregivers were present at hearings.

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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

Arizona is in substantial conformity with the systemic factor of Quality Assurance System. The one item in this systemic factor was rated as a Strength.

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 is (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.

- Arizona received an overall rating of Strength for Item 25 based on information from the statewide assessment.
- In the statewide assessment, Arizona provided information showing how each of the five required quality assurance elements were functioning as intended across the state. The Children's Bureau determined that the state's quality assurance system contained procedures and safeguards sufficient to support its use during the case review component of the CFSR.

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

Arizona is in substantial conformity with the systemic factor of Staff and Provider Training. Two of the three items in this systemic factor were 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.

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- Arizona received an overall rating of Strength for Item 26 based on information from the statewide assessment and stakeholder interviews.
- In the statewide assessment, Arizona reported that the vast majority of recently hired specialists completed core training within 6 months. Stakeholders clarified that a substantial majority of new employees completed core training in the expected time frame. Information in the statewide assessment indicated that newly trained employees generally found training to be relevant to their jobs and said it provided them with confidence to use the knowledge and skills gained from the training. Stakeholders interviewed agreed that initial training provided caseworkers with the skills and knowledge needed to assume caseworker duties.

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.

- Arizona received an overall rating of Area Needing Improvement for Item 27 based on information from the statewide assessment and stakeholder interviews.
- Information in the statewide assessment and confirmed during stakeholder interviews indicated that Arizona requires 24 hours of ongoing training annually but has no statewide tracking system to monitor compliance with this requirement. Stakeholders reported that caseworkers do not routinely complete ongoing training, with some stakeholders unaware of the annual training requirement. The state reported that a significant number of supervisors do not complete core supervisor training within the required 12-month time frame. Stakeholders noted that ongoing training does not provide staff with skills and knowledge needed to perform their duties. Barriers identified to completing ongoing training include budget constraints, caseload demands, and lack of a statewide tracking system.

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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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.

- Arizona received an overall rating of Strength for Item 28 based on information from the statewide assessment and stakeholder interviews.
- Information in the statewide assessment and confirmed during stakeholder interviews showed that foster parents and child care institution staff completed initial and ongoing training to satisfy licensing requirements. The state provided results of a recent sample of foster parents who indicated that initial and ongoing training provided them the skills and knowledge needed to carry out their duties, which was confirmed by stakeholders interviewed. Information in the statewide assessment and confirmed during stakeholder interviews showed that although there is no training requirement for prospective adoptive parents, an orientation is required, and many prospective adoptive families complete foster parent training.

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

Arizona 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.

- Arizona received an overall rating of Area Needing Improvement for Item 29 based on information from the statewide assessment and stakeholder interviews.

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- In the statewide assessment, Arizona indicated that the four required service areas are addressed across the state. However, the state noted that a state-convened Service Array Design Team reported gaps in accessibility to an extensive range of services including in-home services, foster family homes, mentoring programs, trauma-informed services, substance abuse services, therapy, parent aides, transportation, and residential treatment services. Stakeholders interviewed confirmed that there are significant gaps in the service array and extensive wait lists for services due in part to significant budget reductions in recent years, the limited pool of qualified service providers across the state, and a complicated coordination and approval process with Regional Behavioral Health Administration offices.

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.

- Arizona received an overall rating of Area Needing Improvement for Item 30 based on information from the statewide assessment and stakeholder interviews.
- In the statewide assessment, Arizona acknowledged that the state needed to strengthen the system to individualize services that address the unique needs of families. Stakeholders interviewed confirmed that case plans offer insufficient individualization of services to address the needs of families, particularly the needs of youth and individuals requiring culturally or linguistically tailored services. Stakeholders suggested that barriers to tailoring services to the needs of families include resource constraints, an insufficient array of appropriate services and service providers, insufficient additional training for caseworkers in how to individualize services, and high caseworker caseloads.

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

Arizona is in substantial conformity with the systemic factor of Agency Responsiveness to the Community. Both of the items in this systemic factor were 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-

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serving agencies and includes the major concerns of these representatives in the goals, objectives, and annual updates of the CFSP.

- Arizona received an overall rating of Strength for Item 31 based on information from the statewide assessment.
- In the statewide assessment, Arizona presented information about a variety of active stakeholder groups that inform the agency's strategic direction, planning, and program development with all required entities. The state indicated that stakeholder consultation is engaged and integrated into CFSP goals on an ongoing basis.

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.

- Arizona received an overall rating of Strength for Item 32 based on information from the statewide assessment and stakeholder interviews.
- In the statewide assessment, Arizona described coordinating activities with programs supporting economic security, child support, child care, education, juvenile courts, behavioral health, developmental disabilities, Tribal services, and Medicaid. Although some stakeholders noted that budget reductions and resource constraints have compromised the ability of the state to coordinate services effectively to meet the needs of families, other stakeholders noted that communication has improved among agencies and confirmed the description and effective implementation of service coordination presented in the statewide assessment.

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

Arizona is not in substantial conformity with the systemic factor of Foster and Adoptive Parent Licensing, Recruitment, and Retention. Two of the four items in this systemic factor were rated as a Strength.

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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.

- Arizona received an overall rating of Strength for Item 33 based on information from the statewide assessment.
- In the statewide assessment, Arizona provided information on the state's process for monitoring compliance with licensing requirements each month through a review of a random sample of cases. Results of a recent review and the state's use of a standardized checklist for licensure renewal indicate that standards were in place and applied consistently statewide.

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.

- Arizona received an overall rating of Area Needing Improvement for Item 34 based on information from the statewide assessment and stakeholder interviews.
- Information reported in the statewide assessment and confirmed in stakeholder interviews indicated that criminal background check requirements are consistently met. The state indicated that the case plan and Team Decision-Making Meetings provide a structured method to monitor and assure safety in placement. However, stakeholders expressed concerns about the safety of children that are the subject of open investigations of alleged child maltreatment in foster homes or child care institutions when there are delays in these investigations. Stakeholders said that there is an insufficient number of foster placements and that at times children remain in placements that are unsafe. Stakeholders also noted that the lack of placement options results in children staying overnight in offices, which are unlicensed situations. Stakeholders suggested that barriers to assuring child safety include a growing number of child maltreatment reports and a large number of children in foster care combined with a reduction in resources (placement, service, and caseworker resources) to manage them.

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.

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- Arizona received an overall rating of Strength for Item 35 based on information from the statewide assessment.
- In the statewide assessment, Arizona reported that the statewide diligent recruitment plan includes a regular review of data on the characteristics of children in foster care compared with the characteristics and availability of foster placements. The state noted that a focused recruitment effort is a part of the state's strategic plan.

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.

- Arizona received an overall rating of Area Needing Improvement for Item 36 based on information from the statewide assessment and stakeholder interviews.
- In the statewide assessment, Arizona reported the use of cross-jurisdictional placement resources and timely completion of almost all home study requests. However, the state also noted concerns that the data available through CHILDS do not show the number of children who are free for adoption and do not identify a permanent placement resource. Stakeholders expressed concern about the effective use of cross-jurisdictional resources, given the lack of data available regarding the scale of the need and the ability to identify specific children who need permanent placements.

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Summary of Arizona 2015 Child and Family Services Review Performance

I. Ratings for Safety, Permanency, and Well-Being Outcomes, Items, and Performance on Statewide Data Indicators

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. For Safety Outcome 1 and Permanency Outcome 1, the state must also meet or be considered no different than all of the associated national standards for the statewide data indicators.

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.

Statewide Data Indicator Achievement: The state's performance is measured against the national standard for each statewide data indicator. State performance may meet the national standard, not meet the national standard, or be considered no different than the national standard. 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.

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

[This cell intentionally left blank]	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
Statewide Data Indicator Recurrence of Maltreatment	Met the national standard of 9.1	Risk-Standardized Performance: 6.9%
Statewide Data Indicator Maltreatment in Foster Care	Met the national standard of 8.5	Risk-Standardized Performance: 3.37 victimizations*

* per 100,000 days in care

Appendix A: Arizona 2015 CF SR Final Report Summary

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

[This cell intentionally left blank]	Overall Determination	State Performance
Safety Outcome 2 Children are safely maintained in their homes when possible and appropriate	Not in Substantial Conformity	75% substantially achieved
Item 2 Services to protect child(ren) in home and prevent removal or re-entry into foster care	Strength	100% strength
Item 3 Risk and safety assessment and management	Area Needing Improvement	75% strength

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

[This cell intentionally left blank]	Overall Determination	State Performance
Permanency Outcome 1 Children have permanency and stability in their living situations	Not in Substantial Conformity	38% substantially achieved
Item 4 Stability of foster care placement	Area Needing Improvement	83% strength
Item 5 Permanency goal for child	Area Needing Improvement	68% strength
Item 6 Achieving reunification, guardianship, adoption, or other planned permanent living arrangement	Area Needing Improvement	55% strength
Statewide Data Indicator Permanency in 12 months for children entering foster care	Did not meet the national standard of 40.5	Risk-Standardized Performance: 28.5%
Statewide Data Indicator Permanency in 12 months for children in foster care 12-23 months	Met the national standard of 43.6	Risk-Standardized Performance: 50.9%

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[This cell intentionally left blank]	Overall Determination	State Performance
Statewide Data Indicator Permanency in 12 months for children in foster care 24 months and longer	Met the national standard of 30.3	Risk-Standardized Performance: 37.7%
Statewide Data Indicator Re-entry into foster care in 12 months	Is considered no different than the national standard of 8.3	Risk-Standardized Performance: 7.9%
Statewide Data Indicator Placement stability	Met the national standard of 4.12	Risk-Standardized Performance: 3.53 moves*

* per 1,000 days in care

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

[This cell intentionally left blank]	Overall Determination	State Performance
Permanency Outcome 2 The continuity of family relationships and connections is preserved for children	Not in Substantial Conformity	48% substantially achieved
Item 7 Placement with siblings	Area Needing Improvement	68% strength
Item 8 Visiting with parents and siblings in foster care	Area Needing Improvement	73% strength
Item 9 Preserving connections	Area Needing Improvement	60% strength
Item 10 Relative placement	Area Needing Improvement	83% strength
Item 11 Relationship of child in care with parents	Area Needing Improvement	39% strength

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

[This cell intentionally left blank]	Overall Determination	State Performance
Well-Being Outcome 1 Families have enhanced capacity to provide for children's needs	Not in Substantial Conformity	52% substantially achieved
Item 12 Needs and services of child, parents, and foster parents	Area Needing Improvement	60% strength
Sub-Item 12A Needs assessment and services to children	Strength	92% strength
Sub-Item 12B Needs assessment and services to parents	Area Needing Improvement	61% strength
Sub-Item 12C Needs assessment and services to foster parents	Area Needing Improvement	86% strength
Item 13 Child and family involvement in case planning	Area Needing Improvement	59% strength
Item 14 Caseworker visits with child	Area Needing Improvement	72% strength
Item 15 Caseworker visits with parents	Area Needing Improvement	47% strength

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

[This cell intentionally left blank]	Overall Determination	State Performance
Well-Being Outcome 2 Children receive appropriate services to meet their educational needs	In Substantial Conformity	95% substantially achieved
Item 16 Educational needs of the child	Strength	95% strength

Appendix A: Arizona 2015 CFSR Final Report Summary

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

[This cell intentionally left blank]	Overall Determination	State Performance
Well-Being Outcome 3 Children receive adequate services to meet their physical and mental health needs	Not in Substantial Conformity	52% substantially achieved
Item 17 Physical health of the child	Area Needing Improvement	54% strength
Item 18 Mental/behavioral health of the child	Area Needing Improvement	76% 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	In Substantial Conformity
Item 19 Statewide Information System	Statewide Assessment	Strength

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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 Review	Statewide Assessment	Strength
Item 22 Permanency Hearing	Statewide Assessment	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 and Stakeholder Interviews	Area Needing Improvement

QUALITY ASSURANCE SYSTEM

Data Element	Source of Data and Information	State Performance
Quality Assurance System	Statewide Assessment	In Substantial Conformity
Item 25 Quality Assurance System	Statewide Assessment	Strength

STAFF AND PROVIDER TRAINING

Data Element	Source of Data and Information	State Performance
Staff and Provider Training	Statewide Assessment and Stakeholder Interviews	In Substantial Conformity
Item 26 Initial Staff Training	Statewide Assessment and Stakeholder Interviews	Strength

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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	Strength
Item 32 Coordination of CFSP Services With Other Federal Programs	Statewide Assessment and Stakeholder Interviews	Strength

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	Not In Substantial Conformity

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

Appendix B: Arizona 2007 CFSR Round 2 Key Findings

Summary of CFSR Round 2 Arizona 2007 Key Findings

The Children's Bureau conducted a CFSR in Arizona in 2007. 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: 9
Date of Onsite Review: August 6–10, 2007
Period Under Review: April 1, 2006, through August 6, 2007
Date Final Report Issued: February 21, 2008
Date Program Improvement Plan Due: February 18, 2008
Date Program Improvement Plan Approved: October 1, 2008

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 five of the seven systemic factors.

Appendix B: Arizona 2007 CFSR Round 2 Key Findings

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	97.5	Meets 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	104.3	Does Not Meet Standard
Timeliness of adoptions (Permanency Composite 2)	106.4 or higher	121.3	Meets Standard
Permanency for children and youth in foster care for long periods of time (Permanency Composite 3)	121.7 or higher	123.6	Meets Standard
Placement stability (Permanency Composite 4)	101.5 or higher	90.5	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

Appendix B: Arizona 2007 CFSR Round 2 Key Findings

Outcome	Achieved or 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
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	Achieved Substantial Conformity
Case Review System	Did Not Achieve Substantial Conformity

Appendix B: Arizona 2007 CFSR Round 2 Key Findings

Systemic Factor	Achieved or 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

Key Findings by Item Outcomes

Item	Strength or Area Needing Improvement
1. Timeliness of Initiating Investigations of Reports of Child Maltreatment	Area Needing Improvement
2. Repeat Maltreatment	Strength
3. Services to Family to Protect Child(ren) in the Home and Prevent Removal or Re-entry Into Foster Care	Area Needing Improvement
4. Risk Assessment and Safety Management	Area Needing Improvement
5. Foster Care Re-entries	Strength
6. Stability of Foster Care Placement	Area Needing Improvement

Appendix B: Arizona 2007 CFSR Round 2 Key Findings

Item	Strength or Area Needing Improvement
7. Permanency Goal for Child	Area Needing Improvement
8. Reunification, Guardianship, or Permanent Placement With Relatives	Area Needing Improvement
9. Adoption	Area Needing Improvement
10. Other Planned Permanent Living Arrangement	Area Needing Improvement
11. Proximity of Foster Care Placement	Strength
12. Placement With Siblings	Strength
13. Visiting With Parents and Siblings in Foster Care	Area Needing Improvement
14. Preserving Connections	Area Needing Improvement
15. Relative Placement	Area Needing Improvement
16. Relationship of Child in Care With Parents	Area Needing Improvement
17. Needs and Services of Child, Parents, and Foster Parents	Area Needing Improvement
18. Child and Family Involvement in Case Planning	Area Needing Improvement
19. Caseworker Visits With Child	Area Needing Improvement

Appendix B: Arizona 2007 CFSR Round 2 Key Findings

Item	Strength or Area Needing Improvement
20. Caseworker Visits With Parents	Area Needing Improvement
21. Educational Needs of the Child	Area Needing Improvement
22. Physical Health of the Child	Area Needing Improvement
23. Mental/Behavioral Health of the Child	Area Needing Improvement

Systemic Factors

Item	Strength or Area Needing Improvement
24. Statewide Information System	Strength
25. Written Case Plan	Area Needing Improvement
26. Periodic Reviews	Strength
27. Permanency Hearings	Strength
28. Termination of Parental Rights	Area Needing Improvement
29. Notice of Hearings and Reviews to Caregivers	Area Needing Improvement
30. Standards Ensuring Quality Services	Strength

Appendix B: Arizona 2007 CFSR Round 2 Key Findings

Item	Strength or Area Needing Improvement
31. Quality Assurance System	Strength
32. Initial Staff Training	Strength
33. Ongoing Staff Training	Strength
34. Foster and Adoptive Parent Training	Strength
35. Array of Services	Area Needing Improvement
36. Service Accessibility	Area Needing Improvement
37. Individualizing Services	Strength
38. Engagement in Consultation With Stakeholders	Strength
39. Agency Annual Reports Pursuant to CFSP	Strength
40. Coordination of CFSP Services With Other Federal Programs	Strength
41. Standards for Foster Homes and Institutions	Strength
42. Standards Applied Equally	Strength
43. Requirements for Criminal Background Checks	Strength

Appendix B: Arizona 2007 CFSR Round 2 Key Findings

Item	Strength or Area Needing Improvement
44. Diligent Recruitment of Foster and Adoptive Homes	Strength
45. State Use of Cross-Jurisdictional Resources for Permanent Placements	Strength

**Maricopa County Safe Reduction
Stakeholder Workgroup Meeting | November 20, 2015
Presentation of Subgroup Strategies – Summary of Key Points & Feedback**

	Stakeholder Workgroup				Attorney Workgroup	Judicial Workgroup
	Family Engagement	Targeted Services	Consistent Decision Making	Community Engagement		
Problem Statement	Supervised visitation time needs to be reimaged and redefined as quality parenting time. Parenting time needs to be a collaborative process between parents, placement and agencies with the aim of transitioning parenting responsibilities back to the natural/biological parent(s) in a safe and supportive manner.	Service planning and implementation was not individualized or well-coordinated. The same services and supports were being given to families and children without regard to their unique needs.	Law and policy dictate case planning must be done, and policy further dictates that “the department Shall encourage participation of parents, children, out-of-home-care providers, and when appropriate, extended family members in the case planning process...” Despite these factors, currently, not all families have a case plan for which they themselves have provided input. In addition, the timeframes for creating an initial case plan and reassessing case plans is not taking place in a timely manner.	Several communities in Maricopa County experienced large numbers of DCS reports and child removals within the past few years. We would like to partner with these communities to identify secondary prevention strategies that will build community capacity to strengthen their families.		
Strategies	<ol style="list-style-type: none"> Develop pilot process Identify the pilot population - <i>C2C or school aged children?</i> Redefining what parenting is through <i>Parenting Time Orientation</i> - Tailor orientation to parents, foster parents, DCS staff, providers, and the courts Train strengths-based parenting time strategies with DCS staff 	<ol style="list-style-type: none"> Initial service review leading to a consistent process for presenting, updating and accessing service information in an easily usable format. Early, thorough, family-centered assessment leading to coordinated, individualized service planning. Ongoing service planning and coordination with a focus on family reunification. 	<ol style="list-style-type: none"> Assess policy, procedure, current training and tools used to create and reassess case plans Assess in-field barriers to meeting best practices for case plan creation and reassessment Assess how to overcome barriers to best practices for case plan creation and reassessment. Assess the procedures, tools, training, and findings of the “model” office for case 	<ol style="list-style-type: none"> Zip code mapping (complete) Engage local community leaders in a dialogue around needs and opportunities; share aspects of the DCS and Juvenile Court systems; and assess readiness to partner Community Readiness Assessment done in conjunction with community leaders <p>Community-based interventions to be determined in partnership with key community leaders. Examples of strategies that</p>	Projects: <ol style="list-style-type: none"> Mediation Pilot <ul style="list-style-type: none"> Focus on actual issues Create better service plans Bench/Bar Forum 	Projects: <ol style="list-style-type: none"> Court Order – instituting a court order process Master Calendar – establishing a master calendar to improve efficiencies and timeliness of hearings. Guardianship – focus on long stayers in kinship care and ways to create legal permanency. Bench/Bar Forum and Training Day – set for Feb 26, 2016. Enhancing

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	Stakeholder Workgroup				Attorney Workgroup	Judicial Workgroup
	Family Engagement	Targeted Services	Consistent Decision Making	Community Engagement		
			plan creation and reassessment	communities may select will depend on identified problems: <ul style="list-style-type: none"> ◦ Parent education; parent cafés ◦ Connecting families with existing community resources ◦ Family mentorship ◦ On-site wraparound supports for apartment complexes or blocks with high DCS involvement 		communication and collaboration; increasing understanding of ICWA. 5. Petition Review – establishing a more timely review process that also focuses on protective factors and builds on safety and risk training.
Project Scope	<ol style="list-style-type: none"> 1. Redefine visitation as “parenting time” <ul style="list-style-type: none"> ◦ Identify and develop pilot ◦ Create orientation tailored to the following audiences: parents, foster parents, DCS staff, providers, courts ◦ Strengths-based training for DCS staff 2. Peer Parenting <ul style="list-style-type: none"> ◦ Explore ways in which recovery coaches/mentors can support and model parent behaviors ◦ Recruit peer support 	<ol style="list-style-type: none"> 1. Initial Service Review with a child welfare focus. <ul style="list-style-type: none"> • Developed a spreadsheet format • Information gathering from all family and child serving systems 2. DCS Targeted Case Reviews at 2 DCS offices focusing 6-11 yr. old youth 3. Family Engagement Brainstorming for DCS Involved Youth through MMIC – targeted services subgroup members will attend to add input. 	<ol style="list-style-type: none"> 1. Create “Case Plan Packet” <ul style="list-style-type: none"> • Develop Best Practices for case plan development, frequency, and follow through 2. Create <i>Case Plan Staffing Guide</i> 3. Discuss/create the case plan at the PP5 Conference (investigator and ongoing) 	<ol style="list-style-type: none"> 1. Zip code mapping identified three Maricopa County communities as having large numbers of DCS reports and child removals. <ul style="list-style-type: none"> • 85009 Estrella/South Phoenix • 85301 Glendale - selected as DCS Model Office • 85041 South Phoenix 2. Conversations will take place with all three initially to determine community interest, perspectives and opportunities for change. 		
Goals	<ul style="list-style-type: none"> • Redefine visitation as parenting time where the parents can learn and demonstrate improved parenting skills in as natural 	<ul style="list-style-type: none"> • Accessibility to services for correctly identified needs • Shorter time in care 	<ul style="list-style-type: none"> • Each family will be an active member in their case plan and see the benefit for their family, therefore creating the desire to expedite each step 	<ul style="list-style-type: none"> • Community involvement and satisfaction • Stronger community/agency partnerships 		

**Maricopa County Safe Reduction
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	Stakeholder Workgroup				Attorney Workgroup	Judicial Workgroup
	Family Engagement	Targeted Services	Consistent Decision Making	Community Engagement		
	<p>environment as possible beginning as close from removal as possible.</p> <ul style="list-style-type: none"> Parents, placement and agencies will work collaboratively to transition parenting responsibilities back to the natural/biological parent(s). Increase father involvement in parenting time. At the earliest point possible, parents and natural supports are actively involved in the development of the parenting time plan. 	<ul style="list-style-type: none"> Reduced recidivism (re-entry) Timely access to services in a practical/usable format Sustainable systems/process (lasting) Integrated service delivery (one-stop shopping) 	<p>in a timely manner bringing permanency to their children in a realistic time frame.</p> <ul style="list-style-type: none"> Increased awareness among family and providers of case plan status and progress towards successful completion Increased awareness among DCS workers of barriers to case plan Reduce overlapping time constraints on workers Individualize case plans to the specific needs of the family, reducing the over use of services as a result of a cookie cutter approach. 	<ul style="list-style-type: none"> Development of shared community story Established culture of shared concern Parents able to safely parent their children within their communities Reduced DCS reports and child removals Improved child well-being Increased community connections for children and families 		
Timeline	<p>Jan 2016 – Conclude exploration and begin development</p> <p>Feb 2016 – Complete a policy re-write draft</p> <p>Mar 2016 – Complete draft forms</p> <p>Apr 2016 – Develop DCS/staff orientation; develop placement orientation; develop parent/youth orientation</p>	<p>Ongoing</p> <p>Dec 2015 - Targeted case reviews. Jenny and Mark will attend Targeted Case Reviews to assist with identifying needs of the family and appropriate services to meet the needs of the whole family.</p> <p>Dec 2015 - Family engagement brainstorming for DCS involved youth</p>	<ul style="list-style-type: none"> Currently in the exploration and development stages Proposal to share with Administration, or implementation of a pilot, within three – six months 	<p>Nov – Dec 2015 – continued fleshing of plans; development of community readiness assessment approach; outreach to community leaders</p> <p>Jan 2016 – engage community leaders and solidify project plans</p> <p>Feb – Nov 2016 – project implementation to include Community meetings in Feb/March; ongoing assessment; tracking and measuring Community engagement</p>		
Resources & Background Info	<ul style="list-style-type: none"> Current Service Array – Examine what current 	RESOURCE NEEDS:	<ul style="list-style-type: none"> Interview policy, training to learn about best practices in 	RESOURCES:		

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	Stakeholder Workgroup				Attorney Workgroup	Judicial Workgroup
	Family Engagement	Targeted Services	Consistent Decision Making	Community Engagement		
	<p>services through DCS, the courts, behavioral health system and through CMDP, contractors and the community that will assist with reimagining parenting time.</p> <ul style="list-style-type: none"> • Policy Unit – Re-work language/spirit of policy • DCS & Agency Forms – Replace language – have family driven “Visitation Plan” • Training – Orientation for DCS specialists; placement, and parents/youth <ul style="list-style-type: none"> ◦ To leverage existing agency practices (AzCA), and court 	<ul style="list-style-type: none"> • Technology based systems to support easily accessed, useful information • Structure to organize the information • Developing and maintaining an open line of communication from various system partners 	<p>case planning; review findings</p> <ul style="list-style-type: none"> • Interview in-field management about actual practices in case planning; review findings • Review current tools workers are provided to assist with case planning, including CHILDS • Review current tools supervisors are provided to assist with overseeing case planning • Review what parents and other possible case plan staffing participants are given regarding case planning • Review percentage of case plans and case plan reassessments completed on time • Review how case managers determine what services are appropriate for the family 	<ul style="list-style-type: none"> • Evidence-based strategies known to: <ul style="list-style-type: none"> ◦ strengthen families ◦ prevent DCS reports and child removals from their homes ◦ reduce existing out of home care through reunification with parents or other permanency options • Various community well-being measures such as child poverty rates, school enrollment and graduation rates, reports to police of family violence, prevalence of substance use/abuse, rates of parent/juvenile incarceration, health care enrollment, etc. • Protective factors within families and resiliency building capacity within communities <p>RESOURCE NEEDS:</p> <ul style="list-style-type: none"> • Responsive communities and participation/involvement of local community leaders • Continued assistance with DCS data • Collection/analysis of community data 		

**Maricopa County Safe Reduction
Stakeholder Workgroup Meeting | November 20, 2015
Presentation of Subgroup Strategies – Summary of Key Points & Feedback**

	Stakeholder Workgroup				Attorney Workgroup	Judicial Workgroup
	Family Engagement	Targeted Services	Consistent Decision Making	Community Engagement		
Expected Outcomes & Metrics	<ul style="list-style-type: none"> Quality parenting time – Parenting time in a natural environment measured by: <ul style="list-style-type: none"> # using homelike setting, # visits, # other artificial environment Family (parent and placement) – Feel engaged, feel progress, feel supported; Seeing behavioral changes Time to reunification – Is it shorter? Move to unsupervised visits sooner – Expect to see this within 6-9 months of start date 	<ul style="list-style-type: none"> Gradual step-by-step changes Time in care 	<ul style="list-style-type: none"> Parent understanding of DCS expectations Worker understanding of case plan barriers Placement understanding of DCS expectations and case plan barriers Length of time in care Number of case plans the parents actively participated in creating Completion of services by parent Timely referrals Time prior to unsupervised visitation % of family participation in case plan development? 	<ul style="list-style-type: none"> Change is expected very soon upon implementation Successful community engagement will be assessed through documented activities, outreach, awareness and participation/growth of community leaders We will monitor progress quarterly against DCS dashboard for reports/child removals 		
Notes & Recommendations from the Stakeholder Team	<ul style="list-style-type: none"> MMIC engaging peers and family members (Point of contact: Karrie Steving) Currently re-writing the DCS parent aide/ supervised visits (SVO) contract. Opportunity for consistency (Point of contact: Jenna Shroyer) 	<ul style="list-style-type: none"> Track the barriers to reunification so that DCS can right-size the service need and availability. Help coach in case reviews how services address the safety threats to promote faster reunification. 	<ul style="list-style-type: none"> Add locations of “parenting time” to case plan The discussion/ creation of case plan at the PP5 conference with the investigator and ongoing worker is already happening in Pima so it does not have to be a focus of the subgroup work (Lela Wendell can 	<ul style="list-style-type: none"> The subgroup is focused on tailoring prevention interventions based on community engagement and need. More specific metrics will be identified once the interventions are determined. 	Mediation Program Updates: <ul style="list-style-type: none"> In some cases parents don’t show, approx. 50% of the time DCS staff don’t show The process has brought to light barriers with case handoffs 	Master Calendar Updates: <ul style="list-style-type: none"> Initial preliminary hearings are targeted to occur 5-7 days of removal. seeing progress at Durango, more challenging at SEF

**Maricopa County Safe Reduction
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	Stakeholder Workgroup				Attorney Workgroup	Judicial Workgroup
	Family Engagement	Targeted Services	Consistent Decision Making	Community Engagement		
	<ul style="list-style-type: none"> The AFF recovery model is already available statewide and can be leveraged for the peer parent support (Point of contact: Jenna Shroyer) Leverage RBHA resources (Point of contact: Jenna Shroyer) Explore recruiting parents who participate in Reunification Day as mentors (Point of contact: Sheila Tickle) Suggestion to add a father to the subgroup for that perspective (Point of contact: Donna McHenry) Look at the Veteran's Parent Program in Washington for program structure and outcomes (Point of contact: Rob Wyman) The Family Environment Center has a peer parent model in place that could potentially be leveraged (Point of contact: Sara Murillo) 	<ul style="list-style-type: none"> Tie the case review work to consistent decision making to ensure that parents are involved in development of case plans (TDM meetings could be a vehicle for this) Add an adult MMIC member to the subgroup for the parent behavioral health perspective. Add a parent member to the group 	<p>provide the subgroup with DCS updates)</p>	<ul style="list-style-type: none"> Community readiness will be evaluated in partnership with the community and national research. <i>The assistance of Casey could be leveraged here.</i> Once community leaders are identified, the subgroup would like Judge McNally and Director McKay's engagement at the initial kickoff as a way to solidify collaboration and buy-in. 	<ul style="list-style-type: none"> Some observations on petitions include: many allegations on emergency removals, mental health is being noted The mediation approach and techniques have been successful and are transferring to mediations outside the 2 pilot courtrooms. In order to promote continuity and sustainability, Carey, Chris, and Bill are the points of contact The workgroup will be developing a pamphlet to share with OPDS 	<ul style="list-style-type: none"> Late petitions filed creates challenges in preliminary protective hearing (the court is tracking this and notifying the AG's) Two new judge seats Support from the Civil Division, 1 week for each judge to hear severance hearings beginning Jan 4th. There are still capacity challenges for attorneys <p>Other Updates:</p> <ul style="list-style-type: none"> Maricopa County Bench Bar is Stop Court and Train event is scheduled for Feb 26th Work continues on the electronic court order process Reverse crossover process – looking into the reasons behind PDPs Hon. Bruce Cohen is working with Amy Love to develop a new guardianship process that could be better for families

Safe Reduction Stakeholder Workgroup

NOVEMBER 20, 2015

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A close-up portrait of Judge Patricia Clark, an African American woman with dark, curly hair and glasses, looking slightly to the right. The background is a warm, out-of-focus brown. The image is partially obscured by a dark blue shape on the left side.

JUDGE PATRICIA CLARK

In Loving Memory

<http://youtu.be/maFEbJi8tWY>

Timeline

Initiation Oct 14 – Mar 15

- Engage key leaders to determine readiness to begin work
- Explore the purpose of the workgroup
- Choose workgroup chair(s) and neutral facilitator
- Decide workgroup composition

Goal Setting Mar 15 – May 15

- Set group objectives and ground rules
- Explore state and county child welfare data
- Draft shared outcomes
- Plan assessment scope and methods

Assessment Jun 15 – Aug 15

- Gather and analyze relevant information on child welfare outcomes, process, strengths, needs, and potential solutions
- Develop findings
- Explore relevant evidence-based practices

Action Planning Sept 15 – Feb 16

- Identify cross-system strategies to achieve shared outcomes
- Develop action plan
- Present to key stakeholders for initial thoughts and feedback
- Make edits based on feedback

Implementation & Oversight

- Manage the implementation process
- Conduct a learning-orientation evaluation
- Communicate the results

Community Engagement

SUSAN HALLETT, CHAIR

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Problem Statement

Several communities in Maricopa County experienced large numbers of DCS reports and child removals within the past few years. We would like to partner with these communities to identify secondary prevention strategies that will build community capacity to strengthen their families.

Guiding Principles

- Community Empowerment
- Respect
- Strengths based approach
- Value of listening; all voices are honored
- Partnership and collaboration
- Commitment to evidence-based interventions
- Data driven
- Children must be served in the context of their families, and families must be served in the context of their communities, ie. strong communities produce strong families produce safe children

Strategy

Community-based interventions to be determined in partnership with key community leaders

Project Ideas

1. Zip code mapping (complete)
2. Engage local community leaders in a dialogue around needs and opportunities; share aspects of the DCS and Juvenile Court systems; and assess readiness to partner
3. Community Readiness Assessment done in conjunction with community leaders
4. Examples of strategies that communities may select will depend on identified problems:
 - Parent education; parent cafés
 - Connecting families with existing community resources such as Family Resource Centers, Boys and Girls Clubs, etc. and helping to grow these centers
 - Family mentorship
 - On-site wraparound supports for apartment complexes or blocks with high DCS involvement

Project Scope

- Zip code mapping identified three Maricopa County communities as having large numbers of DCS reports and child removals.
- Conversations will take place with all three initially to determine community interest, perspectives and opportunities for change:
 - 85009 Estrella/South Phoenix – clarification may be needed due to numbers of incarcerated parents
 - 85301 Glendale – this community recently participated in a two year Quality Early Education grant so already has identified leaders established; selected as DCS Model Office
 - 85041 South Phoenix – has current FOZ representation on Subgroup

Goals

- Community involvement and satisfaction
- Stronger community/agency partnerships
- Development of shared community story
- Established culture of shared concern
- Parents able to safely parent their children within their communities
- Reduced DCS reports and child removals
- Improved child well-being
- Increased community connections for children and families

Project Timeline

- November and December 2015 –
continued fleshing of plans; development of community readiness assessment approach; outreach to community leaders
- January 2016 –
engage community leaders and solidify project plans
- February through November 2016 –
project implementation to include Community meetings in Feb/March;
ongoing assessment; tracking and measuring

Resources & Background Info

- Evidence-based strategies known to:
 - strengthen families
 - prevent DCS reports and child removals from their homes
 - reduce existing out of home care through reunification with parents or other permanency options
- Various community well-being measures such as child poverty rates, school enrollment and graduation rates, reports to police of family violence, prevalence of substance use/abuse, rates of parent/juvenile incarceration, health care enrollment, etc.
- Protective factors within families and resiliency building capacity within communities

Expected Outcomes & Metrics

- Change is expected very soon upon implementation
- Successful community engagement will be assessed through documented activities, outreach, awareness and participation/growth of community leaders
- We will monitor progress quarterly against DCS dashboard for reports/child removals

Successes

- Expansion and diversity of Subgroup members
- Frequent communication and dialogue
- Strong and unified commitment to prevention
- Access to DCS internal Dashboard for zip code mapping
- Consistent and regular direction from Leadership Group
- Strong and reliable liaison in Judy Krysik

Resource Needs

- Responsive communities and participation/involvement of local community leaders
- Continued assistance with DCS data
- Collection/analysis of community data

Family Engagement

SUSAN BLACKBURN-LOVE & TAMMY WHITE, CO-
CHAIRS

Problem Statement

Supervised visitation time needs to be reimaged and redefined as quality parenting time. Parenting time needs to be a collaborative process between parents, placement and agencies with the aim of transitioning parenting responsibilities back to the natural/biological parent(s) in a safe and supportive manner.

Strategy

1. Develop pilot process
2. Identify the pilot population
 - C2C or school aged children?
3. Redefining what parenting is through *Parenting Time Orientation*
 - Tailor orientation to parents, foster parents, DCS staff, providers, and the courts
4. Train strengths-based parenting time strategies with DCS staff

Goals

- Redefine visitation as parenting time where the parents can learn and demonstrate improved parenting skills in as natural environment as possible beginning as close from removal as possible.
- Parents, placement and agencies will work collaboratively to transition parenting responsibilities back to the natural/biological parent(s).
- Increase father involvement in parenting time.
- At the earliest point possible, parents and natural supports are actively involved in the development of the parenting time plan.

Resources

- Current Service Array
 - Examine what current services through DCS, the courts, behavioral health system and through CMDP, contractors and the community that will assist with reimaging parenting time.
- Policy Unit
 - Re-work language/spirit of policy
- Forms
 - Replace language – have family driven “Visitation Plan”
 - Department and agencies’ forms
- Training
 - Orientation for DCS specialists
 - Family focused, family driven, strength focused plan, ongoing coaching
 - Orientation for placement
 - AzCA has it; AzCA Parent Aides currently utilize it
 - Orientation for parents/youth
 - Use court data to decide where to implement pilot
 - Target Population: C2C vs. 5-10 year old range

Project Timeline

- January 1, 2016 –
Conclude exploration and begin development
- February 1, 2016 –
Complete a policy re-write draft
 - SMEs: DCS Policy Unit, Family Engagement Subgroup
- March 1, 2016 –
Complete draft forms
 - SMEs: DCS Policy Unit, Family Engagement Subgroup
- April 1, 2016 –
Develop DCS/Staff orientation
 - SMEs: ASU CABHP; CWTI
Develop placement orientation
 - SMEs: AzCA
Develop parent/youth orientation
 - SME: AzCA

Expected Outcomes & Metrics

- Quality parenting time
 - Parenting time in a natural environment measured by:
 - # using homelike setting (school, extracurricular, natural environment)
 - # visits
 - # other artificial environment
- Family (parent and placement)
 - Feel engaged, feel progress, feel supported
 - Seeing behavioral changes
- Time to reunification – Is it shorter?
- Move to unsupervised visits sooner
 - Expect to see this within 6-9 months of start date

Phase Two: Peer Parenting

- Explore ways in which recovery coaches/mentors can support and model parent behavior during visits
- Peer Support – recommend 1:11 ratio
 - Coordinate Title 19 behavioral health/CMDP for children who are eligible
 - Local churches or community organizations for recruitment
 - Where else can we recruit? Who pays?
 - Examine the Terros Recovery Coach model
 - Examine the Washington State “Parent to Parent” model
- Parenting Class for peer support or for parent (opportunities)
- Recruit Peer Support (recovery coach model) depends on resources and coordination across systems
- SMEs: Casey Family Programs, Terros, C2C/courts

Targeted Services

RANDY GROVER & NICOLE ROSKENS, CO-CHAIRS

Problem Statement

Service planning and implementation was not individualized or well-coordinated. The same services and supports were being given to families and children without regard to their unique needs.

Strategy

1. Initial service review leading to a consistent process for presenting, updating and accessing service information in an easily usable format.
2. Early, thorough, family-centered assessment leading to coordinated, individualized service planning.
3. Ongoing service planning and coordination with a focus on family reunification.

Project Idea & Scope

1. Initial Service Review with a child welfare focus.
 - Developed a spreadsheet format
 - Information gathering from all family and child serving systems
2. DCS Targeted Case Reviews at 2 DCS offices focusing 6-11 yr. old youth; Jenny and Mark will attend Targeted Case Reviews to assist with identifying needs of the family and appropriate services to meet the needs of the whole family.
3. Family Engagement Brainstorming for DCS Involved Youth through MMIC – targeted services subgroup members will attend to add input.

Goals

- Accessibility to services for correctly identified needs
- Shorter time in care
- Reduced recidivism (re-entry)
- Timely access to services in a practical/usable format
- Sustainable systems/process (lasting)
- Integrated service delivery (one-stop shopping)

Project Timeline

- Ongoing
- Targeted Case Reviews 6-9 months
- Family Engagement Brainstorming for DCS Involved Youth – December 1, 2015

Expected Outcomes & Metrics

- Gradual step-by-step changes
- Time in care

Successes

- Cohesive, action-oriented group
- A focus has been identified with strong group members on the subgroup who are all working toward action items

Challenges

- Difficulty in finding uniformity in gathering, reporting and disseminating information

Resource Needs

1. Technology based systems to support easily accessed, useful information
2. Structure to organize the information
3. Developing and maintaining an open line of communication from various system partners

Consistent Decision Making

MIMI CONDON, CHAIR

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Problem Statement

Law and policy dictate case planning must be done, and [policy further dictates that](#) “the department **Shall** encourage participation of parents, children, out-of-home-care providers, and when appropriate, extended family members in the case planning process...”

Despite these factors, currently, not all families have a case plan for which they themselves have provided input. In addition, the timeframes for creating an initial case plan and reassessing case plans is not taking place in a timely manner.

Strategy

1. Assess policy, procedure, current training and tools used to create and reassess case plans
2. Assess in-field barriers to meeting best practices for case plan creation and reassessment
3. Assess how to overcome barriers to best practices for case plan creation and reassessment.
4. Assess the procedures, tools, training, and findings of the “model” office for case plan creation and reassessment

Project Ideas & Scope

Create “Case Plan Packet” - Develop Best Practices for case plan development and follow through

- Timeline for creation and frequency of reassessments (Different frequency for different ages?)
- Who will be invited / involved
- Who, at a minimum, must attend
- How to deal with various barriers in creating the plan
- Incorporate service staffings, service close-out staffings, CFT’s, monthly parent check-ins, monthly child contact, etc. into the case plan process.
- Case plan to be reviewed monthly with CM and family to determine if the case plan is up to date, or a staffing needs to be set up
- Dictating in policy that case plans must be completed at least every 3 months for children under three.
- Grievance process for clients to request case plan staffings. Reviewed by supervisors or APMs

Project Ideas & Scope (cont.)

- Create Case Plan Staffing Guide

Provide parents, children over 12, placements, and others who should be invited to the case plan staffing, pamphlets on what to expect from the case plan staffing. Include type of services available and what behaviors the services are meant to address.

- Discuss/create the case plan at the PP5 Conference (investigator and ongoing)

If no PP5 conference a staffing should be held immediately following the initial hearing. When necessary, the case plan can be modified later at the mediation if it is determined some services were or were not needed.

Case plans must be individualized and evidenced and factually based. There must be some behavior the specific service is meant to address.

Goals

- Each family will be an active member in their case plan and see the benefit for their family, therefore creating the desire to expedite each step in a timely manner bringing permanency to their children in a realistic time frame.
- Increased awareness among family and providers of case plan status and progress towards successful completion
- Increased awareness among DCS workers of barriers to case plan
- Reduce overlapping time constraints on workers
- Individualize case plans to the specific needs of the family, reducing the over use of services as a result of a cookie cutter approach.

Resources & Background Info

- Interview policy, training to learn about best practices in case planning; review findings
- Interview in-field management about actual practices in case planning; review findings
- Review current tools workers are provided to assist with case planning, including CHILDS
- Review current tools supervisors are provided to assist with overseeing case planning
- Review what parents and other possible case plan staffing participants are given regarding case planning
- Review percentage of case plans and case plan reassessments completed on time
- Review how case managers determine what services are appropriate for the family

Project Timeline

- Currently in the exploration and development stages
- Proposal to share with Administration, or implementation of a pilot, within three – six months.

Expected Outcomes & Metrics

- Parent understanding of DCS expectations
- Worker understanding of case plan barriers
- Placement understanding of DCS expectations and case plan barriers
- Length of time in care
- Number of case plans the parents actively participated in creating
- Completion of services by parent
- Timely referrals
- Time prior to unsupervised visitation
- % of family participation in case plan development?

Successes

- Willingness to meet on a monthly basis
- Recent email success with collaborating outside of meetings
- Passion without a personal agenda
- Respect for one another
- Blend of people in subgroup

Attorney Workgroup

PROGRESS UPDATE

Judicial Workgroup

PROGRESS UPDATE

Next Steps & Tasks

- 2016 stakeholder meeting dates: Feb – May – Aug - Nov
Next meeting:
 - February 5
 - February 19
 - March 4
- What can be achieved by the next stakeholder meeting?
- Technical assistance and support to the subgroups
- Tasks and due dates
- Adjourn



Juvenile Justice in Arizona: The Fiscal Foundations of Effective Policy

January 2016

by Bill Hart

Senior Policy Analyst, Morrison Institute for Public Policy

Juvenile Justice in Arizona: The Fiscal Foundations of Effective Policy

Introduction

Like many other states, Arizona has gradually reduced the number of young people it sentences to juvenile prisons in favor of placing them on probation and accessing community-based services. This in part results from the agreement among practitioners, advocates and scholars that most states have historically locked up too many young people, a practice that usually does little to preserve public safety and renders too many youth less able to succeed upon release. There will always be a need to confine some small number of high-risk juvenile offenders, but a number of developments both recent and longer-term, suggest that Arizona has an opportunity to move further along the path of reduced youth incarceration.

These developments include:

- A multi-year decline in juvenile arrests
- Research showing that adolescents' neurological processes differ from those of adults in significant ways that must be accounted for when dealing with young offenders
- A large number of studies confirming that confining youth in secure facilities too often has serious and lasting negative effects on their development
- A related body of research showing that most juvenile offenders can be safely, effectively and more cheaply treated through community-based supervision and treatment
- A continuing drop in commitments to the Arizona Department of Juvenile Corrections (ADJC)'s Adobe Mountain School, Arizona's only remaining secure youth facility

However, the fiscal architecture underlying Arizona's juvenile system has recently been nudged in the opposite direction – away from promoting community-based treatment. A budget measure passed in the spring of 2015 by the Arizona Legislature reduces the funds that counties could focus on community treatment – and effectively penalizes those that do champion such treatment by adding mandatory costs to support incarceration. The measure, Senate Bill 1478, imposed a new annual fee on each of the 15 counties – in amounts based on their total populations – to help support the ADJC budget. Gov. Doug Ducey's proposed FY2017 budget for ADJC retains the \$12 million contribution from the counties, while cutting operations costs by \$1.9 million due to the declining census at Adobe Mountain.

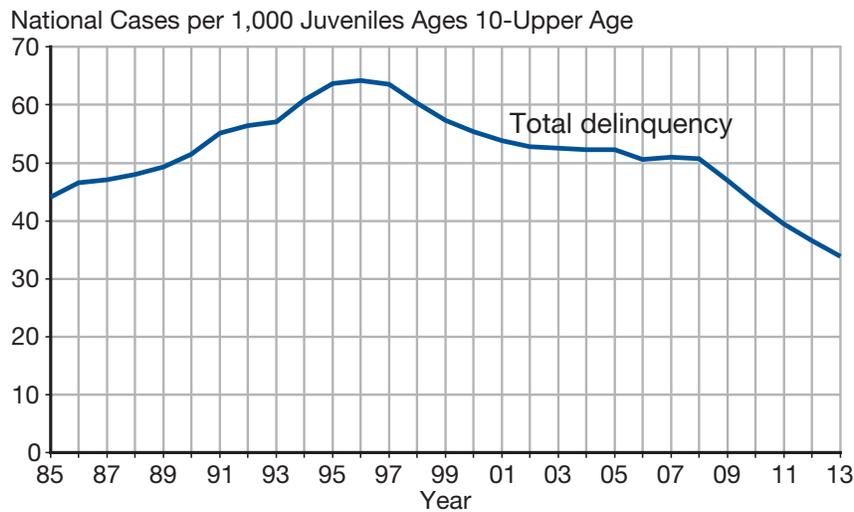
This report will discuss the potential impact of SB1478, note how some other states are dealing with these same issues, and set out a number of policy options facing the state.

I. Crime and Punishment Decline

America has experienced a remarkable drop in crime and punishment during the past two decades. Most states have enjoyed a multi-year decline in juvenile as well as adult crime and arrests. Nationwide, total juvenile court caseloads declined by 37% between 2004 and 2013. Between its peak year, 1997, and 2013, the national number of delinquency cases per 1,000 juveniles declined 44%.¹

¹ National Center for Juveniles Justice; ojjdp.gov/ojstatbb

Juvenile Justice in Arizona: The Fiscal Foundations of Effective Policy

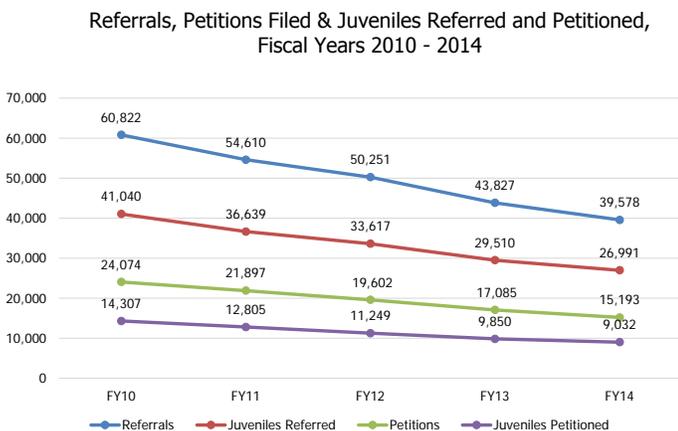


Source: Nation Center for Juvenile Justice

The story is similar in Arizona. Arrests of young people² in Arizona have declined from 53,697 in 2004 to 29,164 in 2014, a drop of 54% – and a decline in the rate of arrests per 1,000 youth from 64 to 32. Looking only at more serious (Part I) offenses, juvenile arrests were down 51%, from 13,520 in 2004 to 6,896 in 2014.³ It’s worth noting that these declines have occurred in Arizona while the state’s youth population has increased by more than 10% and while fewer and fewer offenders have been sentenced to secure confinement.

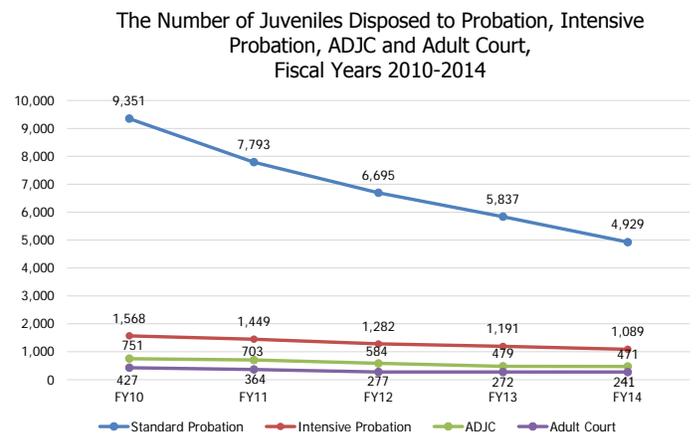
Arizona’s decline in juvenile arrests has been echoed in court referrals and dispositions.⁴ As Figure 1 shows, the numbers of youth entering the “front end” of the system have dropped steadily from

Figure 1



Source: Supreme Court of Arizona

Figure 2



² The Arizona Department of Public Safety’s annual report, *Crime In Arizona*, counts juvenile arrests, but not crimes

³ *Crime In Arizona* http://www.azdps.gov/About/Reports/Crime_In_Arizona/. Part I offenses include murder, sexual assault, robbery, aggravated assault, burglary, larceny and auto theft; arson is also sometimes included

⁴ The following charts are taken from: Supreme Court of Arizona, Administrative Office of the Courts, Juvenile Justice Service Division (FY 2014) Arizona’s Juvenile Court Counts. <https://www.azcourts.gov/Portals/29/JJSD%20Publication%20Reports/Juveniles%20Processed/AZJuvCourtCounts-FY14.pdf>

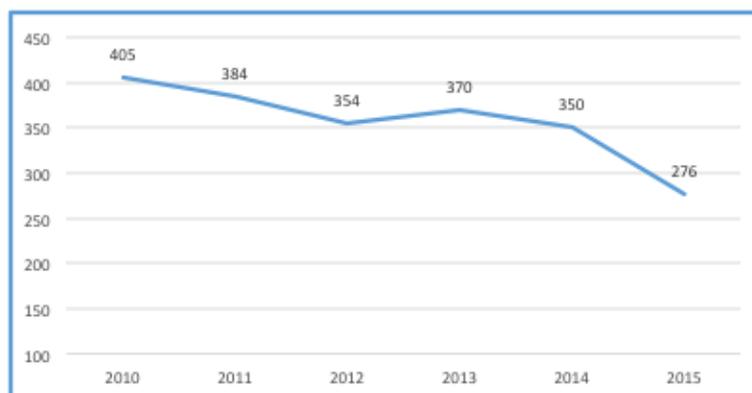
Juvenile Justice in Arizona: The Fiscal Foundations of Effective Policy

FY2010 through FY2014. These include youth who were referred to the court or petitioned by a county attorney (the charts include both number of individuals and numbers of events because one youth may receive multiple referrals/petitions during one year). Referrals, which can be made by police, parents, school officials or others, are the most common method of entry into the system.

The pattern is the same (Figure 2) for dispositions of youth offenders, whether they were sent to probation, intensive probation, ADJC or adult court. Here, standard probation is by far the most common outcome, while disposition to adult court is the least.

Finally, the declines in arrests and dispositions have been reflected in the steadily shrinking numbers of youth being sent to ADJC.⁵ On the last day of September, 2010, the department housed 405 youth in secure confinement. By 2012, that number had declined to 354. By the end of September 2015, there were 276 youth held at Adobe Mountain, a decline of 68% from 2010. The census continued to drop over the following three months, to 265 in October, 253 in November and 227 in December, in part perhaps because most misdemeanants are no longer eligible to be sent to secure confinement.

ADJC Census, 2010-2015*



*Based on population on the last day of September
Source: ADJC

II. The Case Against Confinement

Despite these striking declines in arrests and dispositions, secure confinement remains a major tool of juvenile justice systems in Arizona and elsewhere. The United States still leads the industrialized world in its incarceration rate of young people,⁶ with some 50,000 youth residing in detention or secure confinement. The arguments for the incarceration of young people are similar to those usually advanced in support of adult confinement: incapacitation, deterrence, and rehabilitation.⁷ Youth locked up in secure confinement cannot commit further offenses outside

⁵ Arizona Department of Juvenile Corrections, "Just the Facts," multiple years. These number do not include juveniles on probation from ADJC

⁶ Annie E. Casey Foundation, Reducing Youth Incarceration in the United States, 2013; <http://www.aecf.org/resources/reducing-youth-incarceration-in-the-united-states/>

⁷ "Retribution" or "punishment" is sometimes also cited

Juvenile Justice in Arizona: The Fiscal Foundations of Effective Policy

the institution. Deterrence theory maintains that the experience of confinement will discourage the confined youth and other potential offenders from breaking the law. And though the average length of stay in ADJC confinement is typically about seven months in Arizona, this period, supporters of confinement say, could offer an opportunity to provide education, substance abuse treatment, and other services (though such services could also be provided possibly more cheaply in youths' own communities).

But the results of confinement, in Arizona and elsewhere, are not encouraging. A large body of research questions the case for incarceration along three general paths:

- Routine use of incarceration does not reduce delinquency, and may promote it
- Adolescents' brains are different from adults' brains. Many youths' delinquent behavior is at least, in part, the result of the fact that they are less able to focus on tasks, resist impulsive actions and adhere to rules; yet most can amend their ways with a supportive environment as their brains mature
- A high percentage of children entering the juvenile justice system suffer from mental illness and/or the aftermath of trauma

Locking up youthful offenders, research indicates, not only does not decrease future criminal behavior but may increase it (See Massoglia, Holman⁸). Mallett, for example, found no correlation with re-arrest or recidivism rates in a population leaving secure placements.⁹ He further concludes that time spent in prison or prison-like facilities harms adolescent development, decreases cognitive and social functioning and lessens adolescent abilities to function independently or develop effective social and coping skills.

These findings were echoed in a 2010 California study by Stahlkopf,¹⁰ who examined that state's incarceration and crime trends during the past half century. She reported failure to demonstrate reduced crime rates through higher levels of youth incarceration, "calling deterrence and incapacitation theories into serious question as effective youth crime reduction strategies."

Mendel noted that a 2009 meta-analysis¹¹ of 361 research studies measuring the effects of programs designed to rehabilitate young offenders found "no significant relationship ... between recidivism effects and the level of juvenile justice supervision." Mendel reported in 2011¹² that, over the previous four decades, 57 lawsuits in 33 states including Arizona (in 1993 and again in 2004) required reforms in response to alleged abuse or otherwise unconstitutional conditions in youth prisons. Most of the allegations, Mendel found, included systemic violence, physical or sexual

⁸ Massoglia, Michael and Christopher Uggen (2010) "Settling Down and Aging Out: Toward an Interactionist Theory of Desistance and the Transition to Adulthood," *American Journal of Sociology*, 116:2; Holman, Barry and Jason Ziedenberg (2006) "The Dangers of Detention: The Impact of Incarcerating Youth in Detention and Other Secure Facilities," *Justice Policy Institute*

⁹ Mallett, Christopher (2015) "The incarceration of seriously traumatised adolescents in the USA: Limited progress and significant harm," *Criminal Behaviour and Mental Health*

¹⁰ Stahlkopf, Christina, et.al., (2010) "Testing Incapacitation Theory: Youth Crime and Incarceration in California," *Crime & Delinquency*, 56: 2.

¹¹ Mendel, Richard (2015) *Maltreatment of Youth in U.S. Juvenile Corrections Facilities: An Update*, 2015, Annie E. Casey Foundation

¹² Mendel, Richard, (2011) *No Place for Kids: The Case for Reducing Juvenile Incarceration*, Annie E. Casey Foundation

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abuse by facility staff, and/or excessive use of isolation or restraint.¹³

A major study that questioned the value of incarceration – generating the nation’s most comprehensive data set about serious juvenile offenders – was partially conducted in Maricopa County. The *Pathways to Desistance Study*¹⁴ followed 1,354 serious offenders in the Valley and in Philadelphia County for seven years after conviction. Its key findings included

- Most youth who commit felonies greatly reduce their offending over time, regardless of any interventions
- Longer stays in youth prisons do not reduce recidivism
- Community-based supervision is effective for youth who were incarcerated for serious offenses
- Substance-abuse treatment reduces both substance use and criminal offending for some period of time

Similarly, Aizer and Doyle¹⁵ examined data on 35,000 youth who came before a Chicago juvenile court and concluded that “for juveniles on the margin of incarceration,...detention leads to both a decrease in high school completion and an increase in adult incarceration...” The authors added that, “[T]he results suggest that a continued move toward less restrictive juvenile sentencing would increase human capital accumulation and lower the propensity of these juveniles to become incarcerated as adults without an increase in juvenile crime.”

III. A Vulnerable Population

The negative impact of incarceration can be magnified, research indicates, by the fact that many incarcerated youth are psychologically vulnerable and suffer from higher than average rates of behavioral disorders.

Arizona is no different. According to ADJC statistics,¹⁶ among the youth committed to secure confinement in FY14

- 31% suffered from a serious mental illness
- 21% were in special education
- 18% were dually adjudicated – delinquent and dependent
- 18% arrived with zero high school credits

The ongoing Northwestern Juvenile Project, a longitudinal study of a random sample of Cook County (Metropolitan Chicago, Illinois) juvenile detainees, found that 66% of males and 74% of

¹³ Similar allegations have been leveled at Arizona’s youth prisons. Some resulted in the 1993 Johnson v. Upchurch federal consent decree, which contained 109 provisions mandating reforms in treatment programs, health care, discipline, education, staffing ratios and population limits. In 2003, three separate youths committed suicide while in ADJC custody, which led to an investigation by the U.S. Department of Justice under the Civil Rights of Institutionalized Persons Act (CRIPA). In 2004, the Justice Department concluded that “serious constitutional deficiencies” existed within ADJC facilities’ suicide prevention measures, correctional practices, medical and mental health services as well as educational programming. The state entered a settlement agreement with the U.S. Department of Justice that required extensive oversight and consultation at state expense for three years to remedy deficiencies found in ADJC’s facilities

¹⁴ Mulvey, Edward P. (2011) “Highlights From Pathways to Desistance: A Longitudinal Study of Serious Adolescent Offenders,” *Office of Juvenile Justice and Delinquency Prevention*, U.S. Department of Justice

¹⁵ Aizer, Anna and Joseph J. Doyle (2013) “Juvenile Incarceration, Human Capital and Future Crime: Evidence from Randomly-Assigned Judges,” National Bureau of Economic Research Working Paper 19102

¹⁶ Arizona Department of Juvenile Corrections (2015) Research and Development Bureau, *New Commitment Demographic Data*

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females suffered from at least one psychiatric disorder.¹⁷ African American and Hispanic detainees received significantly fewer services than non-Hispanic White youth. Three years after the baseline interview, 17% of all detained youth had developed antisocial personality disorder (APD).

Holman's review of youth corrections literature shows that detention has a profoundly negative impact on young people's mental and physical well-being, their education, and their employment. One study found that for one-third of incarcerated youth diagnosed with depression, the onset of the depression occurred after they began their incarceration.

Since the 1990s, Mallet reports, reviews of incarcerated young offenders have found their incidence of mental disorders to be at least twice and serious trauma histories up to 60 times those found in the general adolescent population. Ford found¹⁸ that confined youth often have histories of complex trauma – such as victimization, life-threatening incidents and interpersonal losses – that can damage early childhood development and attachment bonding, placing the youth at risk for a range of serious problems, including depression, anxiety, oppositional defiance and substance abuse.

These ills may be especially prevalent among minority youth. Nationally, the presence of racial and ethnic disparities in juvenile justice systems – i.e., different levels of punishment for the same or similar offenses – has been well documented.¹⁹ Cochran and Mears,²⁰ for example, found that “minority youth, especially Black males, are not only more likely to receive punitive sanctions, they also are less likely than White youth to receive rehabilitative interventions....” They added that “The results underscore the salience of race, ethnicity, and gender in juvenile court decisions about punitive sanctioning and rehabilitative intervention.”

In a 2008 analysis²¹ of Arizona's system, Rodriguez found that “Blacks, Hispanic/Latinos, and American Indian juveniles were treated more severely in juvenile court outcomes than their White counterparts. Also, juveniles who were detained were more likely to have a petition filed, less likely to have petitions dismissed, and more likely to be removed from the home at disposition.” In a subsequent examination²² of Disproportionate Minority Contact (DMC) in Arizona, Rodriguez and her colleagues found that, while the magnitude of DMC was in decline in the state, racial and ethnic disparities were still found in detention, petition, adjudication and disposition to ADJC.

¹⁷ *OJJDP at a Glance*, January-February 2013, Office of Juvenile Justice and Delinquency Prevention, U.S. Department of Justice; http://www.ojjdp.gov/newsletter/240749/sf_2.html?utm_source=JUVJUST92215&utm_medium=email&utm_content=BeyondDetention&utm_campaign=juv-just&ed2f26df2d9c416fbddddd2330a778c6=cegaolln-cngnihgu

¹⁸ Ford, Julian D., et al., (2012) “Complex Trauma and Aggression in Secure Juvenile Justice Settings,” *Criminal Justice & Behavior*, 39: 6

¹⁹ See, for example, Spohn, Cassia and David Holleran (2000) “The Imprisonment Penalty Paid by Young, Unemployed Black and Hispanic Male Offenders” *Criminology* 38; Fader, Jamie, et al. (2014) “The Color of Juvenile Justice: Racial Disparities in Dispositional Decision,” *Social Science Research* 44; Rodriguez, Nancy (2008) “A Multilevel Analysis of Juvenile Court Processes: The Importance of Community Characteristics,” National Institute of Justice # 223465

²⁰ Cochran, Joshua and Daniel Mears (2014) “Race, Ethnic, and Gender Divides in Juvenile Court Sanctioning and Rehabilitative Intervention,” *Journal of Research in Crime and Delinquency*, 52:2

²¹ Rodriguez, (2008)

²² Rodriguez, Nancy, et al. (2014) “Arizona's Juvenile Justice System: Disproportionate Minority Contact Assessment,” Arizona State University for the Arizona Governor's Office for Children, Youth and Families

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Race/Ethnicity of Admissions to ADJC
Fiscal Years 2010 - 2014

Race/Ethnicity	FY 2010	FY 2011	FY2012	FY 2013	FY 2014
Hispanic	50%	47%	46%	47%	48%
Caucasian	27%	29%	31%	29%	26%
African American	14%	15%	14%	16%	7%
American Indian	5%	5%	5%	5%	7%
Mexican National	2%	3%	4%	2%	5%
Asian	<1%	<1%	<1%	1%	<1%
Other	<1%	<1%	<1%	<1%	<1%

Source: ADJC

IV. The Benefits of “Staying Home”

The body of research that questions the role of incarceration in the juvenile justice system meshes with that which supports community-based treatment for all but a small percentage of young people.

Between the 1960s and mid-1990s, Austin²³ reports, significant research demonstrated that community-based programs such as probation, intensive supervision, group homes and day reporting centers were more effective than traditional confinement programs in reducing recidivism and improving community adjustment. Community-based alternatives to detention and confinement tend to reduce crowding, cut costs, shield offenders from the stigma of institutionalization, help offenders avoid associating with youth with more serious delinquent histories, and maintain positive ties between the youth and his/her family and community.

The same approaches have found success even with those youth who public safety determines warrant secure confinement. For years, Missouri has been placing high-risk youth into small facilities located near their homes and families, rather than in large, distant prisons. The youth are closely supervised in small groups and receive extensive individual attention. The program helps them develop academic, pre-vocational, and communications skills as well as insights into their delinquent behavior. The program also involves family members in the treatment process, and supports youth returning home – especially in the first weeks following release – while working to enroll them in school and/or help them find jobs. The “Missouri Model,” which has won widespread praise, has brought significant declines in recidivism in that state, measured both as re-commitment to a juvenile institution due to new crimes or technical parole violations, or commitment to an adult institution.

²³ Austin (2005)

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V. A Change in Arizona’s Fiscal Architecture

Arizona has steadily reduced the number of youth committed to ADJC despite the fact that the state’s fiscal architecture has actually provided an incentive for counties to do the opposite. Juvenile justice in Arizona operates mostly at the county level. Youth charged with delinquent behavior are referred to county juvenile courts. If not diverted from the formal court process, and adjudicated delinquent, they receive a disposition resulting in some form of probation or commitment to ADJC. Probation officers monitor court-ordered conditions of probation that may include counseling, education, substance abuse treatment, restitution and/or other treatment programs carried out on contract by private providers.

Most probation operations statewide, and the officers who staff them, are funded by a combination of county and state money, mixtures that can vary from county to county and over time. In general, the counties pay for most personnel and operating costs, while the state pays for most services. The counties pay the entire costs of detention, which is by far the largest single expenditure at nearly \$60 million in FY2015.

In other words, counties share the costs of juvenile probation staff and pay all the costs of detention, while the state has – until Senate Bill 1478 – paid the full costs of incarceration in a juvenile prison operated by ADJC. That is, committing a youth to ADJC had relieved the county courts and juvenile probation departments of spending its resources on the child, and shifted all the costs to the state.

Percentages of Total Commitments to ADJC by County, FY14		
COUNTY	COUNT	PERCENT
Apache	1	0.21%
Cochise	36	7.64%
Coconino	20	4.25%
Gila	10	2.12%
Graham	8	1.70%
Greenlee	2	0.42%
La Paz	2	0.42%
Maricopa	241	51.17%
Mohave	27	5.73%
Navajo	5	1.06%
Pima	32	6.79%
Pinal	32	6.79%
Santa Cruz	11	2.34%
Yavapai	17	3.61%
Yuma	27	5.73%
TOTAL	471	100.00%

Source: Supreme Court of Arizona

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The major fiscal provisions in Senate Bill 1478, passed in Arizona’s 2015 legislative session, could strengthen counties’ incentive to incarcerate. SB 1478 contains three major provisions. Two are in keeping with the trend of evidence-based programming, and should tend to further reduce the number of Arizona children incarcerated at ADJC’s Adobe Mountain. Those provisions are:

- Raising the minimum age for commitment to ADJC custody from 8 to 14
- Restricting commitments in most cases to youth adjudicated delinquent for a felony, misdemeanants who have a record of prior felonies, and youth who are seriously mentally ill

It is SB1478’s third major provision that has stirred concerns. As originally crafted, SB1478 created a “DJC Local Cost Sharing Fund” that would pay 25% of ADJC’s budget. The Governor’s proposed budget would have required each of Arizona’s 15 counties to contribute funds to ADJC proportionate to the number of young people the county juvenile court judge commits to ADJC custody. The total contribution from the 15 counties had to equal \$12 million. In this form, the bill could have functioned as a fiscal incentive for counties to send fewer youth to ADJC s Adobe Mountain.

In the waning hours of the legislative session, however, the basis for the fee payments was changed. The version of SB 1478 that ultimately passed requires each county to pay its share of the \$12 million based on the county’s total adult and child population – regardless of how many youth it sends to ADJC’s Adobe Mountain. This altered the funding requirements facing each county, as follows:

Original SB1478: County Fees by Number of Youth Committed to ADJC		Final SB1478: Fees Paid by Total County Populations	
Apache	\$25,200	Apache	\$134,300
Cochise	\$916,800	Cochise	\$246,600
Coconino	\$510,000	Coconino	\$252,400
Gila	\$254,400	Gila	\$100,600
Graham	\$204,000	Graham	\$69,900
Greenlee	\$50,400	Greenlee	\$15,800
La Paz	\$50,400	La Paz	\$38,500
Maricopa	\$6,140,400	Maricopa	\$7,166,000
Mohave	\$687,600	Mohave	\$375,800
Navajo	\$127,200	Navajo	\$201,700
Pima	\$814,800	Pima	\$1,840,300
Pinal	\$814,800	Pinal	\$705,400
Santa Cruz	\$280,800	Santa Cruz	\$89,000
Yavapai	\$433,200	Yavapai	\$396,200
Yuma	\$687,600	Yuma	\$367,500

Source: Calculated from Supreme Court data

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VI. An Added Incentive?

The new arrangement could function as a fiscal incentive for incarceration as a county is already paying to support the state juvenile prison. The new fees in fact penalize counties, notably including Pima County, that have worked successfully to reduce the number of youth sent to ADJC and instead utilized local treatment alternatives. Pima County was an early Arizona site of the Annie E Casey Foundation's Juvenile Detention Alternatives Initiative (JDAI).²⁴ Today, seven counties in Arizona participate in JDAI.

The new fees, which went into effect July 1, 2015, have not, through December, resulted in increased commitments to ADJC, whose census continues to drop. And several county probation directors said in interviews that they doubted the fees would significantly influence a court's decision to commit a child to ADJC instead of probation. "But to be real," one said, "there's always this lingering thing in your mind that if I'm paying the bill already, it's basically free to send them."

The financial portion of SB1478 recoups money for the state budget while supporting an increasingly emptying Adobe Mountain.²⁵ The last-minute changes were reportedly a reaction to concerns by smaller counties that the original payment scheme would leave them vulnerable to even greater costs if other counties began further reducing their ADJC commitments. The original plan had required that aggregate county payments equal \$12 million, regardless of how many youth were committed by which county judge to ADJC. As one official described the original plan: "If it comes down to only one kid being sent to ADJC, that's a \$12 million kid."

County officials have expressed broader concerns about the impact of SB1478, in either of its forms, on their fiscal architecture.²⁶ Either version, they say, represents a cost-shift that saves \$12 million in the state's General Fund budget at the counties' expense. Nor, they argue, is this an isolated event – noting that, from FY2008 through FY2016, counties have had to absorb nearly \$500 million in costs shifted from the state.

A related concern is that, if SB 1478 does influence some counties to commit youth to ADJC, it may weaken overall efforts to combat disproportionate minority contact (DMC) in Arizona's juvenile justice system and especially among youth in ADJC custody.

VII. Ideas From Elsewhere

Arizona is far from alone in facing fundamental decisions concerning its juvenile justice system. Many states are increasingly accepting the view that adult-style punishment for young people is more harmful than helpful. To varying degrees, they also are responding to the nationwide drop in youth crime, tightening state budgets, and litigation or investigations over maltreatment, abuse and substandard conditions in secure institutions.

²⁴ The Juvenile Detention Alternatives Initiative is a nationwide program of the Annie E. Casey Foundation that helps local governments reduce reliance on local confinement of court-involved youth. <http://www.aecf.org/work/juvenile-justice/jdai/>

²⁵ This and the following information was obtained via author interviews with individuals knowledgeable about the bill's creation and evolution

²⁶ Interview with Craig Sullivan, executive director, County Supervisors Association of Arizona

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Among these factors, the prominence of fiscal concerns cannot be denied. Many states operate under funding configurations that inadvertently encourage local jurisdictions to utilize secure incarceration for youth as their primary option.²⁷ Frequently, as in Arizona until this year, a state pays for secure confinement, charging local jurisdictions little or nothing. Generally, such arrangements have been seen to promote higher rates of incarceration coupled with underdevelopment of community-based treatment options. To address this, some states have begun revamping their allocation of juvenile justice funding.

Minnesota sharply reduced its population of confined youth in the wake of a crime bill that expanded the list of offenses considered “petty misdemeanors;” state law already prohibited the detention or confinement of youth charged with petty misdemeanors.

Illinois created the Redeploy Illinois program,²⁸ which provided financial incentives to select counties to reduce use of state-level confinement and develop community-based alternatives. Armstrong reported in 2011 that the program’s results demonstrated that the pilot counties were able to reduce their levels of juvenile commitment to the state.”

Pennsylvania reimburses the counties for 80% of the costs of community-based programs, including placement into non-secure group homes, but only for 60% of the cost of secure commitments.

Louisiana reduced its incarcerated youth population in the wake of lawsuits and a Human Rights Watch report critical of confinement conditions. In 2003 it restructured the juvenile justice system to develop community-based interventions and create a juvenile justice planning and coordination board.



Wisconsin’s Youth Aids program covers the costs of counties’ juvenile programming, but – other than in cases of serious violent crimes – charges counties the full cost for all youth placed in state facilities.

Ohio, under its RECLAIM Ohio program, gives counties a fixed budget allocation but requires them to reimburse the state for each youth committed to a youth correctional facility.²⁹ The fewer youth counties place, the more funds they have available to support local treatment and supervision programs.

Massachusetts created a network of small, secure programs for serious offenders³¹ complemented by a continuum of structured community-based programs for the majority of delinquent youth.

Connecticut³⁰ sharply reduced residential commitments by developing a network of community-based supervision and treatment programs. The current governor has announced his desire to close the Connecticut Juvenile Training School by July 2018.

Alabama has created a strategic plan that favored the least restrictive setting possible and that explicitly stated that incarceration was an inappropriate and unnecessarily expensive response to most delinquent youth; built relationships with local courts, and gave \$1 million in grants to local courts for community-based alternatives to detention.³²

²⁷ Justice Policy Institute (2013) “Common Ground: Lessons Learned from Five States That Reduced Juvenile Confinement by More than Half”

²⁸ Armstrong, Gaylene S. et.al. (2011) “Can Financial Incentives Reduce Juvenile Confinement Levels? An Evaluation of the Redeploy Illinois Program,” *Journal of Criminal Justice*, 39:2

²⁹ Miller, K., and A. Liotta (2001) RECLAIM Ohio: Building Ohio’s juvenile justice infrastructure,” *Corrections Today*, 63:7; Moon, M. M., et.al. (1997) “RECLAIM Ohio: A politically viable alternative to treating youthful felony offenders,” *Crime and Delinquency*, 43

³⁰ Mendel, Richard (2013) “Juvenile Justice Reform in Connecticut” *Justice Policy Institute* <http://www.justicepolicy.org/research/4969>

³¹ Austin, James, et.al. (2005)

³² Fazal, S. (2014) *Safely Home: Reducing youth incarceration and achieving positive youth outcomes for high and complex need youth through effective community-based programs*, Youth Advocate Programs Policy & Advocacy Center

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In their 2013 report, *The Comeback and Coming-from-Behind States*,³³ the National Juvenile Justice Network and the Texas Public Policy Foundation recognized nine states – California, Connecticut, Illinois, Mississippi, New York, Ohio, Texas, Washington, and Wisconsin – for adopting various measures in the past decade to reduce youth incarceration.

The policies cited by the report included:

- Increased availability of alternatives to incarceration
- Required intake procedures to reduce the use of secure detention (risk-assessment)
- Closing or downsizing secure facilities
- Preventing incarceration for minor offenses
- Restructured financial responsibilities among states and counties

Arizona also has made progress in most of these areas. County officials and those at the Administrative Office of the Courts (AOC) note that the state's juvenile courts are increasingly basing their intake, adjudication and disposition decisions on risk assessments and other evidence-based practices. And in recent years the state has closed all but one of its secure juvenile corrections facilities.



Adobe Mountain School , ADJC

³³ National Juvenile Justice Network (2013) *The Comeback and Coming-from-Behind States*; this also is the source for reported policy changes in other states

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Next Steps

The momentum in Arizona is clearly in the direction of reduced youth confinement and more frequent treatment of youth in their communities. SB1478, as originally written, would have supported movement in this direction. In its revised version as passed, it serves as a possible impediment. This concern should prompt a deeper discussion of how to restructure the fiscal architecture to support the policy goals for Arizona's juvenile justice system. That's also because:

- The current era of declining crime, arrest and disposition rates gives state and county officials courts, probation departments and providers breathing room in which to consider new approaches
- As noted, other states have reconfigured their systems' fiscal architecture in ways that provide Arizona with models and experience
- The steady decline of ADJC's Adobe Mountain census raises questions about the utility of spending millions of dollars annually on an old and increasingly vacant set of buildings

Policy options for discussion include:

1. Make no changes. Maintain the current policy and continue to monitor the ADJC's Adobe Mountain census and counties' capacity to provide community treatment.
2. Eliminate the new county fees and revert to the prior funding system.
3. Alter the new fee system to base county contributions on numbers of youth committed to ADJC, while devising a mechanism to protect smaller counties against unaffordable costs.
4. Provide each county with a fixed level of annual funding and require the county to reimburse the state for any youth the county commits to ADJC; the counties keep any remaining funds to utilize for probation and community-based programming.
5. Phase in a plan to close ADJC's Adobe Mountain, abolish ADJC and reinvest the saved funds in probation and community-based programming.

If Arizona does choose to make significant changes in the fiscal architecture of its juvenile justice system, it is unlikely to succeed without a period of planning and preparation, input from a wide range of stakeholders, a statewide inventory of county-level treatment services and detention facilities, and the assurance that sufficient funds will exist to support juvenile justice services wherever they are dispensed. In any case, it does seem an opportune time to re-examine policies that could serve the ultimate shared goals of increasing public safety while promoting better futures for Arizona's troubled children.

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Children's Action Alliance is an independent voice for Arizona children at the state capitol and in the community. Through research, publications, media campaigns, and advocacy, CAA seeks to influence policies and decisions affecting the lives of Arizona children and their families on issues related to health, child abuse and neglect, early care and education, budget and taxes, juvenile justice, children and immigration, and working families.

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