



# Child and Family Services Reviews

## Maine

## Final Report

## 2017



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

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# Final Report: Maine Child and Family Services Review

## INTRODUCTION

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

- The statewide assessment prepared by Maine's Department of Health and Human Services, Office of Child and Family Services (OCFS), and submitted to the Children's Bureau on February 8, 2017. The statewide assessment is the state's analysis of its performance on outcomes and the functioning of systemic factors in relation to title IV-B and IV-E requirements and the title IV-B Child and Family Services Plan
- The results of case reviews of 65 cases (40 foster care and 25 in-home cases) conducted via a State Conducted Case Review process across all 8 districts in Maine between April 1, 2017, and September 30, 2017
- Interviews and focus groups with state stakeholders and partners, which included:
  - Attorneys for the agency, parents, and children and youth
  - Child Welfare Advisory Panel
  - Child welfare agency program managers
  - Child welfare agency senior managers
  - Child welfare agency supervisors and caseworkers
  - Continuous Quality Improvement (CQI) staff
  - Foster and adoptive parents, relative caregivers, and treatment foster care parents
  - Foster and adoptive parent licensing, recruitment, and retention staff
  - Information system staff
  - Judges
  - Parents

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- Representatives from Adoptive and Foster Families of Maine (AFFM)
- Representatives from the courts and Court Improvement Project (CIP)
- Residential licensing staff
- Tribal representatives
- Youth served by the agency

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

### Background Information

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

Eighteen items are considered in assessing the state’s substantial conformity with the 7 systemic factors. Each item reflects a key federal program requirement relevant to the Child and Family Services Plan (CFSP) for that systemic factor. An item is rated as a Strength or an Area Needing Improvement based on how well the item-specific requirement is functioning. A determination of the rating is based on information provided by the state to demonstrate the functioning of the systemic factor in the statewide assessment and, as needed, from interviews with stakeholders and partners. For a state to be in substantial conformity with the systemic factors, no more than 1 of the items associated with the systemic factor can be rated as an Area Needing Improvement. For systemic factors that have only 1 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 Maine’s overall performance in Round 3. Appendix B provides information about Maine’s performance in Round 2.

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### I. SUMMARY OF PERFORMANCE

#### Maine 2017 CFSR Assessment of Substantial Conformity for Outcomes and Systemic Factors

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 the 7 systemic factors were found to be in substantial conformity:

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

#### Children's Bureau Comments on Maine Performance

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

In the statewide assessment, Maine described the Office of Child and Family Services' (OCFS) long history of utilizing continuous quality improvement (CQI) processes in their functioning quality assurance system. Quality assurance staff, housed in each of the OCFS district offices, conduct case record review analyses and use the results along with statewide data reports to identify child welfare practice strengths and challenges, implement changes to improve outcomes for children and families, and evaluate these changes to ensure effective performance. This commitment to CQI also informs strategic goals and activities outlined in the state's Child and Family Services Plan (CFSP) and each annual submission of the Annual Progress and Services Report (APSR). The Children Bureau's believes that the ongoing development and integration of CQI will serve as a solid foundation for improvement in safety, permanency, and well-being outcomes.

The CFSR identified specific challenges in initiating child abuse and neglect investigations timely. In some of the cases, weekends and holidays affected timely initiation and face-to-face contact. Although the agency considers weekends and holidays to be non-work days, these days are included in the agency's policy timeline for initiation and face-to-face contact. Further analysis showed that for some of the cases with late initiation or late face-to-face contact with the alleged child(ren) victims, there were multiple reports received where at least one of the reports had timely initiation and face-to-face contact but other reports did not meet the time frames. Case reviews also found inefficiencies in the OCFS Alternative Response Program (ARP). Although ARP reports were assigned timely to the ARP agency, the ARP worker did not make timely face-to-face contact with the child.

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The CFSR identified both strengths and areas for improvement in assessing and managing safety and risk. Case reviews found positive practices with respect to how workers interviewed children privately and in developmentally appropriate ways to effectively assess their safety. These practices can serve as a foundation for addressing the challenges found in completing ongoing and comprehensive risk and safety assessments for all children in the family, particularly with in-home cases. The case review identified concerns with adequately assessing and addressing mental health, domestic violence, substance abuse, cognitive limitations, and other key factors contributing to adult household members' inability to provide a safe and healthy environment for children living in the home. Workers would develop safety plans with families, rely on the families' promises to follow through with services, and then no longer engage with the families to assess or ameliorate the safety and risk concerns. The review also found systemic challenges and inconsistent communication between the intake and licensing units and the caseworker assigned to the child, of information concerning reports of abuse or neglect in foster homes. OCFS will want to ensure that communication processes are implemented so the child's caseworker is aware of concerns and is reassessing the child's safety considering the allegations.

The early identification of relatives and placement of children with relatives was identified as a positive factor in helping to achieve permanency outcomes. The review found that in many cases when a child was placed with relatives, the relative had made a permanent commitment to the child. The agency effectively used relative resources to facilitate stable placements and to maintain significant family connections for children removed from their homes.

In most of the cases reviewed, the agency established timely and appropriate permanency goals. However, case review results and interviews with stakeholders found that the agency and courts did not consistently make concerted efforts to achieve permanency goals in a timely manner. Case review results also found delays in timely termination of parental rights (TPR) due to court scheduling and the systemic change with how the court system is now managing adoption cases. Previously, adoption cases were heard in probate court but are now heard in district court. Stakeholders reported delays in the adoption process because of this, as it appeared the district court was still working out administrative issues. Stakeholders said that additional barriers to timely TPR included delays in paternity testing, late publication of required notifications for parents, and delays in jeopardy hearings because of Maine's trailing docket system.

Stakeholders also identified challenges with periodic reviews and the right of caregivers to be heard in the court processes. In the statewide assessment, Maine reported that periodic reviews were not always timely. Additionally, stakeholders said that the periodic reviews do not allow participants an opportunity to discuss in court the federally required elements, as the agency uses information from the Family Team Meeting (FTM) to develop a draft court order that is presented to the judge at the periodic review. Stakeholders also reported that parents are often advised to agree with the draft order and not to object even if the parent has questions or concerns. Stakeholders said that caregivers' ability to be heard during the court process depends on the judge; some caregivers are allowed to attend every court proceeding and to speak while others are not given these options.

The review found a practice concern related to the quality of and inconsistent use of FTMs to engage parents in the case planning process. In the statewide assessment, Maine reported challenges specifically with engaging fathers in FTMs. However, case review results showed that there are consistent challenges in engaging both mothers and fathers. In some of the cases reviewed, FTMs,

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along with monthly visits with children and parents, were effectively used to promote parental engagement. In other cases, information from the case record and stakeholder interviews showed that parents believed their voices were not always heard during FTMs and that FTMs were not always held at times conducive to parents' attendance. Case review results also identified concerning practice regarding scheduling FTMs for cases involving domestic violence where FTMs were held with both parents present. The Children's Bureau recognizes the complexities of conducting effective FTMs and suggests that the agency evaluate mechanisms for building facilitation skills with their designated FTM staff.

Regular caseworker visits with children contributed to improved well-being outcomes. In most cases, workers visited children on at least a monthly basis. These visits were of good quality. The workers addressed issues related to safety, permanency, and well-being of the child. Older youth reported good rapport with their OCFS adolescent workers and said their input and opinions were often considered in case planning.

Assessing and identifying the needs of children in care and their parents and providing appropriate services to meet the identified needs are critical components of child welfare work. The CFSR results found that in many cases, OCFS workers were assessing the needs of the children on a consistent basis. Workers were using information from collateral contacts such as the schools, the child's pediatrician, therapeutic providers, child care providers, Head Start staff, and developmental service providers to support a thorough assessment. In addition, case review results showed that services to meet the needs of the child(ren) were available. However, the review found practice challenges in assessing the needs of parents and providing services to meet these needs. Case review results found that OCFS workers were not appropriately assessing domestic violence and parental substance abuse. Additionally, the services provided to parents did not adequately address the identified need as the services were either less intensive than needed or were not appropriate to meet the need. Stakeholders described long waiting lists for services to assist parents and gaps in service due to the rural nature of the state. Stakeholders said that in some cases, delays in accessing services had a negative effect on permanency for the child. In addition, stakeholders said that individualizing services for children and families can be challenging because of limited funding. Stakeholders also reported that OCFS relies on parents to have access to MaineCare (Medicaid) to receive services. This is especially problematic when a child comes into care because, in many instances, the parents lose their eligibility for MaineCare. In such cases, parents are not able to access the treatment programs required by their case plans and OCFS does not offer alternative services to these parents.

Case review results illustrated consistent coordination and strong collaboration between the agency and local school systems. In most of the applicable cases, the educational needs of the child were appropriately assessed and services to meet identified needs were provided. However, the case review results found challenges in meeting children's physical, dental, and mental/behavioral health needs, especially dental. A positive practice was the agency's consistent approach to providing appropriate oversight of prescription medication for the children's physical health and mental/behavioral issues, and OCFS's demonstrating a strong understanding of, and adherence to, the agency's protocols.

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### II. KEY FINDINGS RELATED TO OUTCOMES

For each outcome, we provide performance summaries from the case review findings. The CFSR relies upon a case review of an approved sample of foster care cases and in-home services cases. Where relevant, we provide performance summaries that are differentiated between foster care and in-home services cases. Maine provides an alternative/differential response to, in addition to a traditional investigation of, incoming reports of child maltreatment or children in need of services. In this report, case review results for the alternative/differential response case are included with the results of in-home cases.

This report provides an overview. Results have been rounded to the nearest whole number. Details on each case rating are available to OCFS. The state is encouraged to conduct additional item-specific analysis of the case review findings to better understand areas of practice that are associated with positive outcomes and those that need improvement.

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

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

##### **State Outcome Performance**

Maine is not in substantial conformity with Safety Outcome 1.

The outcome was substantially achieved in 73% of the 26 applicable cases reviewed.

##### ***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 accepted reports be assigned for either a Child Protective Services (CPS) Assessment by the agency or for alternative response by an ARP agency. CPS Assessments are assigned either a 24-hour or 72-hour response. Reports assigned for alternative response require an initial face-to-face contact with all parents/caregivers and children within 72 hours of receipt of the report by the ARP agency.

Maine received an overall rating of Area Needing Improvement for Item 1 because 73% of the 26 applicable cases were rated as a Strength.

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

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### **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**

Maine is not in substantial conformity with Safety Outcome 2.

The outcome was substantially achieved in 40% of the 65 cases reviewed.

The outcome was substantially achieved in 50% of the 40 foster care cases and 24% 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.

- Maine received an overall rating of Area Needing Improvement for Item 2 because 50% of the 18 applicable cases were rated as a Strength.
- Item 2 was rated as a Strength in 80% of the 10 applicable foster care cases and 13% of the 8 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.

- Maine received an overall rating of Area Needing Improvement for Item 3 because 40% of the 65 applicable cases were rated as a Strength.
- Item 3 was rated as a Strength in 50% of the 40 applicable foster care cases and 24% 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

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### State Outcome Performance

Maine is not in substantial conformity with Permanency Outcome 1.

The outcome was substantially achieved in 38% of the 40 applicable cases reviewed.

### *Permanency Outcome 1 Item Performance*

#### Item 4. Stability of Foster Care Placement

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

- Maine received an overall rating of Area Needing Improvement for Item 4 because 75% 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.

- Maine received an overall rating of Area Needing Improvement for Item 5 because 80% 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.

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

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

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

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

### State Outcome Performance

Maine is not in substantial conformity with Permanency Outcome 2.

The outcome was substantially achieved in 75% of the 40 applicable cases reviewed.

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### *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.

- Maine received an overall rating of Strength for Item 7 because 91% of the 22 applicable cases were rated as a Strength.

#### **Item 8. Visiting With Parents and Siblings in Foster Care**

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

- Maine received an overall rating of Area Needing Improvement for Item 8 because 58% of the 26 applicable cases were rated as a Strength.
- In 50% of the 12 applicable cases, the agency made concerted efforts to ensure that both the frequency and quality of visitation with a sibling(s) in foster care who is/was in a different placement setting was sufficient to maintain and promote the continuity of the relationship.
- In 68% of the 22 applicable cases, the agency made concerted efforts to ensure that both the frequency and quality of visitation between the child in foster care and his or her mother was sufficient to maintain and promote the continuity of the relationship.
- In 64% 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 was sufficient to maintain and promote the continuity of the relationship.

#### **Item 9. Preserving Connections**

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

- Maine received an overall rating of Area Needing Improvement for Item 9 because 85% of the 39 applicable cases were rated as a Strength.

<sup>1</sup> 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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### 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.

- Maine received an overall rating of Area Needing Improvement for Item 10 because 87% of the 38 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 father<sup>2</sup> or other primary caregiver(s) from whom the child had been removed through activities other than just arranging for visitation.

- Maine received an overall rating of Area Needing Improvement for Item 11 because 64% of the 22 applicable cases were rated as a Strength.
- In 75% of the 20 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

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

The outcome was substantially achieved in 35% of the 65 cases reviewed.

The outcome was substantially achieved in 40% of the 40 foster care cases, 29% of the 24 in-home services cases, and 0% of the 1 in-home services alternative/differential response case.

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<sup>2</sup> 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,<sup>3</sup> 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.

- Maine received an overall rating of Area Needing Improvement for Item 12 because 38% of the 65 cases were rated as a Strength.
- Item 12 was rated as Strength in 45% of the 40 foster care cases and 28% of the 25 in-home services cases.

Item 12 is divided into three sub-items:

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

- Maine received an overall rating of Area Needing Improvement for Item 12A because 69% of the 65 cases were rated as a Strength.
- Item 12A was rated as a Strength in 78% of the 40 foster care cases and 56% of the 25 in-home services cases.

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

- Maine received an overall rating of Area Needing Improvement for Item 12B because 33% of the 49 applicable cases were rated as a Strength.
- Item 12B was rated as a Strength in 38% of the 24 applicable foster care cases and 28% of the 25 applicable in-home services cases.
- In 36% of the 47 applicable cases, the agency made concerted efforts both to assess and address the needs of mothers.
- In 36% of the 36 applicable cases, the agency made concerted efforts both to assess and address the needs of fathers.

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<sup>3</sup> 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

- Maine received an overall rating of Area Needing Improvement for Item 12C because 63% of the 35 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 parents<sup>4</sup> and children (if developmentally appropriate) in the case planning process on an ongoing basis.

- Maine received an overall rating of Area Needing Improvement for Item 13 because 40% of the 57 applicable cases were rated as a Strength.
- Item 13 was rated as a Strength in 47% of the 32 applicable foster care cases and 32% of the 25 applicable in-home services cases.
- In 56% of the 27 applicable cases, the agency made concerted efforts to involve child(ren) in case planning.
- In 38% of the 47 applicable cases, the agency made concerted efforts to involve mothers in case planning.
- In 39% of the 36 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.

- Maine received an overall rating of Area Needing Improvement for Item 14 because 63% of the 65 cases were rated as a Strength.
- Item 14 was rated as a Strength in 68% of the 40 foster care cases and 56% of the 25 in-home services cases.

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<sup>4</sup> 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 fathers<sup>5</sup> of the child(ren) are sufficient to ensure the safety, permanency, and well-being of the child(ren) and promote achievement of case goals.

- Maine received an overall rating of Area Needing Improvement for Item 15 because 35% of the 49 applicable cases were rated as a Strength.
- Item 15 was rated as a Strength in 38% of the 24 applicable foster care cases and 32% of the 25 applicable in-home services cases.
- In 35% of the 46 applicable cases, the agency made concerted efforts to ensure that both the frequency and quality of caseworker visitation with mothers were sufficient.
- In 37% of the 35 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

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

The outcome was substantially achieved in 95% of the 39 applicable cases reviewed.

#### Well-Being Outcome 2 Item Performance

### Item 16. Educational Needs of the Child

**Purpose of Assessment:** To assess whether, during the period under review, the agency made concerted efforts to assess children's educational needs at the initial contact with the child (if the case was opened during the period under review) or on an ongoing basis (if

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<sup>5</sup> 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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the case was opened before the period under review), and whether identified needs were appropriately addressed in case planning and case management activities.

- Maine received an overall rating of Strength for Item 16 because 95% of the 39 applicable cases were rated as a Strength.
- Item 16 was rated as a Strength in 97% of the 37 applicable foster care cases and 50% of the 2 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**

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

The outcome was substantially achieved in 53% of the 62 applicable cases reviewed.

The outcome was substantially achieved in 58% of the 40 applicable foster care cases and 45% of the 22 applicable 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.

- Maine received an overall rating of Area Needing Improvement for Item 17 because 64% of the 55 applicable cases were rated as a Strength.
- Item 17 was rated as a Strength in 70% of the 40 foster care cases and 47% of the 15 applicable in-home services cases.

##### **Item 18. Mental/Behavioral Health of the Child**

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

- Maine received an overall rating of Area Needing Improvement for Item 18 because 67% of the 42 applicable cases were rated as a Strength.

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- Item 18 was rated as a Strength in 69% of the 29 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

Maine 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.

- Maine received an overall rating of Strength for Item 19 based on information from the statewide assessment and stakeholder interviews.
- Information in the statewide assessment and collected during interviews with stakeholders showed that the Maine statewide information system can readily identify a child's status, demographic characteristics, location, and goals. Stakeholders reported that placement changes are documented within 24 hours. The state has monthly processes in place to review and, if necessary, correct the information in the system to ensure accuracy.

#### 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.

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### State Systemic Factor Performance

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

### *Case Review System Item Performance*

#### Item 20. Written Case Plan

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

- Maine 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, Maine described challenges in jointly developing written case plans with parents, especially fathers. Stakeholders said that plans were usually written by caseworkers and presented to parents. Stakeholders also noted challenges with actively involving parents in case planning, including parents not understanding the process; FTMs occurring shortly after removal when parents were overwhelmed and not able to effectively participate; confusion for both staff and parents resulting from the variety of case plans; and challenges in developing case plans during FTMs when parents were not communicating with one another or there were domestic violence issues.

#### 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.

- Maine received an overall rating of Area Needing Improvement for Item 21 based on information from the statewide assessment and stakeholder interviews.
- Although many stakeholders said that periodic reviews were routinely occurring on a timely basis, data and information in the statewide assessment showed that on average, less than half of the periodic reviews occurred timely. Stakeholders reported that the agency drafts and circulates an order. If all parties agree, the judge signs the order, but this process does not provide an opportunity for a thorough review.

#### 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.

- Maine received an overall rating of Strength for Item 22 based on information from the statewide assessment and stakeholder interviews.

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- Information in the statewide assessment and collected during interviews with stakeholders showed that initial and ongoing permanency reviews were held on a timely basis in almost all of the cases, and that these reviews met the federal requirements.

### 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.

- Maine received an overall rating of Area Needing Improvement for Item 23 based on information from the statewide assessment and stakeholder interviews.
- Information in the statewide assessment and collected during interviews with stakeholders showed that terminations of parental rights (TPR) were filed in a timely manner in slightly more than half of the applicable cases. A small number of stakeholders felt that TPRs were filed timely; however, other stakeholders said that TPR was not filed timely and that delays in paternity testing, the need for publication for parents, crowded court dockets, and caseworker workloads were barriers to timely filing.

### 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.

- Maine 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 collected during interviews with stakeholders identified significant barriers to ensuring 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 children in their care. Stakeholders said that the trailing docket used in many courts and rescheduling hearings at the last minute made it difficult for participants to be available. Stakeholders also reported that the caregiver's ability to be heard varied according to the judge.

## 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

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

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### *Quality Assurance System Item Performance*

#### **Item 25. Quality Assurance System**

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

- Maine received an overall rating of Strength for Item 25 based on information from the statewide assessment.
- Information in the statewide assessment showed that Maine has a fully functioning quality assurance system operating in all jurisdictions that uses data to evaluate the quality of services and to identify the strengths and needs of the service delivery system. The state's case review system uses a model based on the federal case review process to conduct targeted case reviews. The state shares data with both internal and external stakeholders and solicits input from them to inform policy and practice improvements.

### **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**

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

### *Staff and Provider Training Item Performance*

#### **Item 26. Initial Staff Training**

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

- Maine received an overall rating of Strength for Item 26 based on information from the statewide assessment.
- In the statewide assessment, Maine reported data and information to show that new caseworkers must complete the 12-day initial training as a condition of employment. The state provided information on caseworkers' evaluation of initial training showing that they found it relevant to effectively performing their job functions.

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### Item 27. Ongoing Staff Training

**Description of Systemic Factor Item:** The staff and provider training system is functioning statewide to ensure that ongoing training is provided for staff<sup>6</sup> that addresses the skills and knowledge base needed to carry out their duties with regard to the services included in the CFSP.

- Maine 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 collected during interviews with stakeholders showed that although there was a policy for ongoing training and that training was required to maintain a social work license, there is no statewide system for tracking training. Caseworkers or supervisors maintain a log of the trainings completed, but those logs are unique to every district and the information is not aggregated statewide. Stakeholders also reported that the agency generally lacks trainings for experienced workers and that there is no evaluation of relevance of the training provided.

### 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.

- Maine received an overall rating of Area Needing Improvement for Item 28 based on information from the statewide assessment and stakeholder interviews.
- Information in the statewide assessment and collected during interviews with stakeholders showed significant differences in the training provided to kinship resource parents and non-relative resource parents. Stakeholders said that the initial training does not prepare resource families to perform their role as caregivers. Stakeholders also reported that while resource parents must complete 18 hours of training every 2 years to renew their licenses, relevant training is often not available and that the same trainings are offered year after year.

## 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.

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<sup>6</sup> "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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### State Systemic Factor Performance

Maine is not in substantial conformity with the systemic factor of Service Array and Resource Development. Neither of the items in this systemic factor was 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.

- Maine received an overall rating of Area Needing Improvement for Item 29 based on information from the statewide assessment and stakeholder interviews.
- Information in the statewide assessment and collected during interviews with stakeholders described a waiting list for core services and major gaps in services in rural areas of the state. Distances and a lack of transportation prevent clients from accessing needed services in rural areas. According to stakeholders, the agency relies on clients having access to MaineCare (Medicaid) to receive many services. However, when a child comes into care, the parents lose their eligibility and are not able to pay for the treatment programs required by their case plans. The agency does not have access to funding to provide for these services or alternative services available to address long waiting lists.

#### 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.

- Maine received an overall rating of Area Needing Improvement for Item 30 based on information from the statewide assessment and stakeholder interviews.
- Information in the statewide assessment and collected during interviews with stakeholders showed that the agency relies on its staff to individualize services using the services available. However, funding is limited and therefore the state is not able to address service gaps or use the family's natural supports and resources to individualize case plans. Providers do not have linguistically appropriate services because often there is not a large demand for this in the state. Stakeholders reported that the state is challenged in providing services that are appropriate for developmentally challenged children and parents.

### 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.

## Maine 2017 CFSR Final Report

### State Systemic Factor Performance

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

- Maine received an overall rating of Strength for Item 31 based on information from the statewide assessment and stakeholder interviews.
- Information in the statewide assessment and collected during interviews with stakeholders showed that the agency partners with stakeholders in the development of the CFSP and the APSR. Stakeholders generally agreed that the agency shares information and uses stakeholder input to develop CFSP/APSR goals and strategies and to assist the agency in implementing those strategies. Stakeholders said that the agency's engagement with Tribal stakeholders was very positive and could be used as a model for other states.

#### 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.

- Maine received an overall rating of Strength for Item 32 based on information from the statewide assessment.
- Information in the statewide assessment and confirmed during interviews with stakeholders verified the various agreements and Memoranda of Understanding (MOU) that the agency has with other state agencies that receive federal funding. Agency senior managers meet with or participate in workgroups with agencies such as Temporary Assistance for Needy Families, Head Start, Child Welfare Substance Abuse Committee, and Maine's Children's Trust Fund. The MOUs and the agency senior managers' participation in these workgroups have resulted in prioritization and better coordination of services for agency clients.

### 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.

## Maine 2017 CFSR Final Report

### State Systemic Factor Performance

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

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

#### Item 33. Standards Applied Equally

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

- Maine received an overall rating of Strength for Item 33 based on information from the statewide assessment and stakeholder interviews.
- Information in the statewide assessment and conformed during interviews with stakeholders showed that standards are applied equally across the state. Licensing supervisors meet monthly and discuss the application of the standards and use of waivers to ensure consistency across the state.

#### 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.

- Maine received an overall rating of Strength for Item 34 based on information from the statewide assessment and stakeholder interviews.
- Information in the statewide assessment and collected during interviews with stakeholders showed that the state completes background checks that include federal requirements on a timely basis. There is no coordinated case planning process to address safety issues when an incident is discovered through a background check. However, when an incident is discovered through a background check, the agency does, on a case-by-case basis, address the issue. Stakeholders raised no concerns about safety issues.

#### 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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- Maine received an overall rating of Area Needing Improvement for Item 35 based on information from the statewide assessment and stakeholder interviews.
- Information in the statewide assessment and collected during interviews with stakeholders showed that the state does not presently have a statewide recruitment plan. The state has recently contracted with an agency to recruit foster and adoptive resource families and has provided the agency with demographic data.

### **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.

- Maine received an overall rating of Strength for Item 36 based on information from the statewide assessment.
- Information in the statewide assessment described the agency's effective use of cross-jurisdictional resources both within and outside of the state to facilitate timely permanency for children in care. Information in the statewide assessment showed that most Interstate Compact on the Placement of Children home study requests are completed timely.

## Appendix A Summary of Maine 2017 Child and Family Services Review Performance

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

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

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

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

Data Element	Overall Determination	State Performance
<b>Safety Outcome 1</b> Children are, first and foremost, protected from abuse and neglect	Not in Substantial Conformity	73% Substantially Achieved
<b>Item 1</b> Timeliness of investigations	Area Needing Improvement	73% Strength

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

Data Element	Overall Determination	State Performance
<b>Safety Outcome 2</b> Children are safely maintained in their homes whenever possible and appropriate	Not in Substantial Conformity	40% Substantially Achieved
<b>Item 2</b> Services to protect child(ren) in home and prevent removal or re-entry into foster care	Area Needing Improvement†	50% Strength
<b>Item 3</b> Risk and safety assessment and management	Area Needing Improvement	40% Strength

## Appendix A: Summary of Maine 2017 CFSR Performance

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

Data Element	Overall Determination	State Performance
<b>Permanency Outcome 1</b> Children have permanency and stability in their living situations	Not in Substantial Conformity	38% Substantially Achieved
<b>Item 4</b> Stability of foster care placement	Area Needing Improvement	75% Strength
<b>Item 5</b> Permanency goal for child	Area Needing Improvement	80% Strength
<b>Item 6</b> Achieving reunification, guardianship, adoption, or other planned permanent living arrangement	Area Needing Improvement	55% Strength

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

Data Element	Overall Determination	State Performance
<b>Permanency Outcome 2</b> The continuity of family relationships and connections is preserved for children	Not in Substantial Conformity	75% Substantially Achieved
<b>Item 7</b> Placement with siblings	Strength	91% Strength
<b>Item 8</b> Visiting with parents and siblings in foster care	Area Needing Improvement	58% Strength
<b>Item 9</b> Preserving connections	Area Needing Improvement	85% Strength
<b>Item 10</b> Relative placement	Area Needing Improvement	87% Strength
<b>Item 11</b> Relationship of child in care with parents	Area Needing Improvement†	64% Strength

## Appendix A: Summary of Maine 2017 CFSR Performance

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

Data Element	Overall Determination	State Performance
<b>Well-Being Outcome 1</b> Families have enhanced capacity to provide for their children's needs	Not in Substantial Conformity	35% Substantially Achieved
<b>Item 12</b> Needs and services of child, parents, and foster parents	Area Needing Improvement	38% Strength
<b>Sub-Item 12A</b> Needs assessment and services to children	Area Needing Improvement	69% Strength
<b>Sub-Item 12B</b> Needs assessment and services to parents	Area Needing Improvement	33% Strength
<b>Sub-Item 12C</b> Needs assessment and services to foster parents	Area Needing Improvement	63% Strength
<b>Item 13</b> Child and family involvement in case planning	Area Needing Improvement	40% Strength
<b>Item 14</b> Caseworker visits with child	Area Needing Improvement	63% Strength
<b>Item 15</b> Caseworker visits with parents	Area Needing Improvement	35% Strength

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

Data Element	Overall Determination	State Performance
<b>Well-Being Outcome 2</b> Children receive appropriate services to meet their educational needs	In Substantial Conformity	95% Substantially Achieved
<b>Item 16</b> Educational needs of the child	Strength	95% Strength

## Appendix A: Summary of Maine 2017 CFSR Performance

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

Data Element	Overall Determination	State Performance
<b>Well-Being Outcome 3</b> Children receive adequate services to meet their physical and mental health needs	Not in Substantial Conformity	53% Substantially Achieved
<b>Item 17</b> Physical health of the child	Area Needing Improvement	64% Strength
<b>Item 18</b> Mental/behavioral health of the child	Area Needing Improvement	67% 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
<b>Statewide Information System</b>	Statewide Assessment and Stakeholder Interviews	Substantial Conformity
<b>Item 19</b> Statewide Information System	Statewide Assessment and Stakeholder Interviews	Strength

## Appendix A: Summary of Maine 2017 CFSR Performance

### CASE REVIEW SYSTEM

Data Element	Source of Data and Information	State Performance
<b>Case Review System</b>	Statewide Assessment and Stakeholder Interviews	Not in Substantial Conformity
<b>Item 20</b> Written Case Plan	Statewide Assessment and Stakeholder Interviews	Area Needing Improvement
<b>Item 21</b> Periodic Reviews	Statewide Assessment and Stakeholder Interviews	Area Needing Improvement
<b>Item 22</b> Permanency Hearings	Statewide Assessment and Stakeholder Interviews	Strength
<b>Item 23</b> Termination of Parental Rights	Statewide Assessment and Stakeholder Interviews	Area Needing Improvement
<b>Item 24</b> 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
<b>Quality Assurance System</b>	Statewide Assessment	Substantial Conformity
<b>Item 25</b> Quality Assurance System	Statewide Assessment	Strength

### STAFF AND PROVIDER TRAINING

Data Element	Source of Data and Information	State Performance
<b>Staff and Provider Training</b>	Statewide Assessment and Stakeholder Interviews	Not in Substantial Conformity
<b>Item 26</b> Initial Staff Training	Statewide Assessment	Strength
<b>Item 27</b> Ongoing Staff Training	Statewide Assessment and Stakeholder Interviews	Area Needing Improvement

## Appendix A: Summary of Maine 2017 CFSP Performance

Data Element	Source of Data and Information	State Performance
<b>Item 28</b> Foster and Adoptive Parent Training	Statewide Assessment and Stakeholder Interviews	Area Needing Improvement

### SERVICE ARRAY AND RESOURCE DEVELOPMENT

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

### AGENCY RESPONSIVENESS TO THE COMMUNITY

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

## Appendix A: Summary of Maine 2017 CFSR Performance

### FOSTER AND ADOPTIVE PARENT LICENSING, RECRUITMENT, AND RETENTION

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

### III. Performance on Statewide Data Indicators<sup>7</sup>

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

Statewide Data Indicator	National Performance	Direction of Desired Performance	RSP*	95% Confidence Interval**	Data Period(s) Used for State Performance***
Recurrence of maltreatment	9.1%	Lower	13.5%	12.3%–14.8%	FY14–FY15
Maltreatment in foster care (victimizations per 100,000 days in care)	8.50	Lower	6.94	5.03–9.59	15A–15B, FY15

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

## Appendix A: Summary of Maine 2017 CFSR Performance

Statewide Data Indicator	National Performance	Direction of Desired Performance	RSP*	95% Confidence Interval**	Data Period(s) Used for State Performance***
Permanency in 12 months for children entering foster care	40.5%	Higher	29.6%	26.8%–32.5%	13B–16A
Permanency in 12 months for children in foster care 12-23 months	43.6%	Higher	40.9%	37.4%–44.4%	15B–16A
Permanency in 12 months for children in foster care 24 months or more	30.3%	Higher	32.9%	30%–35.8%	15B–16A
Re-entry to foster care in 12 months	8.3%	Lower	3.8%	2.3%–6.5%	13B–16A
Placement stability (moves per 1,000 days in care)	4.12	Lower	2.73	2.47–3.01	15B–16A

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

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

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

## Appendix B Summary of CFSR Round 2 Maine 2009 Key Findings

The Children’s Bureau conducted a CFSR in Maine in 2009. 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

<b>General Information</b>
<b>Children’s Bureau Region:</b> 1
<b>Date of Onsite Review:</b> May 18–22, 2009
<b>Period Under Review:</b> April 1, 2008, through May 22, 2009
<b>Date Courtesy Copy of Final Report Issued:</b> August 19, 2009
<b>Date Program Improvement Plan Due:</b> November 17, 2009
<b>Date Program Improvement Plan Approved:</b> October 1, 2010

### Highlights of Findings

<b>Performance Measurements</b>
A. The state met the national standards for <b>one</b> of the <b>six</b> standards.
B. The state achieved substantial conformity with <b>zero</b> of the <b>seven</b> outcomes.
C. The state achieved substantial conformity with <b>five</b> of the <b>seven</b> systemic factors.

## Appendix B: Maine 2009 CFSR Key Findings

### State's Conformance With the National Standards

Data Indicator or Composite	National Standard	State's Score	Meets or Does Not Meet Standard
Absence of maltreatment recurrence (data indicator)	94.6 or higher	92.7	Does Not Meet Standard
Absence of child abuse and/or neglect in foster care (data indicator)	99.68 or higher	99.83	Meets Standard
Timeliness and permanency of reunifications (Permanency Composite 1)	122.6 or higher	100.6	Does Not Meet Standard
Timeliness of adoptions (Permanency Composite 2)	106.4 or higher	82.5	Does Not Meet Standard
Permanency for children and youth in foster care for long periods of time (Permanency Composite 3)	121.7 or higher	95.7	Does Not Meet Standard
Placement stability (Permanency Composite 4)	101.5 or higher	96.9	Does Not Meet Standard

### State's Conformance With the Outcomes

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

## Appendix B: Maine 2009 CFSR Key Findings

<b>Outcome</b>	<b>Achieved or Did Not Achieve Substantial Conformity</b>
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

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

## Appendix B: Maine 2009 CFSR Key Findings

### 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
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	Area Needing Improvement
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
20. Caseworker Visits With Parents	Area Needing Improvement

## Appendix B: Maine 2009 CFSR Key Findings

Item	Strength or 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	Strength
29. Notice of Hearings and Reviews to Caregivers	Area Needing Improvement
30. Standards Ensuring Quality Services	Strength
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	Area Needing Improvement
40. Coordination of CFSP Services With Other Federal Programs	Strength

## Appendix B: Maine 2009 CFSR Key Findings

Item	Strength or Area Needing Improvement
41. Standards for Foster Homes and Institutions	Strength
42. Standards Applied Equally	Strength
43. Requirements for Criminal Background Checks	Strength
44. Diligent Recruitment of Foster and Adoptive Homes	Strength
45. State Use of Cross-Jurisdictional Resources for Permanent Placements	Strength