

THE PHILADELPHIA DEPARTMENT OF HUMAN SERVICES
Children and Youth Division
Policy and Procedure Guide

Issue Date: May 25, 2007

TO: All CYD Social Work Staff
FROM: Joseph E. Kuna, Ph.D. Acting Deputy Commissioner, CYD
Pamela Mayo, Operations Director
RE: Compliance Reviews

EFFECTIVE DATE: May 29, 2007

The purpose of this Policy and Procedure Guide is to reissue CYD policy regarding Compliance Reviews and instructions for the Automated Compliance Review. There have been some minor revisions to the Compliance Review form to reflect changes in language and practice.

Discussion:

The Automated Compliance Review is an online method of completing supervisory compliance reviews. The compliance reviews are set up in FACTS and are keyed to the Accept for Service (AFS) cycle dates. Monthly Management Reports are automatically generated based on the data in the compliance reviews. The social work supervisor, administrator and director receive these reports and are able to use them to make management and practice decisions to insure that cases are in compliance with State and Federal law and agency policy.

Changes to the Compliance Review form to reflect current practice include the following additional practice items:

- FAF Summary
- Achieving Reunification Center (ARC) referral
- submitting the FSP to ARC
- Achieving Independence Center (AIC) referral
- submitting the FSP/ CPP to AIC
- documenting review of the most recent court order

Policy

(CYD Policy Manual Section 1520)

Each supervisor is required to complete a compliance review for all cases in his/her unit on a semiannual basis to ensure quality of service and compliance with federal and state regulations and CYD policy.

- these reviews are completed subsequent to the completion of the Family Service Plan and, if applicable, Child Permanency Plan (CPP).
- the supervisor maintains documentation of these reviews using the Compliance Review form (85-568).

(Section 1520.1)

The supervisor and CYD social worker complete an adoption review semiannually, in conjunction with the compliance review, for each child to determine whether or not adoption services are appropriate.

The supervisor will discuss the results of the Compliance Review with the assigned social worker during the supervisory conference. The completed, signed Compliance Review form must be filed in the case record.

Procedure

Social work supervisors must complete a semi-annual review of all cases in their unit using the Compliance Review form. A supervisor will only be able to complete compliance reviews on cases in his/her own unit. Administrators and data entry clerks will also have security clearance to complete compliance reviews on cases in that administrator's section. If a supervisor is out for a substantial period of time, it will become the administrator's responsibility to be sure the compliance reviews are completed within the required timeframes.

The reviews are to be completed online as follows:

- Compliance reviews can only be completed during the 90 day period **beginning 30 days before the Accept for Service cycle date and ending 60 days after the AFS cycle date**. For example, if the AFS date is 5-20-07, the compliance review can be added in FACTS from 4-20-07 to 7-19-07 (May has 31 days).
- All automated compliance reviews **must** be completed within this 90 day window. The system will not accept new compliance reviews or updates when the window closes.
 - ➔ If a compliance review is completed manually and given to data entry for input on the system, it must be completed in sufficient time to allow data entry to receive it and input within the 90 day window.
- Only children in placement during the review period, the six months between the last AFS cycle date and the current one, will appear in the compliance review system. A child in the family that has never been in placement, a child that was discharged from placement prior to the last cycle date, or a child that entered placement after the current cycle date, will not appear because the Child Specific Section does not need to be completed for these children.
- Reviews can be completed either from a **work-on list** or **directly** by entering the case number.
 - ➔ If supervisors want to work on all the reviews due for their unit or a social worker for that month, they should use the work-on list
 - ➔ If supervisors have a few cases and know the case numbers, they can work on the reviews directly from the "Compliance Review Menu" by entering the case number.
- The first time a compliance review is completed during each review period, use the **add** function. To complete or correct information, use the **update** function.
- To **add** from the work-on list, enter "a" at the top of the list, not next to the numeric case number. To **update** from the work-on list, enter "u" next to the numeric case number.
- The system will not allow you to add if a review should be updated or update if a review should be added. It will not allow you to state that a review is complete if it is not.

- ➔ The default response in any field is “no”. The system uses “y” for “yes”, “n” for “no” and “x” for “not applicable”.
- The compliance review form will print out by entering “f” next to the case number. The blank Adoption Review form will continue to print out on the back or as a separate page if the setting is not for duplex printing.
- The **Adoption Review** Form cannot be completed online and will continue to print out on the back (or as a second page) for manual completion.

Once completed and printed, the Compliance Review form must be signed and dated, and filed in the case record immediately following the most recent FSP.

Questions concerning this material should be addressed to:

Patricia Ripoll	Policy and Planning Administrator	x4112
Susan Weinberg	Program Supervisor	x4116
Bari Rose-Epstein	Program Analyst	x4124

Attachment

COMPLIANCE REVIEW				DEPARTMENT OF HUMAN SERVICES CHILDREN & YOUTH						
CASE NAME			CASE #		WORKER			ACCEPT FOR SERVICE DATE		
								COMMENTS		
			Y N N/A							
1. RISK ASSESSMENT CURRENT										
2. ORIGINAL FSP FOR THIS ACCEPT FOR SERVICE DATE										
3. FSP REVIEW CURRENT										
4. FSP REVISION CURRENT										
5. FAF SUMMARY										
6. SCOH QUARTERLY CURRENT										
7. DICTATION CURRENT THROUGH LAST QUARTER										
CHILD SPECIFIC SECTION	NAME SUFFIX _____ DATE PLCMT			NAME SUFFIX _____ DATE PLCMT			NAME SUFFIX _____ DATE PLCMT			COMMENTS
	COMPLIANCE			COMPLIANCE			COMPLIANCE			
ITEM	Y	N	N/A	Y	N	N/A	Y	N	N/A	
8. CPP FOR ORIGINAL PLACEMENT										
9. ARC REFERRAL										
10 FSP/PPP TO ARC										
11. HEALTH & EDUC UPDATED SINCE LAST SIX MONTHS										
12. CPP REVIEW CURRENT										
13. CPP REVISION CURRENT										
14. ISP CURRENT										
15. PURCHASE PLACEMENT QUARTERLY CURRENT										
16. YEAR'S END REPORT CARD PRESENT										
17. PET. FOR CHANGES IN GOAL, PLCMNT,VISIT, SERVICES FIELD										
18. FSP/PPP MAILED										
19. ADOPTION REVIEW CURRENT										
20.AIC REFERRAL										
21.FSP/PPP TO AIC										
22.PLACEMENT/REMOVAL SHEET CURRENT										
23. CURRENT COURT ORDER REVIEWED										
24. BIRTH CERTIFICATE										
DATE OF REVIEW:				SUPERVISOR'S SIGNATURE:						

ANNUAL ADOPTION REVIEW

SUFFIX	CHILD'S NAME	Child has been in Placement : (In Months)	
How frequently do parents visit: <input type="checkbox"/> WEEKLY <input type="checkbox"/> QUARTERLY <input type="checkbox"/> WEEKLY <input type="checkbox"/> NEVER <input type="checkbox"/> WEEKLY <input type="checkbox"/> OTHER		Explanation for Other:	
Are there relatives interested in taking custody of this child? <input type="checkbox"/> YES <input type="checkbox"/> NO		Name:	Relationship:
What is the current Placement Amendment Goal? <input type="checkbox"/> Return to Own Home <input type="checkbox"/> Adoption <input type="checkbox"/> Independent Living <input type="checkbox"/> Place in Home of Relative <input type="checkbox"/> Place With Legal Guardian <input type="checkbox"/> Long Term Placement			
IS CHILD APPROPRIATE FOR ADOPTION? <input type="checkbox"/> Yes <input type="checkbox"/> No		Reason(s):	
SUFFIX	CHILD'S NAME	Child has been in Placement : (In Months)	
How frequently do parents visit: <input type="checkbox"/> WEEKLY <input type="checkbox"/> QUARTERLY <input type="checkbox"/> WEEKLY <input type="checkbox"/> NEVER <input type="checkbox"/> WEEKLY <input type="checkbox"/> OTHER		Explanation for Other:	
Are there relatives interested in taking custody of this child? <input type="checkbox"/> Yes <input type="checkbox"/> No		Name:	Relationship:
What is the current Placement Amendment Goal? <input type="checkbox"/> Return to Own Home <input type="checkbox"/> Adoption <input type="checkbox"/> Independent Living <input type="checkbox"/> Place in Home of Relative <input type="checkbox"/> Place With Legal Guardian <input type="checkbox"/> Long Term Placement			
IS CHILD APPROPRIATE FOR ADOPTION? <input type="checkbox"/> Yes <input type="checkbox"/> No		Reason(s):	
SUFFIX	CHILD'S NAME	Child has been in Placement : (In Months)	
How frequently do parents visit: <input type="checkbox"/> WEEKLY <input type="checkbox"/> QUARTERLY <input type="checkbox"/> WEEKLY <input type="checkbox"/> NEVER <input type="checkbox"/> WEEKLY <input type="checkbox"/> OTHER		Explanation for Other:	
Are there relatives interested in taking custody of this child? <input type="checkbox"/> Yes <input type="checkbox"/> No		Name:	Relationship:
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IS CHILD APPROPRIATE FOR ADOPTION? <input type="checkbox"/> Yes <input type="checkbox"/> No		Reason(s):	