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**SOUTH CAROLINA
DEPARTMENT OF JUVENILE JUSTICE**

**UNIVERSAL
COUNTY CASE MANAGEMENT
REVIEWS**

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Problem Statement

In order to evaluate county office compliance to the Department of Juvenile Justice (DJJ) policies and procedures, the DJJ will need to develop a consistent and universal case management review tool. DJJ provides case management services to all juveniles who are under Department supervision and receives Medicaid reimbursement for case management services rendered to Medicaid eligible juveniles.

Currently, the DJJ conducts a yearly Medicaid Quality Assurance Audit of each county office to ensure program compliance to the Federal/State Medicaid case management program policy and standards. This audit system only addresses Medicaid issues and does not evaluate county office compliance to the DJJ internal policies and procedures. Without a consistent and effective way to evaluate compliance to these policies and procedures there is no way to ensure that juveniles are receiving the services they need to become responsible, productive citizens and to evaluate compliance to the South Carolina Code of Laws related to these policies. The universal DJJ Case Management Review will also serve as a complement to the Agency mission which is to "provide for a continuum of effective interventions that enables juveniles to become responsible, productive citizens and fosters safe and healthy communities".

Over the past several years, the Agency has attempted to evaluate county office compliance to DJJ policies and procedures by implementing an internal Peer

Review Auditing plan. Many obstacles have been encountered while trying to conduct these audits. The obstacles include having to use different staff for each audit which decreases reviewer reliability, some staff have viewed the audits as punitive and the audits have not been consistently conducted on a Statewide bases.

The development of the universal DJJ Case Management Review will allow for a way to determine that the operational practices of the county office are consistent with the DJJ Policy and Procedures Manual. In addition, by developing a rating system for the standards, this tool will provide a consistent way for DJJ management to assess county office accountability.

Data Collection

The five DJJ regional administrators were asked to submit all review tools that were used or had been used in the past for Peer Audits or internal office reviews. The regional administrators were also asked to nominate a representative from their region to participate in a case management review tool workgroup. The workgroup was formed to review the various tools submitted, brainstorm to come to a consensus on what items needed to be selected as review tool measures and to ensure that any additional county concerns were identified and addressed.

A workgroup comprised of eight county office staff and two state office representatives met on October 12, 2007. The workgroup members reviewed

the various tools that were submitted. Most of the tools were ones that had been used by individual counties for internal office audits. The committee decided that although parts of the tools that were presented could be used, there was also a need to:

- ❖ ensure that the standards outlined in DJJ policy are captured,
- ❖ ensure criteria for where information is placed in the juvenile's file is established,
- ❖ develop criteria for multi-volume records,
- ❖ include a review of information keyed into the Juvenile Justice Information System Form 5 (captures the juveniles' demographics, offenses and case disposition status), and
- ❖ develop a DJJ Policy for the case management review process.

The members unanimously agreed that the format for the DJJ Case Management Review Tool that would be used to review juvenile files would list the individual standards with a check off system to indicate that the Standard was "Met", "Not Met" or "Not Applicable". It would also include a comments column that would allow the reviewer to capture additional information as needed.

As a first step the workgroup identified the DJJ policies that needed to be reviewed to ensure that the Case Management Review Tool captures all required elements. The DJJ Policies included in this review were, Policy F-7.1

Initial Juvenile Referrals to DJJ County Offices; Policy F-7.2 County Office Intake Interview Procedures; Policy F-7.3 County Office Case Resolution; Policy F-7.4 Juvenile Plan for Services in the Community; Policy F-8.1 Community Based Supervision of Juveniles; Policy F-8.3 Juvenile Restitution; Policy F-8.4 Community Case Transfer; Policy F-9.1 Juvenile Case Violation and Probation/Parole Revocation; and Policy F-9.2 Termination of Probation/Parole Supervision and Case Closure.

Attachment 1, South Carolina Department of Juvenile Justice Case Management File Review is the Draft review tool that was developed to audit individual juvenile case files. The Standards listed on this tool were established from the above policies. This tool was sent electronically to the workgroup members for review/approval. The Draft DJJ Case Management File Review tool will also be sent to the Regional Administrator's for their input and approval.

Due to the differences in county office procedures the universal DJJ Case Management Review will also include an audit of the county office internal guidelines, county office environment, personnel records, and training records. Attachment 2, Case Management Credentials Files is the instrument that will be used to evaluate the county personnel and training records.

The workgroup is scheduled to meet again in February to discuss any final changes to the DJJ Case Management File Review tool, the review tool that will

be used to assess county office internal guidelines and office environment. Once all of the tools that will be used in the universal DJJ Case Management Review have been finalized, a DJJ Policy for Case Management Reviews will be developed that will outline the specifics of the review process. This Policy and all of the review tools that will be used to conduct the universal DJJ Case Management Review will be presented to Executive Management for input and approval.

Data Analysis

For the past two state fiscal years the current Medicaid case management reviews have tracked:

- recoupable units (a case management service that was submitted as eligible to bill but the documentation in the juveniles record did not support the billing),
- units eligible to bill (a case management service was not submitted for billing but the documentation was sufficient for billing),
- Monthly Services Statement accuracy percentages (identifies the accuracy of the "service status" information submitted by case managers).

The results of these measures are then applied to a grid which allows each county office to be rated as achieving an Exceeds, High Meets, Meets, or Below standard rating for their review. Because the new tool will be evaluating a completely different set of Standards and will not be evaluating Medicaid compliance this system for evaluation will no longer be valid.

The DJJ Case Management Review will include the establishment of a new evaluation system. This evaluation system will list all Standards included in the review tools with a rating score of "Meets Standard", "Fails Standard", "Needs Improvement", or "Not Applicable". Attachment 3, County Case Management Review Score Sheet is the instrument that will be used to tabulate this information. A summary of the total number of "Meets" Standard, "Fails" Standard, and "Needs Improvement" will also be tabulated. A county office that receives a significant number of "Fails" standard ratings will be required to attend additional training in the appropriate DJJ policies and procedures.

The county office will be required to submit a corrective action plan to the State office staff for all standards that received a "Fails" standard or "Needs Improvement" score. The corrective action plan will list the deficiency(ies) identified in the review, the task required to correct the deficiency, the steps necessary to prevent its recurrence, the staff person responsible, and the deadlines for the accomplishment of tasks. The State office staff will be responsible for reviewing the submitted corrective action plan to ensure that all required corrections have been identified, that the documentation submitted supports that the deficiency has been corrected and any required follow-up action that is needed.

Implementation Plan

The following lists the action steps, anticipated timeframes and the costs needed to complete the case management universal review:

Action Step	Timeframe	Costs
Complete Draft universal Case Management File Review tool.	December 2007	\$820.00*
Send Draft Case Management File Review Tool to workgroup for comments and approval.	January 2008	None
Submit approved Draft Case Management File Review Tool to regional administrators for comments and approval.	February 2008	None
Reconvene workgroup to discuss final changes and to develop other required tools.	February 2008	\$1,485*
Develop DJJ Policy for the universal DJJ Case Management Review process.	March 2008	None
Submit the DJJ Policy for Case Management Reviews and tools to executive management for review and approval.	April 2008	None
Identify the Standards that will be listed as critical elements on the County Case Management Review Score Sheet.	May/June 2008	Included with next
Identify the key data elements that will be collected for evaluation purposes.	May/June 2008	\$1,590*

Conduct regional trainings on the universal DJJ Case Management Review policy, tools and process.	June 2008	\$45,000*
Conduct county office reviews using the universal review tool.	July 2008 – June 2009	None (anticipate using existing audit staff)
Develop survey tool.	July – June 2009	\$3,600*
Distribute survey and make necessary changes to process based on survey feedback.	July – August 2009	\$6,500*

*Costs were derived by calculating average hourly/daily salaries for community and staff office staff. These costs were then multiplied by the number of hours that it is anticipated that staff will need to accomplish tasks.

One potential obstacle is that each county office has unique procedures and different community resources to offer juveniles. Each county office will need to have written local procedures that detail these processes so that a reviewer unfamiliar with the county specific procedures can review files and make a clear review finding. The universal DJJ Case Management Review process will include a "Draft" report and will allow the county office an opportunity to clarify and/or dispute any of the review findings before the final review report is distributed. Another obstacle will be the need for the State office review staff to be trained and become familiar with all of the DJJ Policies associated with the universal DJJ Case Management Review.

The universal DJJ Case Management Review will be implemented with current resources. The State office compliance review staffs who have conducted the Medicaid only audits will be responsible for conducting the DJJ Case Management Reviews. County office staff is accustomed to this group reviewing their juvenile case records for compliance and view them as impartial reviewers.

There is five State office staff currently assigned to the compliance review unit. These staff will be responsible for conducting the universal DJJ Case Management Reviews and all of the necessary training/technical assistance events. The annual cost to maintain these activities is expected to be \$277,600.00 which is based on staff salary, fringe, travel and training material costs. Two of the benefits of maintaining this level of compliance review will be the ability to evaluate county office compliance to DJJ policy and procedures as well as compliance to State laws and regulations. In addition it is hoped that this system will allow an opportunity to develop an evaluation system that can be used by DJJ executive management to compare county compliance.

Once all of the tools that will be used to conduct the universal DJJ Case Management Review and the DJJ Case Management Review Policy have been approved by the workgroup and the regional administrators, these documents will be presented to DJJ Executive Management for final input and approval. Once approved, the State office review staff will conduct regional trainings to educate county offices on the universal DJJ Case Management Review procedures.

It is anticipated that the DJJ Case Management Review will be implemented for county office reviews conducted during fiscal year 2009.

Evaluation Plan

Due to the substantial differences in the present Medicaid only case management review process and the universal DJJ Case Management Review process, a new evaluation plan will need to be developed. A meeting with the case management review tool workgroup, the regional administrators and the DJJ Office of Policy and Planning will be scheduled to develop an evaluation plan. This group will be responsible for:

- identifying the Standards from the universal case management review tools that will be listed as a critical standard;
- determining the number of "Fails" Standard a county office may receive before they are required to attend additional training;
- developing the guidelines to compare county office performance.

A survey tool will also be developed to obtain feedback from the county offices, regional administrators and the DJJ executive management team members that receive the universal DJJ Case Management Review reports. The survey will seek feedback on the review instruments, the evaluation process, the corrective action plan, and the case management review process. This survey will be distributed after completing the first year of reviews in which the universal DJJ Case Management Review process was utilized.

Summary and Recommendations

The DJJ Case Management Review will provide a system to evaluate county office compliance to DJJ policy and procedures in a consistent manner. It will be based on a set of defined standards and will include an evaluation system that can be used by DJJ executive management to compare county compliance. The DJJ Case Management Review will ensure that the counties have a corrective action plan for deficiencies found and will establish a process to provide assistance to counties with a significantly high number of failed standards.

**SOUTH CAROLINA DEPARTMENT OF JUVENILE JUSTICE
CASE MANAGEMENT FILE REVIEW**

Appendix 1
(Page 1 of 6)

DATE OF REVIEW:	FILE NAME:
REVIEW PERIOD:	FILE MIS #:
PROGRAM COORDINATOR:	PROBATION/PAROLE COMMUNITY SPECIALIST:
COUNTY OFFICE:	INTAKE COMMUNITY SPECIALIST:

CRITERIA	MET	UNMET	NOT APPLICABLE	COMMENTS
I. DETENTION SCREENING PROCESS				
1. Detention Screening Advisory Form was completed within 1 hour of notification and Law Enforcement advised if juvenile met detention criteria.				
2. Community Specialist documented decision to detain juvenile on the Detention Screening Form and the Juvenile Detention Order.				
3. If the decision was made to release the juvenile, the community specialist provided written explanation on the Detention Release Form.				
4. If the decision is made in court, the community specialist documented the decision and explanation on the Juvenile Detention Order.				
5. Juvenile had Detention Hearing within 48 hour of being placed in detention excluding Saturday, Sunday, and Holidays.				
6. An approved placement was found if parents or other responsible adult could not be located.				
7. Juvenile met criteria for detention according to Policy F-7.0.				
Additional Comments				

CRITERIA	MET	UNMET	NOT APPLICABLE	COMMENTS (Page 2 of 6)
8. If juvenile is 11 or 12 years old, a written court order verifying the detention was obtained from the Family Court Judge the next business day.				
9. If the juvenile was placed in detention for a non-criminal offense, he/she was held for no more than 24 hours or up to 72 hour excluding weekends and holidays if: <ul style="list-style-type: none"> • An order has previously been issued • The juvenile received notice of the order, and • The order spells out that the violation could subject juvenile to placement in detention. 				
II. INTAKE PROCESS				
1. Community Specialist notified juvenile and parents/guardians of need for intake interview within 10 days after juvenile charged with offense.				
2. During the intake interview with parents/guardian, Community Specialist: <ul style="list-style-type: none"> • Provided overview of DJJ, • Explained interview intake process and purpose, • Explained provisions for expunging juvenile's record, • Explained the provision for privacy of records (HIPAA), • Had parents/guardian sign Form A-4.5A and A-4.6A, • Explained juvenile's rights and received signatures on Form F-7.2B, • Had parents sign Form 210.02C. 				
3. Community Specialist provided copy of County Solicitor's referral(s) to parents/guardians if they had not received.				
4. Community Specialist referred juvenile to County Public Defender or other legal services if juvenile and parents/guardian desire and are unable to afford legal representation.				

CRITERIA	MET	UNMET	NOT APPLICABLE	COMMENTS (Page 3 of 6)
5. Community Specialist completed Child Assessment and Evaluation Form F-7.2E.				
6. Community Specialist requested relevant medical, social, psychological, special needs, and educational information from providers and other sources.				
7. Completed DJJ Risk Assessment Instrument.				
8. Appropriate referrals made for identified special needs.				
9. Case staffed with: <ul style="list-style-type: none"> • Supervisor, • Psychologist, • Other Agencies. 				
10. Juvenile's case staffed with supervisor within 5 days of scheduled hearing.				
11. Reported suspected abuse/neglect to DSS, local law enforcement, or DJJ Inspector General's Office.				
12. File is organized according to DJJ policy and procedures.				
13. Documentation of diversion/dismissal/contract in case file.				
III. CHILD ASSESSMENT AND PLAN FOR SERVICES 1. Child Assessment updated and reflects change in status.				
2. Child Assessment is updated every 6 months. 2a. Reformulated every 2 years.				
3. Plan for Services developed within 30 days of juvenile's placement on probation or parole.				

CRITERIA	MET	UNMET	NOT APPLICABLE	COMMENTS (Page 4 of 6)
4. Plan for Services identifies: <ul style="list-style-type: none"> • Juvenile's strengths, • Juvenile's needs, • Juvenile's risk factors, • Specific services needed, • Person responsible to provide services, • Projected completion dates. 				
5. Plan for Services reviewed with juvenile and his/her parents/guardians and signed by juvenile and parents/guardians.				
6. Referrals made as needed based on goals.				
7. Plan for Services reviewed at least once per quarter and updated as needed.				
8. Plan for Services reviewed by supervisory staff every 6 months to reassess whether supervision or services should be continued, modified, or terminated.				
9. Plan for Services was reformulated every 12 months.				
10. Modifications to Plan for Services were made based on progress or lack of progress in achieving goals.				
11. "Actual Completion Dates were documented to reflect achievement of goals.				
IV. COMMUNITY-BASED SUPERVISION OF JUVENILES 1. Case was assigned within 5 working days of being placed on probation/parole or Interstate Compact status.				

CRITERIA	MET	UNMET	NOT APPLICABLE	COMMENTS (Page 5 of 6)
2. Juvenile notified that he/she is required to submit to DNA testing. DNA testing completed. Date: _____				
3. Sex Offender Registry completed. Date: _____				
4. Terms of probation/parole explained to juvenile and parents/guardians within 2 working days of the hearing.				
5. Copy of probation order given to juvenile and his/her parents/guardian.				
6. Community Specialist made contact within 5 days of receiving the case.				
7. Contact maintained while juvenile was in committed status.				
8. Juveniles with Interstate Compact Agreements, the terms and conditions of the compact have been explained to the juvenile and his/her parents/guardians within 5 days of case assignment.				
9. Juvenile contacts have been met: 9a. Minimum of one face to face per month; 9b. Minimum of one face to face per week and 2 other contacts with juvenile/family per week for Intensive Supervision.				
10. Referrals made to appropriate resource agencies.				
11. Client Service Notes current within 5 working days of occurrence.				
12. Client Service Notes reflect quarterly home visits.				
13. Client Service Notes reflect quarterly staffing with supervisor.				

CRITERIA	MET	UNMET	NOT APPLICABLE	COMMENTS
14. Juvenile has satisfied or is making acceptable progress on performing Community Service and/or Restitution <ul style="list-style-type: none"> • Community Hours • Monetary 				
15. A Request of Transfer of Student Records Form F-8.1A has been completed if required (placement).				
16. Service Notes reflect attempts for alternative placement. Date of Placement: _____				
17. Request for revocation appropriately made.				
18. Graduated Sanction/Incentives appropriately given.				
19 Juvenile victims notified of changes in juvenile's status as required by policy.				
20 File organized according to policy/procedure.				
21. Does the County have an approved abbreviations list? 21a. Are the abbreviations consistent with the documentation used in the case file?				
Additional Comments: 				

Case Management Credentials Files

Name of County:

Date of Review:

DJJ Reviewer:

Name of Case Manager	College Transcript	Resume	Signature Sheet	Verification of Case Management Training

COUNTY CASE MANAGEMENT REVIEW SCORE SHEET STANDARDS APPLICABLE TO ALL			
Name of County: _____			
Name of Reviewer: _____		Date of Review: _____	
MS=Meets Standard NI=Needs Improvement FS=Fails Standard NA=Not Applicable CAFS=Critical Area Fails Standard			
STD #	Score Options	Score	
STD: 1.1	MS, NI, FS, NA		Completed Detention Screening Advisory Form on time
STD: 1.2	MS, NI, FS, NA		Documented decision on Detention Screening Form and Detention Order
STD: 1.3	MS, NI, FS, NA		Provided written explanation on Detention Release Form
STD: 1.4	MS, NI, FS, NA		Documented the decision and explanation on Detention Order
STD: 1.5	MS, NI, FS, NA		Detention hearing within 48 hours of being placed in detention
STD: 1.6	MS, NI, FS, NA		Approved placement found
STD: 1.7	MS, NI, FS, NA		Juvenile met detention criteria *
STD: 1.8	MS, NI, FS, NA		Written court order verifying the detention next business day if 11 or 12 years old
STD: 1.9	MS, NI, FS, NA		For non-criminal offense, held for no more than 24 hours or up to 72 hours
STD: 2.1	MS, NI, FS, NA		Notified juvenile/parent/guardian of need for intake interview within 10 days of charge
STD: 2.2	MS, NI, FS, NA		Intake Interview explanations completed
STD: 2.3	MS, NI, FS, NA		Provided copy of County Solicitor's referral to parent/guardian
STD: 2.4	MS, NI, FS, NA		Referred to County Public Defender or other legal services
STD: 2.5	MS, NI, FS, NA		Child Assessment and Evaluation Form completed *
STD: 2.6	MS, NI, FS, NA		Relevant information obtained from providers and other sources
STD: 2.7	MS, NI, FS, NA		DJJ Risk Assessment completed *
STD: 2.8	MS, NI, FS, NA		Referrals made for identified special needs
STD: 2.9	MS, NI, FS, NA		Case staffed appropriately
STD: 2.10	MS, NI, FS, NA		Case staffed with supervisor within 5 days of scheduled Hearing
STD: 2.11	MS, NI, FS, NA		Supspected abuse /neglect reported to appropriate entities *
STD: 2.12	MS, NI, FS, NA		Juvenile file organized according to DJJ policy
STD: 2.13	MS, NI, FS, NA		Documentation of diversion/dismissal/cotract in case file
STD: 3.1	MS, NI, FS, NA		Child Assessment and Evaluation Form updated and reflects change in status
STD: 3.2	MS, NI, FS, NA		Child Assessment and Evaluation is updated every 6 months, reformulated every 2 yrs
STD: 3.3	MS, NI, FS, NA		Plan for Services developed within 30 days of placement on probation/parole
STD: 3.4	MS, NI, FS, NA		Plan for Services identifies all required components
STD: 3.5	MS, NI, FS, NA		Plan for Servicews reviewed with juvenile/parent/guardian and signed
STD: 3.6	MS, NI, FS, NA		Referrals made as needed based on goals
STD: 3.7	MS, NI, FS, NA		Plan for Services reviewed once per quarter and updated as needed
STD: 3.8	MS, NI, FS, NA		Plan for Services reviewed by supervisory staff every 6 months
STD: 3.9	MS, NI, FS, NA		Plan for Services reformulated every 12 months
STD: 3.10	MS, NI, FS, NA		Plan for Services modifications based on progress/lack of progress in achieving goals
STD: 3.11	MS, NI, FS, NA		Plan for Services reflect Actual Completion Dates based on goal achievement
STD: 4.1	MS, NI, FS, NA		Case assigned within 5 working days of probation/parole/Interstate Compact
STD: 4.2	MS, NI, FS, NA		Juvenile notified of required DNA testing, testing date documented
STD: 4.3	MS, NI, FS, NA		Sex Offender Registry completed, date documented
STD: 4.4	MS, NI, FS, NA		Probation/Parole Terms explained to juvenile/parent/guardian within 2 days of hearing
STD: 4.5	MS, NI, FS, NA		Copy of Probation order given to juvenile/parent/guardian
STD: 4.6	MS, NI, FS, NA		Community Specialist made contact within 5 days of receiving case
STD: 4.7	MS, NI, FS, NA		Contact maintained while juvenile in committed status
STD: 4.8	MS, NI, FS, NA		Terms of Interstate Compact Agreements explained within 5 days of case assignment
STD: 4.9	MS, NI, FS, NA		Juvenile contacts made
STD: 4.10	MS, NI, FS, NA		Referrals made to appropriate resource agencies
STD: 4.11	MS, NI, FS, NA		Client Service Notes current within 5 days of occurrence
STD: 4.12	MS, NI, FS, NA		Client Service Notes reflect quarterly home visits
STD: 4.13	MS, NI, FS, NA		Client Service Notes reflect quarterly staffing with supervisor
STD: 4.14	MS, NI, FS, NA		Juvenile making satisfactory progress on Community Hours and Restitution *
STD: 4.15	MS, NI, FS, NA		Request for Transfer of Student Records completed (placement)

COUNTY CASE MANAGEMENT REVIEW SCORE SHEET
STANDARDS APPLICABLE TO ALL

Name of County:

Name of Reviewer:

Date of Review:

MS=Meets Standard

NI=Needs Improvement

FS=Fails Standard

NA=Not Applicable

CAFS=Critical Area Fails Standard

STD #	Score Options	Score	
STD: 4.16	MS, NI, FS, NA		Client Service Notes reflect attempts at alternative placement, date of placement doc
STD: 4.17	MS, NI, FS, NA		Request for revocation made appropriately
STD: 4.18	MS, NI, FS, NA		Graduated Sanctions/Incentives appropriately given *
STD: 4.19	MS, NI, FS, NA		Juvenile victims notified of changes in juvenile status as required *
STD: 4.20	MS, NI, FS, NA		Juvenile case file organized according to policy
STD: 4.21	MS, NI, FS, NA		Approved Abbreviation List on file
SDT: 4.21a	MS, NI, FS, NA		Abbreviations are consistent with documentation used in the case file
STD: 5.1	MS, NI, FS, NA		Community Specialist Credential Files

* denotes critical element

Total Standards Reviewed:

MS	FS	CAFS	NI

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