



pennsylvania
DEPARTMENT OF HUMAN SERVICES

MAY 22 2018

Ms. Lana Rees, Executive Director
County Executive
154 West Ninth Street
Erie, Pennsylvania 16501

RE: Erie County Children and Youth
Services
Public Agency

License #419240

Dear Ms. Rees:

As a result of the Department of Human Services' (Western Office of Children, Youth and Families) licensing inspection on April 2-5, 2018 of the above agency, the violations with 55 Pa.Code Ch. 3130 and other supplementary program regulations specified on the enclosed Licensing Inspection Summary were found.

All violations specified on the enclosed Licensing Inspection Summary must be corrected by the dates specified on the Licensing Inspection Summary and continued compliance with 55 Pa.Code 3130 and other supplementary program regulations must be maintained.

Sincerely,

A handwritten signature in black ink that reads "Cathy A. Utz".

Cathy Utz
Deputy Secretary

Enclosure
Licensing Inspection Summary

**COUNTY CHILDREN AND YOUTH AGENCY
ANNUAL SURVEY AND EVALUATION SUMMARY**

NAME OF AGENCY/FACILITY: Erie County Office of Children and Youth (#419240)			TELEPHONE: (814) 451-6600		OCYF REGIONAL STAFF APPROVAL	DATE
ADDRESS: 154 West Ninth St., Erie, PA 16501			COUNTY: Erie		<i>[Signature]</i> Program Representative	05-15-2018
INSPECTED BY: Mark Nuzzo; Jameekia Barnett; Wilson Smith; Nathan Humes; John Zubryd; Wendy Reed; Alicia Clark			QSR/INSPECTION DATES: April 2 – 5, 2018		<i>[Signature]</i> Supervisor	5/15/18
INITIAL INSPECTION	RENEWAL INSPECTION	COMPLAINT	UNANNOUNCED INSPECTION	RANDOM SAMPLE	<i>[Signature]</i> Regional Director	5/16/18
	XXX					

The Department of Human Services Western Regional Office of Children, Youth and Families conducted the annual licensing inspection of Erie County Office of Children and Youth by (ECOY) means of a random sample record review, interviews with administrative, supervisory, and casework staff, internal policy/procedures review, personnel record review and agency fiscal documentation review. The agency contracts with private foster care agencies, so visits to resource homes were not necessary.

The case sample was drawn from cases assigned to all program units and casework functions within the agency. The inspection sample was selected from cases that were active with the agency at any point from April 6, 2017 through March 16, 2018 for the licensing year of June 30, 2018 to June 30, 2019. The following is a breakdown of the sample and the volume of cases from which the sample was selected:

- 10 of 948 total Child Protective Service (CPS) investigations
- 10 of 2,139 total General Protective Service (GPS) assessments
- 10 of 626 total in-home/non-placement cases
- 10 of 672 child placement cases (2 Kinship Care; 3 Traditional Foster Care; 5 Residential Placements)
- 5 of 98 finalized adoption cases

In addition to these records, all new employees' personnel records were reviewed for compliance, as were the training records for all staff. The agency has approximately 150 total employees. Although OCY experienced significant turnover for the previous inspection, the agency's personnel appeared to have stabilized, as there were only 19 new Caseworkers hired since the previous inspection.

County Specific Information:

As with any agency's inspection, the file reviews revealed strengths, recommendations related to best practice, and areas of non-compliance.

The last year's licensing inspection summary (LIS) form identified numerous regulatory violations and required that ECOY develop and implement a Plan of Correction (POC) to address the issues noted. A review of the current inspection sample has shown that ECOY is successfully implementing their POC and has shown improvement in multiple areas. Most notable is in regards to Family Finding/Fostering Connections and involving family members in the developing, reviewing and signing their service plans. It also appears that the agency has been more consistent in assigning response times and seeing children by in the assigned timeframe. Overall, ECOY appears to be making sure children with whom they are involved are safe and receiving necessary services. It also appears that there was less hesitancy to open a family for services if the family was

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somewhat resistant to services. Children are being seen in their living environment every 30 days and service plans were done in a timely manner. ECOCY continues to ensure that the physical, medical, and emotional needs of their children in foster care are met through private foster care agencies. The adoptions completed by the agency were inclusive of all necessary documentation and in full compliance. The new personnel records contained all of the necessary clearances, training, etc. and tenured staff received more than the required 20 hours of annual training.

The next section contains the regulatory citations discovered during the licensing inspection. The agency was made aware of these citations during the exit interview held on April 5, 2018. There was one citation for a CPS investigation that was also an issue the previous year. However, that issue was not cited in the 2017 inspection because the violation had occurred just after a new policy was implemented. It is a citation this year because this agency policy has now been in place for at least one year. It should be noted, however, that most of the citations from last year's inspection did not reoccur. All case specific regulatory references contained within the License and Inspection Summary do not contain specific identifying demographic data due to statutory prohibitions relating to confidentiality.

The following chapters 3350, 3700, 3130, 3490, CPSL and Chapter 20 were reviewed during the annual licensing review. Based on violations with regard to chapters 3490 the Department of Human Services, Office of Children, Youth and Families is issuing the following citations which require a plan of correction.


REGULATORY FINDINGS REQUIRING PLAN OF CORRECTION

1. 55 PA CODE CHAPTER	2. NON-COMPLIANCE AREA	3. CORRECTION REQUIRED	4. REQUIRED CORRECTION DATE	5. PROVIDERS PLAN OF CORRECTION OR RESPONSE	6. STATUS OF CORRECTION
3490.55 (d)(3)	<p>When conducting a child abuse investigation, the agency is required to interview or attempt to interview the alleged perpetrator prior to making a determination. In one of the CPS investigations, the alleged perpetrator was not interviewed.</p> <p>In addition, there is a supervisory review dated 6/5/17 that states that the alleged perpetrator was interviewed, despite the interview not taking place.</p>	<p>Erie County OCY must submit a plan to the Department that ensures reasonable efforts are made to interview an alleged perpetrator prior to making a determination of child abuse.</p> <p>This plan should also include a supervisory mechanism that crosswalks case activity with what is documented in the case.</p>	May 8, 2018	<i>see attached</i>	PLAN ACCEPTED
3490.321 (e)(2)	<p>When completing a risk assessment, the characteristics of the parent, caregiver, household member, primary person responsible for the child's welfare, and the alleged perpetrator are to be assessed. One CPS investigation (cited in prior</p>	<p>Erie County OCY must submit a plan to the Department that ensures that all parties to be assessed are included and rated on the risk assessment.</p> <p>This plan should include a review of the assessments by a supervisor to ensure that not only are they done</p>	May 8, 2018	<i>see attached</i>	PLAN ACCEPTED

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	citation) did not include the alleged perpetrator on the Risk Assessment.	according to regulation, but the ratings are accurate based on case specific information.			
3490.321 (h)(3)	<p>When assessing risk to children, it is to be done periodically, including 30 days before and after a child is returned home unless either the risk remains low OR the return was not anticipated. In the case of an unanticipated return, a risk assessment is to be completed within 2 weeks of the child(ren) returning home.</p> <p>There were two cases where the return of the children was planned, however, risk assessments did not occur at this interval:</p> <ul style="list-style-type: none"> - One case involved a child that returned home on 03/08/2017, however, the risk was not completed until 06/12/2017. The prior risk rating was "M". - The other case involved a child that was returned on 05/31/2017 at the agency's recommendation. The risk assessment before this was dated 02/09/2017 and rated "H" and the one following the return was not done until 09/22/2017. 	Erie County OCY must submit a plan to the Department that ensures risk to the children returning home is assessed as per this regulation.	May 8, 2018	<i>see attached</i>	PLAN ACCEPTED
3490.235 (e)	When a GPS report is being assessed, supervision is to occur at least once every 10 days with the assigned worker. This must be documented in the record and address the safety of the child, if services	<p>Erie County OCY must submit a plan to the Department that ensures supervisory reviews address the areas of safety, services, and determinations.</p> <p>The plan should include a</p>	May 8, 2018	<i>see attached</i>	PLAN ACCEPTED

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	are appropriate to the level of risk, and the progress towards making a determination or decision as to whether to accept the family for services. One GPS assessment contained a supervisory review where not all of the questions were answered.	mechanism to track if this is occurring on a consistent basis.			PLAN ACCEPTED
3350	In Compliance	None	None	None	Full Approval Recommended
3700	In Compliance	None	None	None	Full Approval Recommended
Chapter 20	In Compliance	None	None	None	Full Approval Recommended
THE LEGAL ENTITY REPRESENTATIVE MUST COMPLETE COLUMN 5, SIGN ON THE SIGNATURE LINE AT THE BOTTOM AND DATE ALL PAGES OF THIS DOCUMENT. RETURN THIS ENTIRE DOCUMENT TO YOUR REGIONAL OFFICE BY: MAY 8, 2018					
			<i>EXECUTIVE DIRECTOR</i>		
SIGNATURE OF LEGAL ENTITY REPRESENTATIVE			TITLE		
5/8/18			814-451-6667		
DATE			TELEPHONE NUMBER		

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Erie County Office of Children & Youth
Improvement Plan for Annual Licensing Inspection
2018

Regulatory Reference	Area for Improvement	Improvement Activities and Required Action Steps	How will the Improvement Activity be Implemented/ Monitored by Supervisors and Administrators	Title of Responsible Person(s)	Status of Correction
3490.55 (d)(3)	<p>When conducting a child abuse investigation, the agency is required to interview or attempt to interview the alleged perpetrator prior to making a determination. In one of the CPS investigations, the alleged perpetrator was not interviewed.</p> <p>In addition, there is a supervisory review dated 6/5/17 that states that the alleged perpetrator was interviewed, despite the interview not taking place.</p>	<p>1. The template for the 10 Day Follow-up Supervisory Review has been updated to include two additional follow-up questions (Attachment A). Previously the template only asked if the AP was interviewed and it was a yes/no response. The additions are: "If yes, what was the AP's response?" and "If no, what efforts were made to interview the AP?"</p> <p>The addition of these two questions will help ensure Caseworkers are not accidentally providing inaccurate information (i.e. confusing two cases) and will help ensure Supervisory oversight of efforts made to procure the interview.</p> <p>Additionally, during the Supervisory Review Supervisors will remind workers of activities that should be completed (i.e. Accurint, Diligent Searches) in order to meet the "reasonable efforts" standard.</p>	<p>1. When the POC has been accepted the QA Coordinator will e-mail the Intake Director and the Intake Supervisors to notify them that the plan has been accepted and they should begin using the revised template.</p> <p>If, during the course of the regular Intake record review process, a circumstance is identified where the new template is not being utilized, the Director of Intake will work with the Supervisor to ensure the new template is implemented.</p>	<p>1. Intake Supervisors</p> <p>Director of Intake</p>	<p>1. The template was updated on 5.2.18. A draft of the new template was provided to the Intake Supervisors on this same date for feedback.</p> <p>Utilization of this template will occur immediately following notification from Western Region that the POC has been accepted.</p>

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Erie County Office of Children & Youth
 Improvement Plan for Annual Licensing Inspection
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		<p>2. A CPS Closing Checklist has been created (Attachment B) which lists individuals that must be interviewed on all CPS cases. Caseworkers will complete this checklist by listing the dates of the interview and will hand it in to their Supervisor when they submit a CPS case for closure.</p> <p>Using the dates provided on the CPS Closing Checklist, Supervisors will check CAPS to confirm that there is a corresponding case note for each interview/activity. The Supervisor's signature on the form is the Supervisor's assurance that they completed the CAPS check.</p> <p>If it is discovered that a required activity did not occur the Supervisor will ensure that the Caseworker completes the activity (or makes reasonable efforts to complete the activity) prior to case closure.</p>	<p>2. After the Peer Group each Supervisor will e-mail the Director of Intake to confirm that this Improvement Activity has been implemented within their unit.</p> <p>The Director of Intake will forward the e-mail to the Quality Assurance Coordinator who will log them into the Improvement Activity Completion Binder.</p> <p>If any Supervisor has not confirmed that this has been implemented with their unit by one month after notification that the POC has been accepted the Quality Assurance Coordinator will circle back to the Director of Intake who will then follow-up with the Supervisor.</p>	<p>2. Intake Supervisors</p> <p>Director of Intake</p>	<p>2. On May 2nd, the Intake Supervisors met to discuss potential activities for this POC. At this meeting the Supervisors suggested the CPS Closing Checklist and provided the QA Coordinator with the specific items that should be included. A draft of the CPS checklist was then created and sent to the Intake Supervisors for review.</p> <p>Supervisors will introduce Caseworkers to this new form/corresponding requirements at the Peer Group that immediately follows Erie County receiving notification that the POC has been accepted by Western Region. Implementation will occur for each unit immediately following the aforementioned Peer Group.</p>
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<p>3490.321 (e)(2)</p>	<p>When completing a risk assessment, the characteristics of the parent, caregiver, household member, primary person responsible for the child's welfare, and the alleged perpetrator are to be assessed. One CPS investigation (cited in prior citation) did not include the alleged perpetrator on the Risk Assessment.</p> <p>Erie County OCY must submit a plan to the Department that ensures that all parties to be assessed are included and rated on the risk assessment.</p> <p>This plan should include a review of the assessments by a supervisor to ensure that not only are they done according to regulation, but the ratings are accurate based on case specific information.</p>	<p>1. Peer Group Training: A draft uniform outline for a training on Risk Assessment completion (Attachment C), which includes reinforcing that the alleged perpetrator must be included on the Risk Assessment worksheet, was developed by Intake Supervisors on 5.3.18. This draft outline was shared with all Intake Supervisors for review/revisions or approval.</p> <p>Within one month of Plan of Correction approval, all Intake Supervisors will provide their staff with a training on Risk Assessment completion using the previously mentioned outline in a Peer Group.</p>	<p>1. After the training has occurred each Supervisor will e-mail the Director of Intake to confirm that this Improvement Activity has been completed within their unit.</p> <p>The Director of Intake will forward the e-mail to the Quality Assurance Coordinator who will log the e-mails into the Improvement Activity Completion Binder.</p> <p>If any Supervisor has not confirmed that their unit has not been trained within one month, the Quality Assurance Coordinator will follow-up with the Director of Intake who will work with the Supervisor to ensure their unit is trained.</p>	<p>1. Intake Supervisors Director of Intake Quality Assurance Coordinator</p>	<p>1. On May 2, 2018 the Intake Supervisors met to identify corrective activities for this POC.</p> <p>A draft outline of this training was created on 5.3.18 by Intake Supervisors and was then sent to Intake Supervisors and the Interim Intake Director for review/revisions.</p> <p>The finalized draft was submitted with this POC as Attachment C.</p> <p>After Erie County is notified that the POC is approved all Peer Groups will be trained within one month.</p>
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<p>3490.321 (h)(3)</p>	<p>When assessing risk to children, it is to be done periodically, including 30 days before and after a child is returned home unless either the risk remains low OR the return was not anticipated. In the case of an unanticipated return, a risk assessment is to be completed within 2 weeks of the child(ren) returning home.</p> <p>Erie County OCY must submit a plan to the Department that ensures risk to the children returning home is assessed as per this regulation.</p>	<p>1. A spreadsheet that outlines timeframes/due dates for documentation, including completion of the Risk Assessment Worksheet, has been created by the Ongoing Administrators (Attachment D).</p> <p>This spreadsheet will be reviewed by Ongoing Supervisors at their Unit Meetings. This review will highlight the regulatory requirement to complete a Risk Assessment worksheet 30 days before and after a planned return home (unless the risk remains low). The review will also include the necessity to complete the Risk Assessment worksheet within 2 weeks for an unplanned return home.</p>	<p>1. After the training has occurred each Supervisor will e-mail their Administrator to confirm that this Improvement Activity has been completed within their unit.</p> <p>The Administrator will forward the e-mail to the Quality Assurance Coordinator who will log the e-mails into the Improvement Activity Completion Binder.</p> <p>If any Supervisor has not confirmed that their unit has not been trained within one month, the Quality Assurance Coordinator will follow-up with their Administrator who will work with the Supervisor to ensure their unit is trained.</p>	<p>1. Ongoing Supervisors Ongoing Administrators Quality Assurance Coordinator</p>	<p>1. The spreadsheet has been created and is included with this Plan of Correction as Attachment D.</p> <p>Once Erie County receives word that the Plan of Correction has received approval by Western Region the Quality Assurance Coordinator will relay the information to the Ongoing Administrators.</p> <p>The Ongoing Administrators will then relay the information to their Supervisors to let them know they should now review the spreadsheet (highlighting the timeframes for completing the Risk Assessment Worksheet when a child returns home) with their units.</p>
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<p>3490.235 (e)</p>	<p>When a GPS report is being assessed, supervision is to occur at least once every 10 days with the assigned worker. This must be documented in the record and address the safety of the child, if services are appropriate to the level of risk, and the progress towards making a determination or decision as to whether to accept the family for services. One GPS assessment contained a supervisory review where not all of the questions were answered.</p> <p>Erie County OCY must submit a plan to the Department that ensures supervisory reviews address the areas of safety, services, and determinations. The plan should include a mechanism to track if this is occurring on a consistent basis.</p>	<p>1. As specified in ECOCY's Intake Record Review Policy and Procedure (Attachment E) the Record Review Tool (Attachment F) was updated on 5.2.18 as a result of this year's licensing inspection summary.</p> <p>The revisions target items that address non-compliances identified during this year's licensing inspection.</p> <p>For this specific citation the question "Were all questions on the Supervisory Review template answered at each review?" was added.</p> <p>If a Supervisory Review has missing information the date of the review will be noted on the completed record review tool. The note in question will also be printed and attached to the record review tool for the Supervisor which is given to the Supervisor and Director of Intake on a monthly basis.</p>	<p>1. Upon acceptance of this Plan of Correction the Quality Assurance Coordinator will immediately begin utilizing the revised Record Review Tool.</p> <p>If a Supervisor identifies that the Quality Assurance Coordinator is not using the new record review tool this concern should be shared with ECOCY's Director of Operations (whom the QA Coordinator reports to).</p> <p>The Director of Operations will then work with the QA Coordinator to ensure that the appropriate record review tool is being used.</p>	<p>1. Intake Supervisors Director of Intake Quality Assurance Coordinator Director of Operations</p>	<p>1. On May 2, 2018 the Intake Supervisors and Interim Intake Director met to discuss activities for this plan of correction. The aforementioned improvement activity was identified and aligned with ECOCY's Intake Record Review Policy.</p> <p>On 5.2.18 the Record Review Tool was revised and sent to the Intake Supervisors and Interim Intake Director for review.</p>
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		<p>2. During a meeting that took place on May 2, 2018 with the Interim Intake Director and the Intake Supervisors, there was a discussion regarding the procedural anomalies that lead to incomplete reviews.</p> <p>Supervisors shared tips with one another regarding how they mitigate specific procedural anomalies.</p> <p>Additionally, there have been some new Supervisors added to the Intake Department since the 10 day Sup Review Alert in CAPS began being utilized. Therefore, there was also a discussion regarding how this alert helps catch cases that may otherwise fall through the CAPS.</p>	<p>N/A: Activity Completed</p>	<p>2. Intake Supervisors</p> <p>Interim Intake Director</p>	<p>2. Completed 5.2.18.</p>
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