Step 2: Understanding Underlying Conditions

This step usually takes time and thoughtfulness to **understand why** and **how** a particular phenomenon is occurring. Root Cause Analysis (RCA) is a process or procedure that helps guide people to discover and uncover the initiating causes of a problem, with the goal of determining missing or inadequately applied controls that will prevent recurrence. RCA is a backward examination of potential causal paths until all events are explained. When working towards understanding underlying conditions remember to ask "what" questions to determine whether and to what extent a problem exists. Then ask and gather data to answer, the "why" questions. By questioning how to improve upon practice, and using Root Cause Analysis to identify barriers to even better practices and outcomes, a CQI system can support the concept of Best Practices in Child Welfare

Item 12: Accurately Assessing for Needs and Providing Appropriate Services for Children, Parents, and Foster Parents
Item 13: Actively Involving Children and Family in Case Planning

Root Cause Analysis: The analysis of Item 12 and Item 13 began with pulling the state summary report for the 23 PIP counties that had received an Area Needing Improvement rating during the following Period Under Review (PUR) dates: July 2016, October 2017, January 2017 and April 2017. The focus was to identify trends between case worker visits and their impact on assessing needs, providing services and case planning with the children and families that they serve.

Item 12				
Key Participant	**Assessments**		**Services**	
	Yes	**No**	**Yes**	**No**
Child	21.8%	78.2%	12.8%	87.2%
Mother	31.1%	68.9%	24.1%	87.4%
Father	12.6%	87.4%	8.9%	91.1%
Foster Parent	26.0%	74.0%	4.3%	95.7%

Item 13		
Key Participant	**Active Case Planning**	
	Yes	**No**
Child	47.8%	52.2%
Mother	29.0%	71.0%
Father	6.1%	93.9%

After looking at this data, a sample of case narratives for Item 12 and Item 13, from the identified PUR dates above, were pulled to identify caseworker barriers that resulted in the item being rated as an ANI. Please see below for trends that were identified:

Child (Item 12A and Item 13):
- Lack of ongoing assessments for the child.
- Informal assessments with the child are not in depth and only covers the basics (i.e how is the child doing, how is school)

- Contacts and conversations with the child were mostly to assess and address needs but were never in the context of case planning

Mother and Fathers (Item 12B and Item 13):
- Minimal to no contact is made with mothers and fathers after reunification services were ceased. As a result, the agency is not able to assess their needs, provide services to address those needs, and case plan
- Caseworkers created case plans without out input from the mother and/or father
- Agency made initial contact with the incarcerated fathers but there was no ongoing contact
- Probation caseworker reported no contact with the father because he was not part of the case plan

Foster Parents (Item 12C):
- The support given was minimal and not sufficient
- Caretaker was never asked about receiving services to assist them with caring for the youth
- Specific findings: Caseworker did not discuss/ offer services to assist the foster parents with caring for a transgender youth who was transitioning, lack of support with caring for a youth that has behavioral needs.