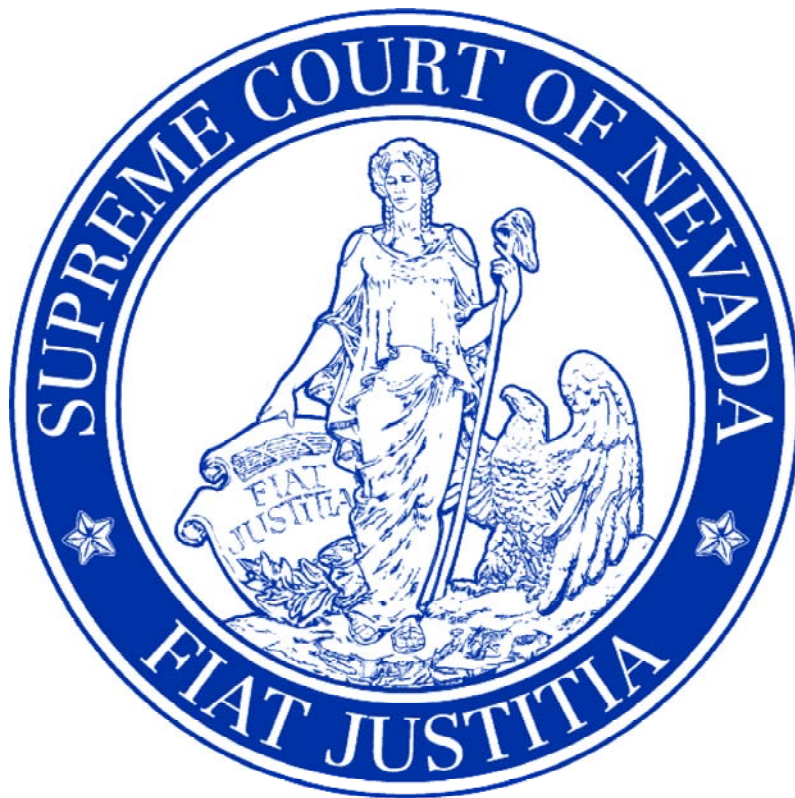# NEVADA'S
COURT IMPROVEMENT PROGRAM
FOR THE PROTECTION AND PERMANECY
OF DEPENDENT CHILDREN

ANNUAL DATA ASSESSMENT REPORT
DECEMBER 2011

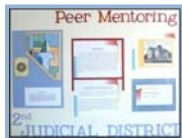# NEVADA SUPREME COURT
ADMINISTRATIVE OFFICE OF THE COURTS

NEVADA'S COURT IMPROVEMENT PROGRAM
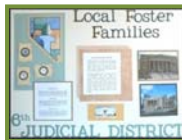
ANNUAL DATA ASSESSMENT REPORT
DECEMBER 2011

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"Families are the compass that guide us. They are the inspiration to reach great heights, and our comfort when we occasionally falter
- Brad Henry

COURT IMPROVEMENT PROGRAM
MISSION, PURPOSE, AND GOALS STATEMENT

"The Court Improvement Program is a multidisciplinary project which seeks improvement of interrelated systems that serve children and families who enter the child welfare system. The program operates through team-oriented court and agency initiatives. The goal of the CIP is to make the systems more effective."

NEVADA'S COURT IMPROVEMENT PROGRAM
ANNUAL DATA ASSESSMENT REPORT
DECEMBER 2011

The Nevada Court Improvement Program (CIP) is pleased to submit this 2011 Program Assessment Report for the Data CIP Grant for the period October 1, 2010, to September 30, 2011.

The State Court Improvement Program was created as part of the Omnibus Budget Reconciliation Act of 1993. The grants were designed to help state courts assess their foster care, adoption laws, and judicial processes; and to develop and implement a plan for system improvements. Since then, the CIP has been reauthorized four times: in 1997, under the Adoption and Safe Families Act (ASFA) reauthorized through 2001; in 2001, under the Promoting Safe and Stable Families Act of 2001 (P.L. 107-133) reauthorized through 2006; in 2006, under the Child and Family Services Improvement Act of 2006 (P.L. 109-288) reauthorized through FY 2011; and most recently, in October 2011, the Child and Family Services Improvement Act reauthorized CIP through FY 2016.

CIP has existed in Nevada since 1995 and is overseen by the multi-disciplinary CIP Select Committee (Committee), which is chaired by Supreme Court Chief Justice Nancy Saitta. This group is comprised of family court judges, a tribal court judge, the three child welfare agency administrators, a deputy state attorney general, a legislator, the director of the Administrative Office of the Courts, a public defender active in child welfare, several attorneys who actively represent neglected and abused children, the president of the State's Youth Advisory Board, and the executive director of the Nevada Court Appointed Special Advocates (CASA) Association, Inc. As a standing committee of the Judicial Council of the State of Nevada, the Committee serves in an advisory capacity.

Strategy D1:   Keep Current on National Trends/Requirements in Data Collection

D1.1 was accomplished. Three people, one from the Administrative Office of the Courts (AOC), one from the Division of Child and Family Services (DCFS) and one from the 8th Judicial District Court in Clark County, were sent to the 2011 Court Improvement Program Annual Meeting in May 2011 where "Concrete Measures and Evaluation for Concrete Success" was the topic.

D1.2, collaborating with other stakeholders to facilitate data reports, was accomplished and is on-going. Several initiatives have contributed to moving forward on this activity. Processes to produce requisite data reports are being identified.

Data Driven Decision Making Project

The Division of Child and Family Services (DCFS) is initiating membership into Chapin Hall, a multi-state repository. Member agencies provide child welfare specific data to Chapin Hall for inclusion in the repository. Chapin Hall organizes the data provided into a flexible longitudinal database and provides a web based tool to access data and generate a variety of reports. Users can access reports in multiple ways, allowing for either statewide analysis or analysis by county, as well as reports that show Nevada as compared to other member states. Membership also allows state administrators to work with other state members to enhance the database model to track other child welfare outcomes while minimizing additional IT development costs. Nevada's judicial system is a vital part of the child welfare system and the reports generated will be available to stakeholders, such as the courts, who will have access to the data as a "user" which can assist in judicial decision making.

CIP has funded a consultant to conform Nevada's SACWIS system, United Nevada Information Technology for Youth (UNITY) data to Chapin Hall requirements. This project remains on-going.

Strategy D2: Identify Performance Measures for Courts in Child Welfare Cases

D2.1, perform business analysis to determine best practices and implementation plan for data sharing and integration among agencies to obtain outcome measures. This task was accomplished under the guidance of a contractor, Aaron Gorrell from Waterhole Software, Inc. and AOC Statistics staff Hans Jessup and Sheldon Steele. The business analysis and consideration of leading practices was the foundation for building the roadmap for the 2nd Judicial District's electronic data exchange that took place throughout the summer and fall of 2010. The 8th Judicial District has been participating in a similar process since July 2011. The business analysis in Clark County has been accomplished, key data exchanges have been identified, and the roadmap is being written.

D2.2, include outcome measures in Uniform System for Judicial Records (USJR) model where applicable, is in the process of being accomplished by AOC Statistics staff Hans Jessep and Sheldon Steele. The family and juvenile statistics gathering was expanded, based upon the National Center for State Courts (NCSC) statistical model. It is has been approved by the Judicial Council of the State of Nevada (JCSN) to begin implementation in July 2012, and data will not be completely available until November 2013. These USJR statistics do not measure time frames however. We may be able to discuss this possibility in future phases.

D2.3, develop procedures for collecting, analyzing, and publishing outcome measures statewide, was partially accomplished with the

compilation of these data profiles for each judicial district (September 2010). The remainder will be accomplished in a year or two after the Chapin Hall Project is underway. This will, necessarily, include training.

Strategy D3:   Develop Data Exchange Requirements

D3.1, review the National Exchange Model and prioritize implementation order in exchanges in Nevada, have been accomplished. In September 2008, the requirements development workshops for the Service Plans and Court Reports were hosted by Nevada CIP.

NIEM 2.1 was released in October 2009, and for the first time included data elements that address the data needs of the dependency and neglect community. These data elements were captured in the family services domain and include: dependency petition, court findings order, service plan, court report, hearing notification, placement change notification and representation notification. These elements were included in the Information Exchange Package Definition (IEPD) developed for the data exchange project in the 2nd Judicial District in August 2010 and will be for the 8th Judicial District's data exchange project, as well.

This is a much larger undertaking than originally anticipated. With the preliminary work completed in the 2nd Judicial District, and nearly finished in the 8th Judicial District, CIP will continue this effort as jurisdictions are identified that possess the interest and the resources to move forward. The National Center of State Courts (NCSC) has expressed an interest in assisting Nevada with this undertaking.

D3.2, assist courts and partner agencies with hardware or software necessary to exchange, share, and store date and information digitally or electronically, was accomplished with the Clark County District Attorneys' Office.

4th Judicial District – JAVS Video Recording Replacement
The hearing master for the 4th Judicial District is assigned to hear the bulk of the Court's dependency calendar. The donated and failing audio/video recording system currently used was replaced with a new audio/video recording system which provides the Court Master's Office with the industry standard in court based audio/video recording equipment. The cost of this system will be funded by 2 separate grants and Elko County.

8th Judicial District – Data Updates
The data updates project is focusing on data entry and system corrections so that court statistical reports can be obtained and shared. These data will identify those cases where adoption can move forward and ensure that the court is within the permanency timelines.

Strategy D4: Identify Court Child Welfare Case Management Systems Requirements

D4.1, D4.2, D4.3, D4.4, D4.5, developing a roadmap for electronic data exchange in the 2nd Judicial District was accomplished throughout the spring, summer, and fall of 2010 under a contract with Aaron Gorrell, Waterhole Software, Inc.

Electronic Data Exchange in the 2nd Judicial District

A 17-member committee composed of stakeholders from the 2nd Judicial District Court, the Washoe County Department of Social Services, the State of Nevada Division of Child and Family Services, and the Nevada Administrative Office of the Courts met several times as a group and individually with Mr. Gorrell. The first meetings focused on documenting current business practices from first removal of the child from the home through either reunification or termination of parental rights.

The ultimate goal of Washoe County is to share the dependency petition electronically between the agency and the Court. The analysis of the business process and technology currently in place indicates that this goal is achievable. However, given the significant adjustment and resources, it was agreed that this will require a balanced approach that leverages existing capabilities while methodically advancing Washoe County toward electronic integration. This carefully orchestrated approach seeks to achieve a number of benefits:

- Incremental Development: Integration is a complex process that must simultaneously align multiple aspects including organizational culture, business processes, and technological capabilities. The roadmap focuses on identifying intermediate steps (initiatives) that can be taken while maintaining and progressing toward the petition exchange goal. Each of these initiatives positively impacts these aspects and will gradually move Washoe County toward electronic data sharing.
- Leverage Existing Resources: Washoe County (both court and agency) and the State of Nevada have spent considerable resources on developing a number of technological capabilities. The roadmap seeks to leverage each of these capabilities by incorporating their benefits into the recommendations.
- Prioritization: Each of the initiatives will be prioritized based on identified dependencies and the technological capabilities that exist today.

The final report was reviewed and approved by the committee and the Chief Judge in the 2nd Judicial District during FY 2011. (Please see Exhibit A).

D4.6, D4.7, D4.8, D4.9, replicating the above for the 8th Judicial District, was initiated during discussions with key stakeholders in November 2010. A contract was signed with Aaron Gorrell, Waterhole Software, Inc. on May 25, 2011. The first stakeholder meetings took place in June 2011 with Clark County Department of Family Services with a core group of 18. Throughout the summer and fall meetings were held with the 8th Judicial District Court Clerks, IT, and Judicial Assistants, and the Clark County District Attorney's Office. As a result the business process was mapped (Exhibit B). All parties were surveyed to prioritize data exchanges possibilities by their ability to save time and create efficiencies, data quality including validity and accuracy, and timeliness of data entry into source system. Following an executive briefing in November 2011, Mr. Gorrell is developing a roadmap for the 8th Judicial District's data exchange project (Exhibits C and D). Following approval of this roadmap by all stakeholders, plans can be made for implementation.

The NCSC has expressed interest in working with Nevada to implement some portions of data exchange. These conversations will continue into the new fiscal year.

D4.10, D4.11, D4.12, D4.13, replicating the data exchange initiative in the rural judicial districts can only begin when the rural district courts have implemented a case management system that can support such exchange. Preliminary discussions have begun.

Strategy D5: Develop Court Child Welfare Case Management Systems Standards

D5.1, D5.2, D5.3, D5.4, Although D5.3, review national child welfare CMS functionality standards, has been completed; the implementation activities in this strategy are being abandoned due to lack of sufficient staff and resources.

Strategy D6: Implement Child Welfare Data Exchanges

D6.1, D6.2, D6.3, D6.4, all involve the actual implementation of the data exchanges discussed in Strategy D4. As explained in Strategy D4, the data exchange roadmap has been written and approved by the Data Exchange Committee, the stakeholders in Washoe County and the Chief Judge in the 2nd Judicial District. Implementation will occur incrementally as interest, staffing, and resources are available. The data exchange roadmap for the 8th Judicial District is currently being written.

Strategy D7: Implement Court Child Welfare Case Management System Standards

D7.1, D7.2, D7.3, involve implementing the court child welfare case management system standards that were to be developed in Strategy D5, which has been at this time due to lack of sufficient staff and resources.

Strategy D8: Implement Video Conferencing Capabilities in Courts for use in Child Welfare Cases

D8.1, perform business analysis and develop implementation blueprint for video conferencing capabilities, was completed in the fall of 2009. The Rural Courts Video Conferencing project is a statewide initiative to install video teleconferencing equipment in rural courts and justice partners.

D8.2, implement video conferencing capabilities in pilot jurisdictions, was completed in December 2009 in Elko, Humboldt, and White Pine Counties.

D8.3, update business analysis and implementation blueprint document, was completed by AOC IT staff in the spring of 2010.

D8.4, develop court guidelines for video conferencing capabilities for child welfare cases, was not completed. The courts using video conferencing will be asked if such a guideline would be helpful to them before proceeding.

D8.5, implement video conferencing capabilities in the remaining jurisdictions, began in the summer of 2010 with Nye, Mineral, and Pershing Counties completed December 2010. Lyon, Washoe and Douglas Counties and DCFS caseworkers involved in cases before Judge Rogers' 3rd Judicial District Court received video conferencing capability during the summer and fall 2011. Reducing caseworker travel time and, thereby, improving timeliness to permanency by allowing caseworkers to participant in hearings in Yerington, NV via video conference was part of the 3rd Judicial District's CIC Action Plan.

Strategy D9: Provide Project Management Oversight for Data Projects

D9.1, obtain a part-time project manager to oversee identified data projects, has not been accomplished. The need for a project manager will be assessed once the projects are all on-line. We used Aaron Gorrell for the 2nd and 8th Judicial Districts' data exchange projects, but did not hire him long term.

On-going Court Improvement Activities

Data grant funding is used to fund portions of the two CIP staff support positions, CIP Coordinator and Assistant. Among the CIP Coordinator activities funded are maintaining and updating the strategic data plan, and implementation of the strategic data plan in collaboration with child welfare and court stakeholders. Much of the Coordinator's time, during the latter part of the fiscal year, has been spent working with the contractor and the committee on developing the business process and roadmap for the data exchange project in Clark County.

The Coordinator has been working with justice partners to identify means and methodologies to obtain and share court measure reports. This work is on-going.

The Assistant has developed and utilizes statistical databases and spreadsheets to track a myriad of CIP implementation progress measurements on a daily basis. She also supports the Coordinator in her data development efforts.

Exhibit A

Recommendations to the CIP Committee

Electronic Data Exchange – A Roadmap

Nevada Administrative Office of the Courts

February 22, 2011

ACKNOWLEDGEMENTS

The following individuals have been actively involved in assisting in the development and review of this roadmap and plan.

Joey Orduna
Second Judicial District Court

Craig Franden
Second Judicial District Court

Rachel Anderline
Second Judicial District Court

Paul Bowen
Nevada Department of Children and Family Services

Jeffry Radecki
Nevada Department of Children and Family Services

George Patterson
Nevada Department of Children and Family Services

Kevin Schiller
Washoe County Department of Family Services

Otto Lynn
Washoe County Department of Family Services

Judith Shumway
Washoe County Department of Family Services

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Scott Sosebee
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Administrative Office of the Courts

Laura Snyder
Administrative Office of the Courts

Joyce Kiel
Administrative Office of the Courts

Aaron Gorrell
Waterhole Software, Inc.

Monika Cline
Waterhole Software, Inc.

EXECUTIVE SUMMARY

In June 2010, Waterhole Software, Inc. conducted a series of telephone and on-site meetings with stakeholders from the Nevada Administrative Office of the Courts (AOC), the Second Judicial District Court, the Washoe County Department of Social Services (DSS), and the Division of Child and Family Services (DCFS). The purpose was to evaluate the SACWIS System (Unified Nevada Information Technology for Youth or UNITY), the Court Case Management System (Contexte) and the ASFA Compliance System and determine the feasibility of electronically sharing information between these systems.

These first meetings focused on documenting current business practices starting with the first removal of the child from the home through either Reunification or Termination of Parental Rights. To accomplish this task, Waterhole Software's consultants used a combination of the Justice Information Exchange Methodology (JIEM) and Business Process Modeling Notation (BPMN) to capture and document these information exchanges. Technical specifications were developed using the National Information Exchange Model and are available upon request from the Administrative Office of the Courts.

INFORMATION DATA EXCHANGE - A PRIMER

An information data exchange describes the circumstances under which information is transferred from one organization to another without specifying the specific technical mechanism. The mechanism used to transmit this information can range from paper forms being sent through the mail, electronic mail with attached documents, or implemented as part of a Service Oriented Architecture. There are a number of benefits to developing an information exchange model including:

- A comprehensive map of inter-agency processes that describes information dependencies between organizations.
- An inventory of documents commonly exchanged between organizations and the circumstances which trigger those exchanges.
- Identification of critical issues that may be resolved through implementation of electronic data exchanges.
- Identification of critical dependencies that may impede the implementation of electronic data exchanges.

An integrated environment seeks to facilitate the electronic exchange of information directly between systems. For this project, exchanges were modeled using the JIEM and Business Process Modeling Notation.

SERVICE ORIENTED ARCHITECTURE

Service Oriented Architecture (SOA) allows agencies and the court to maintain control over not only the software they are using, but also how information is exchanged with other organizations. The underlying concept in SOA is that each organization involved in a data exchange project exposes computer systems capabilities and corresponding databases through a web service. Communications between systems is accomplished using Extensible Markup Language (XML), a programming language computers use to communicate with each other. A web service is software that acts as the middleman link between two organizations wishing to exchange information. Upon receipt of a XML message, the web service will first ensure that the message conforms to the

technical standard that each organization agreed upon. For Nevada, this standard is expected to be developed using the National Information Exchange Model (NIEM).

NATIONAL INFORMATION EXCHANGE MODEL

The National Information Exchange Model (NIEM) is part of a wide-ranging federal program that seeks to standardize how data exchanges are implemented throughout the nation. The NIEM defines thousands of XML elements that can be assembled into an Information Exchange Package Definition (IEPD) to facilitate exchange of information between disparate governmental organizations.

NIEM 2.1 is the latest version of the model and was released in October 2009. For the first time ever, the NIEM included data elements that specifically addressed the data needs of the Dependency and Neglect community. These data elements have been captured in the Child, Youth and Family Services (CYFS) domain and consist of over 100 data elements. These data elements were developed by analyzing the requirements of the seven commonly used documents in child welfare. They include:

- Dependency Petition

- Court Findings Order

- Service Plan

- Court Report

- Hearing Notification

- Placement Change Notification

- Representation Notification

In fact, the requirements development workshops for the Service Plan and Court Report were held in early September 2008 and hosted by the Nevada Court Improvement Project. Additional details about NIEM can be found at www.niem.gov.

INFORMATION EXCHANGE PACKAGE DEFINITION (IEPD)

A web service provides an end-point that organizations use to automate business workflow. A web service is organized around a specific business outcome (e.g., request and issue a dependency petition) while an IEPD is typically organized around a specific document or form (the dependency petition). The IEPD is a collection of files that together provide both the specification and documentation for software developers to use when implementing the information exchange. The IEPD defines what information is included in an exchange and how that information is organized.

Each IEPD specification includes the following artifacts:

- **Data Requirements Model (.jpg)**: The data requirements model is a visual representation of the information that is exchanged. The data requirements model is a .jpg image contained within the *Supporting Documentation* folder.
- **Mapping Spreadsheet (.xls):** The mapping spreadsheet cross-references each of the elements identified in the data requirements model with an XML element defined in the XML schema. The Excel mapping spreadsheet is contained within the *Supporting Documentation* directory within each IEPD folder.
- **XML Schema (.xsd)**: The XML schema is a technical representation of the data requirements and structures described in the data requirements model. A schema is similar to a set of construction blueprints in that they describe, in very concise ways, the rooms, dimensions and layout of a building. Each IEPD contains a number of XML schema files that reference each other and are contained within the *Schema* directory of each IEPD folder.
- **XML Instance (.xml)**: An XML instance shows how a sample document with case information would be represented using the XML Schema. Continuing with our blueprint analogy, an instance is the actual building constructed from the blueprints. The XML instance is contained in the *Sample* directory within each IEPD folder.

BUSINESS PROCESS MODELS

Business process modeling provides a graphical depiction of the workflow steps required to move a case toward disposition. The models depicted below describe the exchange of information and are used during business process analysis to aid in identifying opportunities for business process reengineering. More detailed business process models such as those accompanying the Dependency Petition IEPD will be used by software engineers during implementation. All business process models have been developed using Business Process Modeling Notation (BPMN). BPMN provides a set of graphical symbols to represent organizations, activities, and data exchanges.

CASE INITIATION

From a data exchange perspective, case initiation is often the most critical phase of the case adjudication process. Exchanges are often triggered following case creation and, in turn, trigger case creation in a receiving system such as the Court Case Management System. Additionally, key identifiers for the case and involved parties are typically shared during this stage thereby establishing cross-references between systems.   Our first model below focuses on case initiation starting with the removal of one or more children and concludes with the filing of the dependency petition with the District Court. Often referred to as the "Legal" process, it requires extensive interaction between the agency, the district attorney, and the court.

INTERPRETING THE BUSINESS PROCESS MODEL

As previously indicated, the model uses graphical elements from BPMN. There are four basic elements that make up these BPMN-based diagrams:

- **Swimlane**: Represented as a horizontal yellow rectangle, this symbol represents an organization or a particular role/system within an organization.

- **Activity**: Represented as a green rectangle, an activity is a workflow step that describes the work that is performed during a particular phase of workflow. An activity may trigger a data exchange or be triggered upon receipt of a data exchange.

- **Sequence Flow**: A sequence flow is represented by a solid blue line and indicates either the order in which activities occur or a data exchange if the flow crosses one or more swimlanes.

- **Artifact**: An artifact is captured as text on a sequence line and may reference the condition(s) for an exchange and indicate the documents that are passed as part of the exchange.
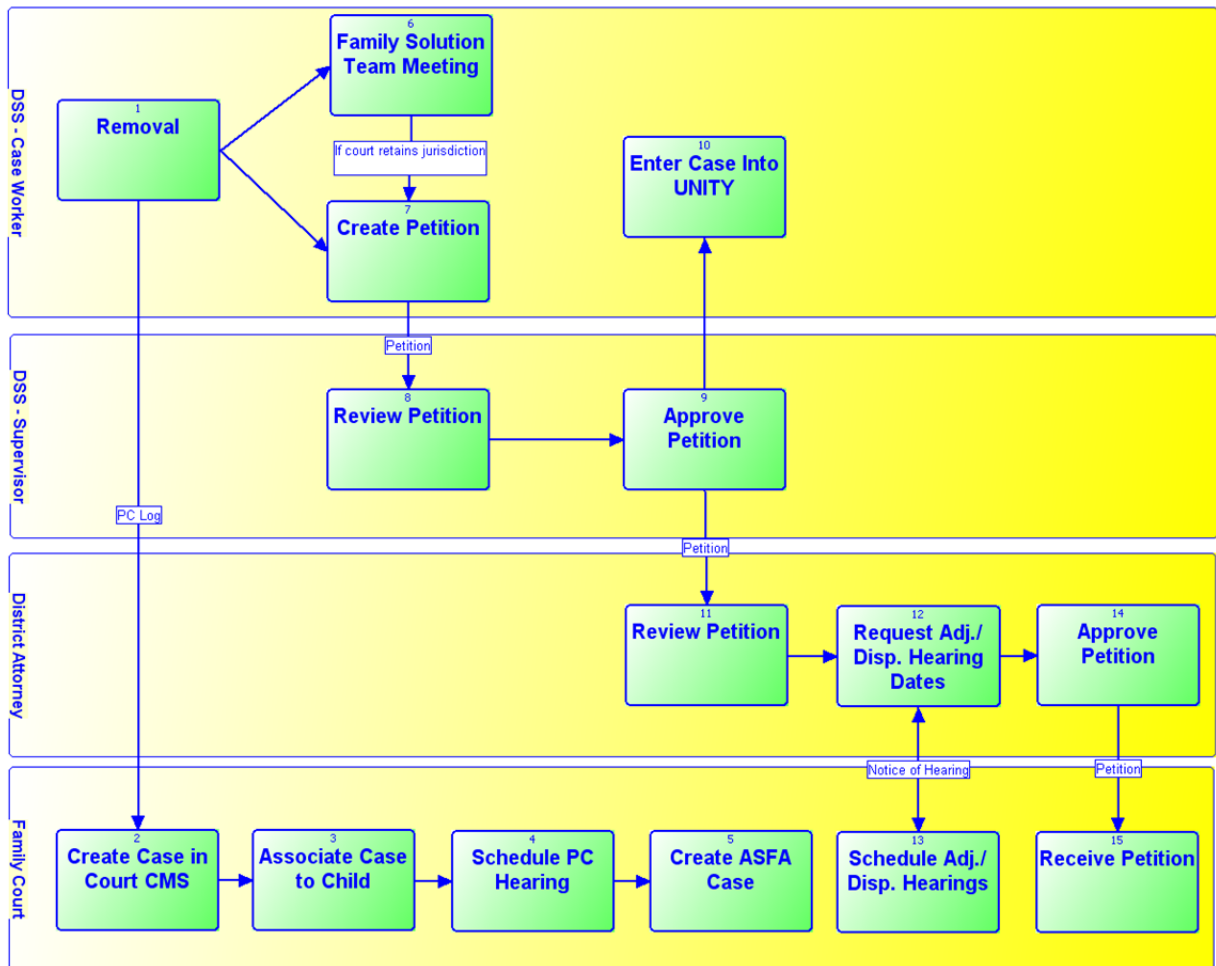
ACTIVITY DESCRIPTION

1. Removal: The removal of children from their home typically occurs after an investigation by the Washoe County Department of Social Services (DSS or agency). This investigation is typically the result of a report to a child abuse hotline or referral from a law enforcement agency. At their discretion, the case worker may attempt to resolve the issue through Family Solutions Team (FST) meetings. This is an extra-legal process that if successful will prevent the case from being formally filed with the district court. However, if allegations are serious enough or if the family is not willing to cooperate in the FST process, the agency

will request that the court schedule a protective custody (PC) hearing. The hearing is requested by transmitting the Protective Custody Log (PC Log) to the court. The PC Log is an Excel spreadsheet that is prepared and appended to throughout the day as agency cases are created.

2. Create Case in CMS: Upon receipt of the PC Log, Family Court Clerks create a new case and indicate the case parties by either associating them with existing people already in Contexte or by building a new person. An associated person is identified based primarily on their name and date of birth. While this method works the majority of the time, sometimes during the removal the case worker will receive inaccurate information. Discrepancies like this are typically resolved during the protective custody hearing and are corrected by the court clerks.

3. Associate Case to Child: A court case will involve one or more children and during this activity, the clerk associates the case to the corresponding child or children.

4. Schedule PC Hearing: The court clerk works with the case worker to schedule a PC Hearing within 72 hours of removal.

5. Create ASFA Case: The ASFA (Adoption and Safe Families Act) Compliance System was created approximately 10 years ago by the Second Judicial District Court to provide a means to capture, measure and enforce case timeliness requirements. Beginning with the removal date, ASFA includes a feature that allows clerks to identify date ranges that fall within case timelines stipulated by the Act. ASFA is written in Java and shares a common database with Contexte. Although new case information is automatically copied to ASFA nightly, the removal date of the child (key to ASFA timeframes) is entered by the clerk from the PC Log.

6. Family Solution Team Meeting: The FST meeting was developed in response to a desire to work with family members to resolve dependency and neglect cases without formally involving the District Court. The FST may occur any time up to the filing of a Dependency Petition. If the situation is resolved during the FST, a Petition is not filed with the Court.

7. Create Petition: If the agency decides to proceed with formal proceedings, the case worker, their supervisor and appointed counsel from the District Attorney's office will jointly develop the Dependency Petition. It is initially developed using Microsoft Word and is typically shared between the petitioners through email.

8. Review Petition: The DSS supervisor is responsible for reviewing the petition.

9. DSS Supervisor, Approves Petition: Upon approval, the DSS supervisor submits the Dependency Petition to the appointed counsel from the District Attorney's office.

10. Enter Case Into UNITY: Upon approval by the District Attorney's office, a Washoe County DSS clerk enters details of the petition into UNITY.

11. District Attorney, Reviews Petition: The assigned attorney typically receives the petition through email. They will review the petition and then request adjudication and disposition hearing dates from the court clerk (see #12 below).

12. Request Adjudicatory/Disposition Hearing Dates: The District Attorney requests an adjudicatory hearing date and a dispositional hearing date from the Court and includes these dates on the petition filing.

13. Schedule Adjudication/Disposition Hearing Dates: The clerk assigns the adjudicatory/disposition hearing dates using Contexte. The adjudicatory hearing must be set within 30 days of receipt of the initial filing. The disposition hearing must occur within 15 days of the adjudication hearing.

14. District Attorney, Approves Petition: The DA approves the petition and submits a printed and signed copy to the District Court. The petition must be received by the Court within 10 days of the PC Hearing.

15. Receive Petition: The clerk date/time stamps the petition and documents the date/time received in Contexte.

CASE DISPOSITION
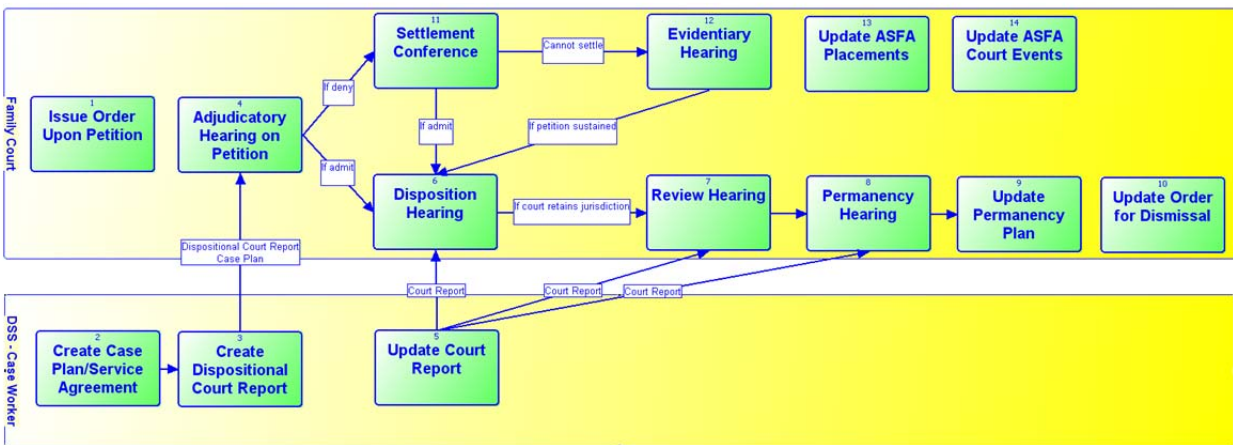
ACTIVITIES

1. Issue Order Upon Petition: An Order Upon Petition, much like a Summons, containing the date and time of both the adjudication and disposition hearing is filed with the Petition and a copy of the documents are provided to the parties of the case. The Petition and Order upon Petition are personally served upon the parent(s) / guardian(s). If parent/guardian is unknown, then notice of the hearing is advertised for three consecutive weeks. The notice date is captured in Contexte as a docketed event.

2. Create Case Plan/Service Agreement: A Case Plan and a Service Agreement is prepared by the agency within 60 days of the child's removal date.

3. Create Dispositional Court Report: The Dispositional Court Report and Case Plan are presented to the court and are reviewed by the assigned judge, attorney's and other interested parties at the start of the dispositional hearing.

4. Adjudicatory Hearing on Petition: The adjudicatory hearing must be held within 30 days of the filing of the Dependency Petition. During this hearing, the Court will either sustain or dismiss each of the allegations against the parents. If the parent(s) are found to be indigent and counsel is not appointed during the Probable Cause hearing, they may be appointed at this time. A docket entry is made by the court clerk indicating the following information: date/time of hearing, docket code, Case ID, docket text, clerk name, presiding judge, room number and location, and all participating parties with their relationship to the case.

5. Update Court Report: Prior to each subsequent hearing, the agency updates the Court Report to reflect progress the parent(s) or the child has made toward goals established within the Service Plan.

6. Disposition Hearing: A disposition hearing is held when the Court sustains one or more allegations. This hearing may immediately follow the adjudicatory hearing or may be addressed on a later date. Finally, the Court will establish whether the agency has made reasonable efforts, and determine the future custody of the child. If they are returned to their home, the Court may indicate conditions of the return. If the child remains placed outside of the home, the judge may order services for the parent and indicate mandatory support payments to the custodian. Finally, during the disposition hearing the Court can consider guardianship applications.

7. Review Hearing: If the Court retains jurisdiction over the child, a review hearing or permanency hearing must be held every 6 months from the removal date. The agency must submit an updated Court Report to reflect progress of the involved parties.

8. Permanency Hearing: A permanency hearing must be held 12 months after the child's removal date. During this hearing, the Court must identify a Permanency Plan.

9. Update Permanency Plan: The agency is responsible for updating the Permanency Plan. As per the guidelines, "Parents have 12 months to reunify, and if the plan remains reunification after 12 months, there must be compelling reasons to remain on that path."[1]

10. Update Order for Dismissal: This order is generally prepared by either the agency or the agency's assigned counsel in the District Attorney's office. If Washoe County DSS custody is terminated, the order will reflect the close date and reasons.

11. Settlement Conference: If the parent(s) deny the allegations indicated on the Dependency Petition, the previously scheduled disposition hearing will be cancelled and a settlement conference scheduled. During this conference, the judge will mediate a discussion with all parties, which could result in an amended petition. This settlement conference may roll into a disposition hearing.

12. Evidentiary Hearing: Facts surrounding the case will be presented by the District Attorney and Defense Attorney(s) during this hearing. At the conclusion, the judge will either sustain or reject the petition. If allegations are sustained, a disposition hearing will be scheduled.

13. Update ASFA Placements: At the conclusion of each hearing, the Family Court Clerk manually updates the ASFA System to reflect any changes in placement. This information is updated based on information contained in the agency Court Report.

14. Update ASFA Court Events: The ASFA Compliance System collects information for each child involved in the case. Following a hearing, the clerk will capture the event type, filing date, event code and description, the docket and disposition codes with a description, rescheduled or continued reason, and Court Findings by selecting one or more pre-determined statements, and any compelling reasons presented to the Court.

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[1] (Nevada Second Judicial District Court, 2008)

WASHOE COUNTY ROADMAP

As discussed during the introduction, the ultimate goal of Washoe County is to share the Dependency Petition electronically between the agency and the Court. Our analysis of the business process and technology currently in place indicates that this goal is achievable. However, given the significant adjustment and resources this will require, we recommend a balanced approach that leverages existing capabilities while methodically advancing Washoe County toward electronic integration. This carefully orchestrated approach seeks to achieve a number of benefits:

- Incremental Development: Integration is a complex process that must simultaneously align multiple aspects including organizational culture, business processes, and technological capabilities. This roadmap focuses on identifying intermediate steps (initiatives) that can be taken while maintaining and progressing toward the petition exchange goal. Each of these initiatives positively impacts these aspects and will gradually migrate Washoe County toward electronic data sharing.

- Leverage Existing Resources: Washoe County and the State of Nevada have spent considerable resources on developing a number of technological capabilities. This roadmap seeks to leverage many of these capabilities by incorporating their benefits into the recommendations.

- Prioritization: Each of the initiatives is prioritized based on identified dependencies and the technological capabilities that exist today. They are presented below in this prioritized order.

DATA QUALITY

Data quality is typically cited as being the single greatest barrier to successfully implementing data exchange. When one or more systems contain questionable data and that information is shared with another system, it acts as a pollutant by likewise lowering the data quality in these connected systems. Good data quality provides a solid foundation for electronic data exchange. One key to providing high-quality data is to determine data stewardship and identify rules around use and modification of data.

DATA STEWARDSHIP

In the stove-piped systems typically found in many public organizations, the same information is often stored multiple times across many different databases and systems. Generally, the originator of information provides the best source. Data trace analysis allows us to identify this original source of data. For example, the agency is responsible for the Removal Date because it is created as the result of the removal process initiated by the agency. Likewise, hearing information including the parties in attendance and the next hearing date is maintained by the Second Judicial District Court because entry of that information by Court Clerks caused the information to come into existence.

Moreover, business rules may determine that in order to maintain concurrency across all systems, only the data element steward should be allowed to make modifications to the data. An example of this type of business rule

can already be found in practice in Washoe County. The ASFA Compliance System has been designed so that once a Removal Date has been entered (from the Court Report); it can only be modified through extraordinary measures.

During this phase, key data elements are identified and traced to their 'owning' organization. Additionally, business rules regarding sharing and modification of these data elements are captured and created based on identified business needs. These changes may also result in a series of recommended modifications to either data exchange specifications or to existing systems.

PERSON IDENTITY AND CASE LINKAGE

Data linkage establishes how case parties captured in one system (i.e., Contexte) are related to case parties captured in another system (i.e., UNITY). Currently, this link is created manually by the Court Clerk who will associate a case to a person based primarily on their name and date of birth. This linkage is dependent on information that may be incorrect – something which is often not discovered until the protective custody hearing or adjudicatory hearing. The clerk must then contact the technical support group to merge these duplicate identities back into a single identity. This phase of analysis focuses on identifying the best process for establishing and electronically sharing these linkages. A comprehensive business process must allow for correction of linkage in either the Court or the agency systems and allow for the sharing of that updated information.

DATA QUALITY ANALYSIS

During this initiative, information between the two systems will be compared to identify variances in the information stored in these systems. Where possible, recommendations will be developed for changes to information systems that will result in improved data quality without requiring significant additional commitment by either the case worker or court clerk. Additionally, processes will be developed to correct differences in historical case data.

PRIVACY

Privacy is an important and often overlooked component in an information exchange effort. Nationally, a number of technologically successful data exchange efforts have been delayed or cancelled because jurisdictions failed to consider privacy implications. Cases involving dependency and neglect are especially vulnerable to this issue because of the volume of sensitive information contained within these systems.

A comprehensive privacy policy must consider a number of different factors in determining when and if information can be shared. These factors include:

- Who is requesting the data?

- What is the status of the case?

- What are the obligations of the requestor?

- What information is being shared?

Privacy requirements must be considered from the beginning and reevaluated throughout the project. During this foundational phase, we will focus on establishing governance around privacy and developing privacy policy statements that are detailed enough to be enforceable. Later during implementation, privacy policy will likely be implemented through the use of privacy policy servers that implement and enforce the policies developed by the team

CASE DASHBOARD

A case dashboard provides near real-time aggregate and case-level information. This system provides the means to combine information from UNITY with information from Contexte and present the user with a consolidated view from both systems. Technically, this information exchange could be enabled through nightly batch transfers of data extracted from each system. Information would be captured in a SQL Server database and presented to authorized users through a web-based application.

It is anticipated that implementation of a case dashboard will result in a significant improvement in data quality. First, it provides an opportunity to compare information contained in the agency and Court systems to identify variances. Secondly, a case dashboard will increase the visibility of information stored within these two systems. Consequently, feedback from users will help identify data issues.

AGGREGATE CASE DASHBOARD

In 2008, an initiative lead by the American Bar Association developed a series of Court Performance Measures for Child Abuse and Neglect Cases. This series of outcome measures provides a starting point for jurisdictions wishing to evaluate dependency cases across four general areas[2]:

- Safety: These two measures evaluate the safety of the child while under Court jurisdiction. It considers situations where additional dependency and neglect investigations are substantiated while the child is in placement.

- Permanency: These five measures are closely related to the timeliness measures and consider the effectiveness of placements.

- Due Process: These ten measures evaluate the effectiveness of the Court in impartially and thoroughly adjudicating a case.

- Timeliness: These 13 measures evaluate how quickly a case moves from the initial removal of a child to achievement of permanency.

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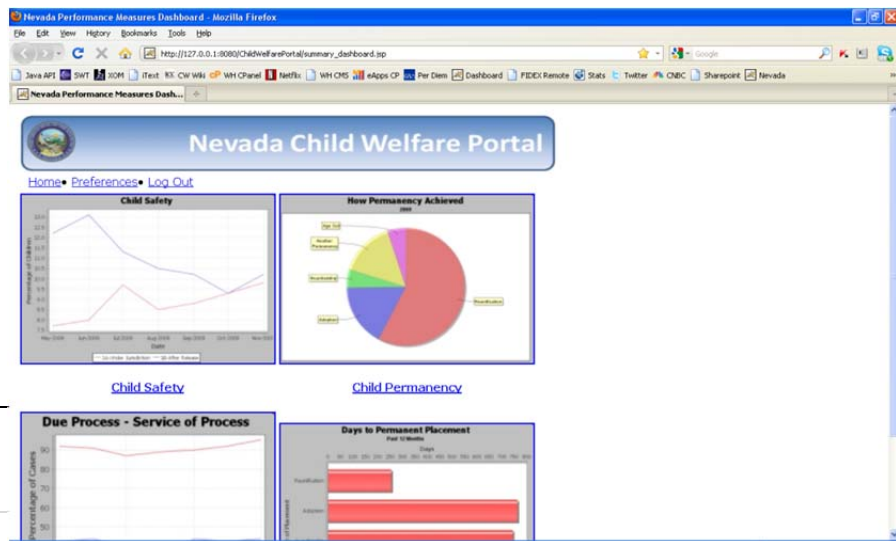
[2] (OJJDP, 2008)

The key outcome measures should provide initial guidance toward the measures Washoe County may find informative. In addition, Washoe County should consider how to measure issues that are particular to their jurisdiction. Results from the annual Child and Family Services Review meetings and plans established in the Program Improvement Plan may provide suggestions on the types of measure important to County stakeholders.

CASE LEVEL DASHBOARD

A case-level dashboard provides a consolidated view of a case based on information from the agency and Court case management systems. This case information will be provided through an intranet-based application to those with appropriate authorization and will be designed to provide key information to case parties regarding historical information and planned court hearings.

A key component of the case level dashboard is the ability to 'drill-down' from aggregate measures described

![Nevada Child Welfare Portal case summary dashboard screenshot]

previously into the specific cases that make up the aggregate figures. In other words, this comprehensive system will allow an authorized user to begin with the 'big picture' and successively drill down through layers of detail until they reach case-level information. Reviewing the facts surrounding a case such as hearing dates and extenuating circumstances can assist stakeholders in proactively identifying potential timeliness issues in specific court cases.

ASFA COMPLIANCE SYSTEM REPLACEMENT

The Second Judicial District Court ASFA Compliance System provides critical information to judicial personnel and ensures compliance to timeliness guidelines. Although a portion of initial case information is exported to the ASFA System from Contexte, juvenile court clerks spend a significant amount of time updating the system with filing dates, dispositions, hearing dates, court findings, and placement information. In fact, estimates are that over 700

hours per year are spent maintaining current case information. Furthermore, the ASFA System is tightly coupled to Contexte leaving it highly vulnerable to Contexte system modifications. As confidence grows in the quality and reliability of information maintained on the case dashboard, Washoe County may consider gradually retiring the ASFA System. Certainly, prior to taking this step, a careful analysis will need to be conducted to ensure that capabilities are not lost once the county completes migration. Furthermore, as these benefits are realized, the case dashboard system may provide other Nevada Counties an essential foundation toward helping them meet timeliness goals.

ELECTRONIC DATA EXCHANGE

The initiatives discussed so far focus on providing the benefits of information exchange through the use of nightly data extracts from databases. Although this process is reliable and well proven, the ultimate goal of this effort is to begin real-time data exchange between systems.

PROTECTIVE CUSTODY LOG

As discussed previously, when a child is removed from the home the agency uses the PC Log to notify the court and request a Protective Custody hearing.

No.	UNITY #	Interpreter needed	Removal Date	Rel. Place.	Cont. From	Name of Parent's First Name Last Name	Parent's D.O.B.	Name of Child First Name Last Name	D.O.B.	Allegation	Worker	ICWA? If yes, what tribe?	LEA	Jail?	Prior Legal? If yes, Court Case #	Were drugs a contributing factor in the placement of the children?
1	1515059	NO	09/20/10	NO	N/A	SALLY SMITH JOHN SMITH	12/01/81 UNAVAIL	LITTLE SMITH	05/27/98	CN	JLK	NO	NO	NO	NO	DRUGS
2	1515123	NO	09/20/10	YES	N/A	JANE DOE JOHN DOE	09/28/86 12/03/86	LITTLE DOE	02/09/06	CA	JBA	NO	RPD	DAD	NO	DRUGS
3	1515078	NO	09/20/10	YES	N/A	MICHELLE RINGER JOHN RINGER	03/30/88 08/06/83	LITTLE RINGER 1 LITTLE RINGER 2 LITTLE RINGER 3	07/16/05 01/22/07 03/16/09	CN	JBL	NO	WCSO	MOM DAD	NO	DRUGS
4	1515169	NO	09/20/10	YES	N/A	SALLY JOHNSON DAVID JOHNSON JESS PURPLE	07/20/70 03/22/81 12/03/86	LITTLE JOHNSON 1 LITTLE JOHNSON 2 LITTLE PURPLE 1	07/11/99 05/30/03 04/01/09	CN & CA	JCM	NO	RPD	BOY-FRIEND	NO	DRUGS

The PC Log contains crucial information that the clerks use to create cases, link to existing identities within Contexte, and schedule a court hearing. This information is manually added and in fact, duplicates information already stored within UNITY. At the very least, this duplication of information creates unnecessary work for the agency clerical staff. At worst, these types of duplicate processes can result in lower data quality and situations where the case management system is updated only as an afterthought. This initiative seeks to eliminate these parallel, duplicate processes, reduce the amount of time that the agency spends preparing the PC Log and standardize the case initiation process across civil, criminal and family cases. We recommend a phased approach that leverages existing organizational capabilities such as the Tybera E-Filing System.

PHASE I – E-FILE PROTECTIVE CUSTODY HEARING REQUEST

This first phase focuses on aligning the dependency and neglect case initiation process with the Second Judicial District Court civil case initiation process. The diagram below describes how current business practices might be adjusted to leverage e-filing systems that are already in place.
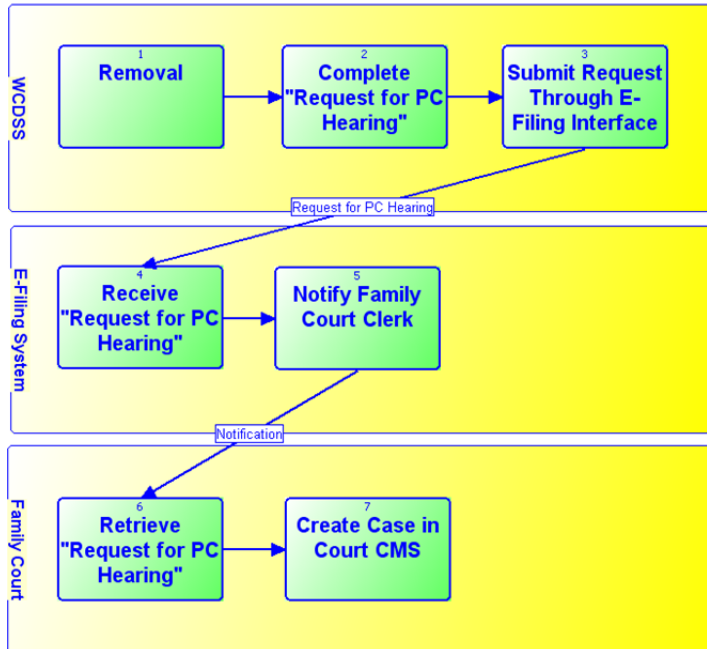
1. Removal: This event marks the initiation of most dependency and neglect cases where a child is removed from the custody of their home.

2. Complete "Request for PC Hearing": This new form would capture the same information currently being documented in the PC Log Excel spreadsheet but for a single case.

3. Submit Request Through E-Filing Interface: Using the existing Tybera web-based form, agency or district attorney staff would electronically submit the "Request for PC Hearing" form to the Court. Note that transmissions using this web-based form are encrypted and provide a much greater level of security than the current e-mail based filing process.

4. Receive "Request for PC Hearing": Once the form has been uploaded using the Tybera web-based form, the system applies a timestamp and sends an acknowledgement to the agency that the document has been received.

5. Notify Family Court Clerk: Once the Tybera receives the document, business rules configured within the system serve to automatically notify Family Court Clerks that a new document has been received.

6. Retrieve "Request for PC Hearing": Court Clerks access the Tybera system to retrieve the PC Log document image. Note that submitting these requests on a per case basis should benefit the clerk by allowing them to create a new court case throughout the day rather than receiving multiple cases simultaneously.

PHASE II – GENERATE "REQUEST FOR PC HEARING" DOCUMENT

Although it provides a streamlined approach for initiating court cases, Phase I does not eliminate the parallel and duplicate process involved in creating the Request for PC Hearing. This phase focuses on enhancing and streamlining the process by allowing the case worker to *generate* the form directly from UNITY. From a business perspective, this ensures that the case information entered into UNITY is consistent with the case information transmitted to the Court. Additionally, generating the form should reduce the workload of the agency clerical staff. This generated form would then be submitted to the court following the same process introduced in Phase I.

PHASE III – SYSTEM TO SYSTEM EXCHANGE

Phase III represents true electronic data exchange. Once critical case information has been entered into UNITY, agency staff would electronically submit the request form directly to Tybera. An electronic message would transmit the message header and document image directly from UNITY to Tybera. From there, Tybera would

instruct Contexte to create a new 'candidate' court case and attempt to automatically associate case parties. Prior to actually incorporating these cases into Contexte, the court clerk would review the candidate case and approve it for creation.

To implement this phase, a number of technical modifications will need to occur within UNITY, Tybera, and Contexte. These technical modifications will be identified during requirements definition for this phase. This analysis would also seek to identify risks and strategies for mitigating these risks as well as calculate a realistic return on investment.

COURT MINUTES

Court minutes are entered into Contexte during and immediately following a court hearing. Minutes include the case parties in attendance, court disposition and findings, and the next court date. Agency clerical staff reenters this hearing information into UNITY and becomes part of the case history. This information is critical not only for day-to-day operational reasons, but also for calculation of dependency and neglect outcome measures. Implementation of electronic information exchange would involve transmitting court minutes directly from Contexte to UNITY to update the case history. Implementation will require modifications to both Contexte and UNITY.

DEPENDENCY PETITION

As with the filing of the Protective Custody Log, we recommend that the Dependency Petition leverage the existing Tybera E-Filing interface into the Court Case Management System. During this implementation, significant benefits will be realized by eliminating the parallel and separate processes of initially creating the petition using Microsoft Word, sharing it through unsecured e-mail and later re-entering the petition details into UNITY. We recommend implementation in two phases.

PHASE I: UNITY IMPLEMENTATION

Phase I focuses on modifying the existing business process by eliminating the separate, manual petition development process. The case worker would enter the petition directly into UNITY and provide a mechanism to allow the supervisor and assigned district attorney to review and modify the petition. Further analysis is required to determine the full scope of changes that will be required to facilitate this process. Once complete, agency clerical staff will export the electronically signed petition as a PDF document and file it through the Tybera interface. Additional research must be conducted to determine the legal status of electronic signatures in Nevada.

PHASE II: E-FILING IMPLEMENTATION

Tybera is capable of accepting documents through its web-based portal or electronically using Extensible Markup Language (XML). Phase II focuses on removing the need for the agency to manually file the electronic petition through the Tybera web-form. Tybera includes an electronic interface that allows external organizations to file documents directly from system to system.

GLOSSARY OF TERMS

ASFA System: A system developed by the Second Judicial District Court to maintain ASFA compliance.

Business Process Modeling Notation (BPMN): A standardized way of graphically representing business process within or between organizations.

Contexte: Case management system used by the Nevada Second Judicial District (Washoe County) Court.

Family Services Domain: The Family Services domain is part of the National Information Exchange Model and focuses on the business terms and issues specific to: dependency and neglect, juvenile delinquency and child support.

Information Exchange Package Definition (IEPD): An IEPD is a technical specification based on the National Information Exchange Model that software programmers use to implement data exchanges between systems.

National Information Exchange Model (NIEM):   The NIEM is a national standard that provides technical specifications to facilitate electronic communications between computer systems.   It is a joint effort of the Department of Homeland Security, Department of Justice, and Department of Health and Human Services. The NIEM includes a central repository of terms common to all problem domains. It also includes a number of additional domain-specific dictionaries that focus on defining terms particular to those business areas.

Protective Custody Log (P.C. Log): A Microsoft Excel spreadsheet that is sent via email from the agency to the court on a daily basis. The P.C. Log identifies new agency cases where a child has been removed from their home and placed in temporary custody of a foster family.
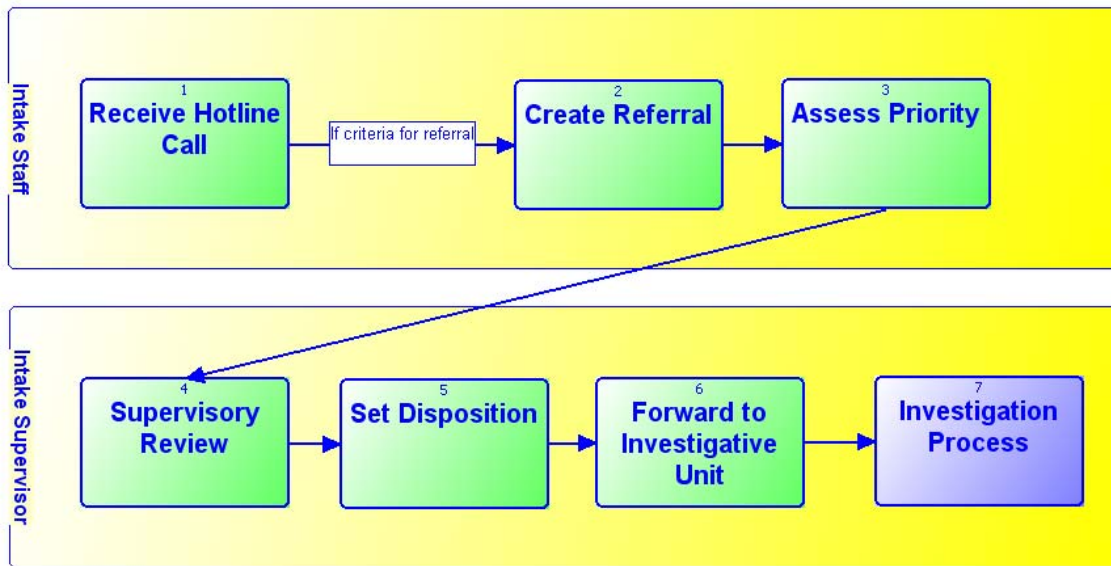
UNITY: Case management system used by the Nevada Department of Family and Child Services and Washoe County Department of Social Services.

Exhibit B

1   CASE INITIATION BUSINESS PROCESS

The section below describes how a call to the Department of Family Services (DFS) is transformed into a referral and possibly an investigation.

1.1   PROCESS MODEL

1.2   ACTIVITIES

1.2.1   RECEIVE HOTLINE CALL

Calls received on the DFS hotline are processed in the order they were received. The hotline is the primary reporting mechanism for citizens as well as professionals such as law enforcement, medical and educational personnel. Information about the call is captured within the UNITY referral screen. This screen is formatted as a template and prompts the call taker to ask a series of questions where they enter the caller responses.

During this process, the call taker attempts to determine whether the family has been associated to previous DFS investigations by querying UNITY based on either the mother's or children's name. They will use this prior history to gain a better understanding of the family's history of abuse and neglect.

1.2.2   CREATE REFERRAL

1

Since October 2008, the call taker captures allegations using the Nevada Allegation System. This system is a highly structured method of documenting specific charges of abuse and neglect. This system breaks allegations down into numerous definitions and factors. Upon completion, a referral number will be assigned to this incident.

If a certain number of factors are identified, the call then meets the minimum criteria for a referral.

1.2.3 ASSESS PRIORITY

Once the referral is entered, the call taker will assign the call a priority from one (highest) to three (lowest). The highest priority calls will trigger an email and a call to the investigative supervisor.

1.2.4 SUPERVISORY REVIEW

Once submitted, the referral will electronically enter a supervisorial work queue within UNITY. The supervisor then reviews the referral to ensure that sufficient facts and evidence are documented. The supervisor is responsible for linking the referral to a UNITY case number. If the family has prior history with DFS, than the same case number will be applied to the new referral. If there is no prior history with DFS, then a new case number will be applied.

1.2.5 SET DISPOSITION

Based on the facts captured in the referral, the supervisor determines whether the case should be investigated further.

1.2.6 FORWARD TO INVESTIGATIVE UNIT

The assigned investigative unit is initially determined first based on special situations (i.e., sexual abuse) and then by postal code.

1.2.7 INVESTIGATION PROCESS

The Investigation Process is described in greater detail in Section Two below.

2 INVESTIGATION PROCESS MODEL

During the investigative process, the case worker will meet with the family and assess the safety and risk of the child(ren) in the family. This assessment is accomplished by completing a variety of scoring documents. There may be one of three outcomes: 1) There is not sufficient evidence of abuse or neglect; 2) There is evidence of abuse and neglect but the risk level is low enough to qualify for a safety plan and; 3) There is evidence of abuse and neglect and the safety of the child is at immediate risk.

2.1 PROCESS MODEL

2
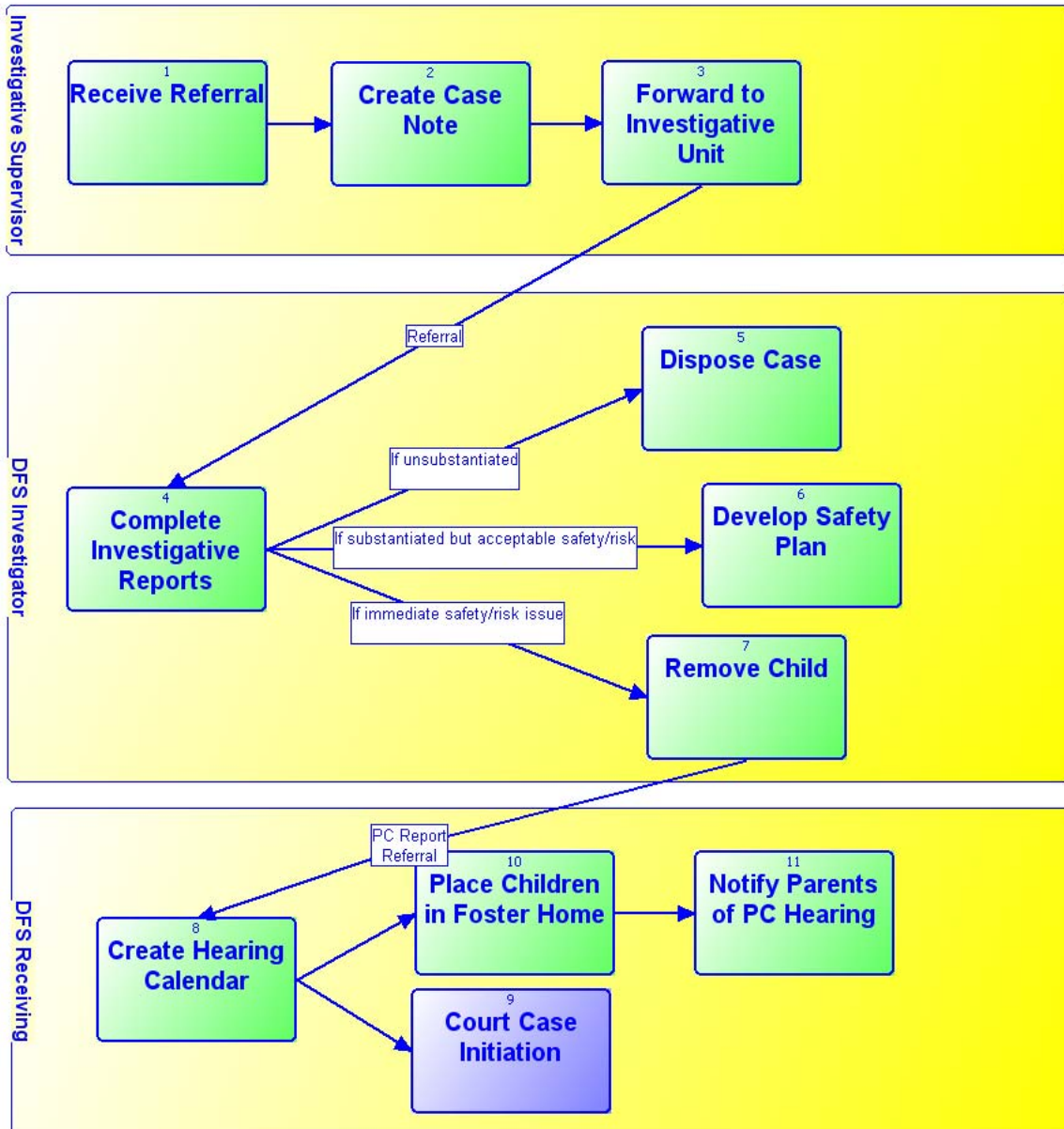
2.2 ACTIVITIES

2.2.1 RECEIVE REFERRAL

The investigative unit receives the referral electronically through a UNITY work queue.

2.2.2 CREATE CASE NOTE

The supervisor creates a case note capturing their thoughts on the case.

3

2.2.3   FORWARD TO INVESTIGATIVE UNIT

The assigned investigative unit is initially determined first based on special situations (i.e., sexual abuse) and then by postal code. Assignment is accomplished through the case assignment screen in UNITY.

2.2.4   COMPLETE INVESTIGATIVE REPORTS

During and following their investigation, the investigative caseworker competes a number of assessments. These forms include:

- Safety/Risk Assessment: Paper form which is later entered into UNITY
- Nevada Initial Assessment: UNITY template
- ICWA Form: Paper form and a case note is made into UNITY
- Well-Being Form: Paper form that goes to receiving

2.2.5   DISPOSE CASE

If the investigator determines that there is not sufficient factual evidence to justify further involvement, then the case is disposed within UNITY.

2.2.6   DEVELOP SAFETY PLAN

If the investigator determines that there are indications of abuse and/or neglect, but that the child(ren) are not at immediate risk then they may choose to convene a Child Family Team Meeting (CFT) and implement a safety plan.

2.2.7   REMOVE CHILD

If the investigator finds that indications of abuse and neglect and that the children are at immediate risk, then the child will detained. The following forms are completed by the case worker.

- Protective Custody Report: This document captures the characteristics of the family and the allegations made against the family.
- TANF Application for Benefits
- Social Summary (29 pages with full information about child and family)

2.2.8   CREATE HEARING CALENDAR

The hearing calendar is prepared by DFS Receiving and lists the hearing date and time for children that are in detention. Additionally, their name, dates of birth and Odyssey case number are included on the calendar. The calendar is emailed to a distribution list that include the calendaring clerk, court clerk, judicial assistant and District Attorney's office.

2.2.9   COURT CASE INITIATION

Additional details about the initiation of a court case can be found below in Section 3

4

2.2.10 PLACE CHILDREN IN FOSTER HOME

Detained children are either placed with relatives or in a foster home. The receiving team uses a database of eligible foster homes that is constantly maintained to indicate current bed availability, and any special conditions (i.e., no children under 2 years old). The receiving team makes every effort to place sibling groups together. If this is not possible, they will capture their efforts through an Efforts Log which may be requested by the court. The Efforts Log is a templated document within UNITY.

2.2.11 NOTIFY PARENTS OF PC HEARING

The receiving team creates the notification to the parents of the PC Hearing within UNITY. The notification is sent to the parents via certified mail. The UNITY entry indicates who prepared the document, when it was sent, the reason for sending the document and a copy of the notification. The return receipt is sent back to the case worker who places it in the case file.

2.3   EXCHANGE DOCUMENTS

2.3.1   REFERRAL

The referral captures information about the case that has been reported to the hotline. Allegations identified in the referral are based on the Allegation Reporting System.

2.3.2   PC REPORT

The protective custody report captures key information about the case participants and the allegations against the alleged perpetrators. It is created through UNITY templates and exported to Microsoft Word for distribution to the District Attorney, Court Clerks and the Judicial Assistant.   A sample of the first page of this document is is provided below:

5

Figure 1 - PC Report

3   PREPARE FOR PC HEARING PROCESS MODEL

Receipt of the PC Report, referral and hearing calendar triggers activity across the enterprise. The District Attorney's office initiates a search for the current location of the parents and researches the history of the perpetrators. Upon receipt of the documents, the Calendaring Clerk check to determine whether they need to link the PC Hearing to an existing case or a new case.

3.1   PROCESS MODEL

6
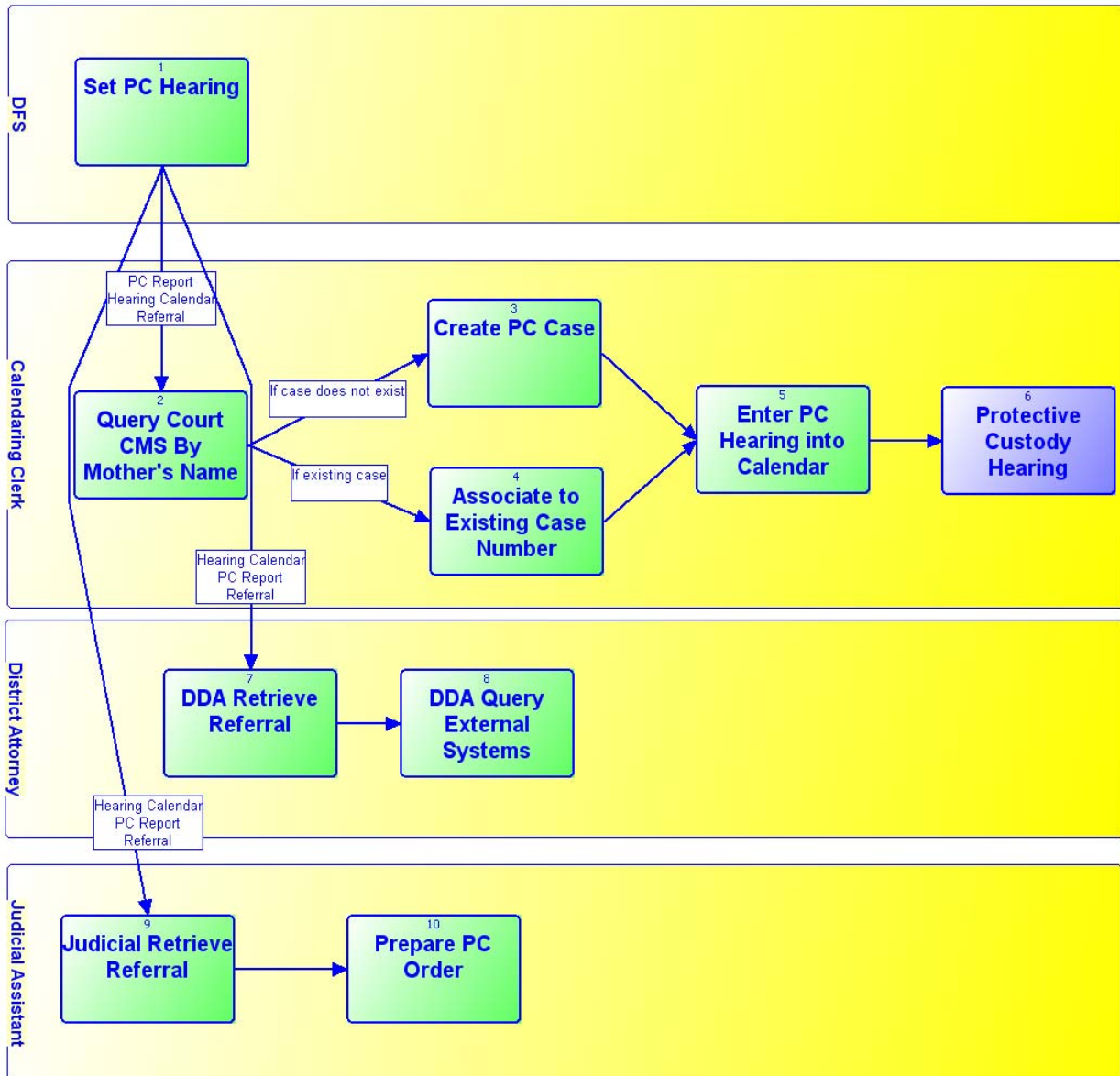
3.2 ACTIVITIES

3.2.1 SET PC HEARING

By default, DFS sets the Protective Custody hearing for 3 days after the child has been removed from the home. A case worker will occasionally request the hearing for less than three days, however 6:00 AM is the cutoff for the current day's PC Hearing.

7

3.2.2   QUERY COURT CMS BY MOTHER'S NAME

The calendaring clerk queries Odyssey using the mother's last name and date of birth indicated on the Hearing Calendar.

3.2.3   CREATE PC CASE

If the mother does not have an existing case, a new 'J' case number is created with a PC suffix. The PC suffix indicates that the case status is pre- Protective Custody. At the conclusion of the PC Hearing, this case will remain open and will be reused for any future allegations of abuse.

When creating a new case, all participants, their corresponding residential address and dates of birth should be captured within Odyssey.

3.2.4   ASSOCIATE TO EXISTING CASE NUMBER

If the mother has a prior history with the Clark County Family Court, the clerk will retrieve the J number with a PC suffix.

3.2.5   ENTER PC HEARING INTO CALENDAR

A PC Hearing is scheduled onto the calendar of the assigned Judicial Officer using the corresponding date and time indicated on the Hearing Calendar.

3.2.6   PROTECTIVE CUSTODY HEARING

See additional details about the PC Hearing in Section 4 below.

3.2.7   DDA RETRIEVE REFERRAL

The referral and PC report are sent to a common email account for Deputy District Attorneys. It will be assigned to the appropriate unit based either the case type (i.e., sexual abuse) or the zip code of the mother. The case is then assigned to the attorney assigned to the unit.

3.2.8   DDA QUERY EXTERNAL SYSTEMS

The assigned Deputy District Attorney queries multiple external systems to gather more information about prior DFS and criminal history as well as to determine the whereabouts of the parents. External systems include the criminal history system, the Las Vegas Metropolitan law enforcement records management systems and multiple jail management systems.

3.2.9   JUDICIAL RETRIEVE REFERRAL

8

The Judicial Assistant receives the referrals and PC report assigned to their Judicial Officer. Paper copies of the report and referral are received later by the court.

3.2.10 PREPARE PC ORDER

ADDITIONAL DETAIL NEEDED HERE

3.3   EXCHANGE DOCUMENTS

3.3.1   HEARING CALENDAR

The hearing calendar indicates the children and caretakers and corresponding allegations in the case. An example of the hearing calendar is below.

Figure 2 - Hearing Calendar

3.3.2   PC REPORT

The PC Report is prepared by the investigative case worker and establishes the allegations and factual evidence surrounding the case.

3.3.3   REFERRAL

The referral captures information about the case that has been reported to the hotline. Allegations identified in the referral are based on the Allegation Reporting System.

9

4 PROTECTIVE CUSTODY HEARING PROCESS MODEL

During the PC Hearing, the judge or hearing master will determine whether detention of the child(ren) was appropriate and to identify whether DFS made reasonable efforts to keep the child(ren) with the parents. Bench cards will be used to help judges/hearing masters ask the appropriate questions to evaluate reasonable efforts.

Occasionally, the judge/hearing master will order a PC Review Hearing if they believe the case might be resolved without further involvement of the court.

4.1 PROCESS MODEL

10
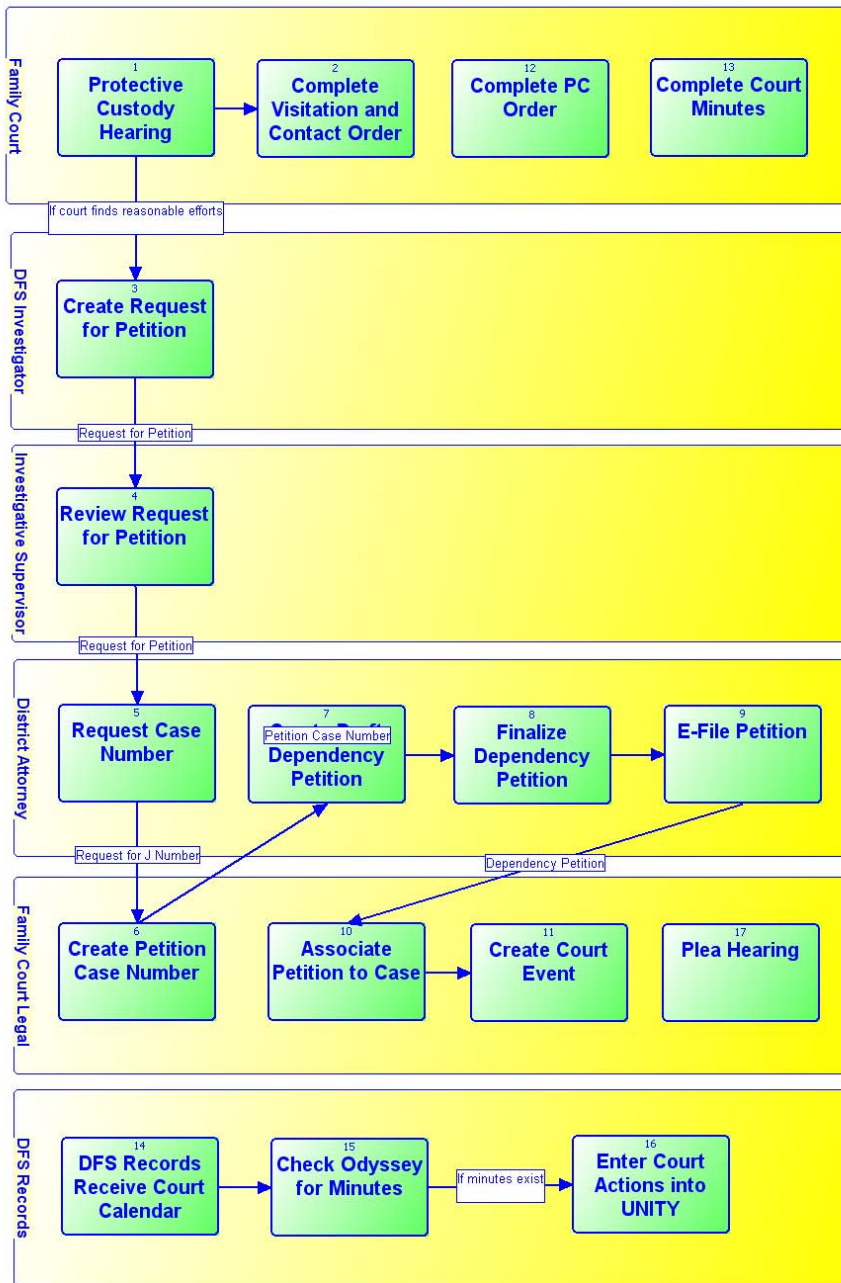
4.2   ACTIVITIES

4.2.1   PROTECTIVE CUSTODY HEARING

During the PC Hearing, the presiding Judicial Officer will determine whether detention of the child(ren) was appropriate and to identify whether DFS made reasonable efforts to keep the child(ren) with the parents. Bench cards will be used to help judges/hearing masters ask the appropriate questions to evaluate reasonable efforts.

11

Occasionally, the judge/hearing master will order a PC Review Hearing if they believe the case might be resolved without further involvement of the court.

4.2.2   COMPLETE VISITATION AND CONTACT ORDER

During the hearing, the Judicial Officer will make a finding regarding visitation and contact instructions. This information is captured on a separate NCR form and distributed to all case participants immediately following the hearing.

4.2.3   CREATE REQUEST FOR PETITION

Ideally, the Request for Petition should be filed by DFS within 5-6 business days of the PC Hearing. Provided that the request is received by the District Attorney within this timeframe, it will allow them sufficient time to prepare and review the Petition with the caseworker. Regardless, the Petition must be filed with the court within 10 days of the PC hearing and by Noon on the day before the plea hearing.

Currently, the Request for Petition often contains the same information from the PC Report. In the future, caseworkers should document updates to the case such as drug test results and other factual information that will assist the Deputy District Attorney in making an informed decision regarding which allegations can be proven.

4.2.4   REVIEW REQUEST FOR PETITION

Although not the current practice, the supervisor should review the request for petition to ensure that only factual information has been included. Supervisors should also be involved to ensure that the request has been filed in a timely manner.

As with the PC Report, the Request for Petition is sent to a common DA email address. It may also be distributed to a specific attorney if the assigned unit is known by the caseworker.

4.2.5   REQUEST CASE NUMBER

Case number is requested from the Family Court Legal department.

4.2.6   CREATE PETITION CASE NUMBER

A new case number will be created. This number contains two parts; the core 'J' number followed by a suffix that indicates how many petitions were previously filed. The core J number is based on the mother's identity (based on last name and DOB) and will remain the same for all subsequent cases.

4.2.7   CREATE DRAFT DEPENDENCY PETITION

Based on the factual evidence presented in the case, the assigned Deputy District Attorney will prepare the Petition either in Microsoft Word or in longhand and provide to DA administrative staff.

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4.2.8 FINALIZE DEPENDENCY PETITION

DA administrative staff typically create the actual Petition in UNITY. UNITY provides a template for creation of the Petition. Once complete, staff will export the document to Microsoft Word and reformat based on personal and legal requirements. This reformatted document is presented to the assigned DDA for final review. If issues are identified, the changes will be made to the Word document. These changes should be updated in UNITY to reflect the adjustments.

Only parties with allegations should be indicated on the petition. This may create issues in Odyssey with subsequent petitions (i.e., P2, P3, etc.) if all parties on previous cases are copied into the new case.

4.2.8.1 REENGINEERING REQUIREMENTS

Dependency Petitions should be organized by alleged perpetrator with an allegation applying to only one parent This will assist the court clerks in tracking allegations to a parent especially when one parent admits to an allegation while the other parent denies the allegation.

4.2.9 E-FILE PETITION

The DA's office uses the WizNet E-Filing interface to file the official Petition with the Clerk. They are then responsible for ensuring that other attorneys involved in the case receive a copy of the petition.

May be able to leverage WizNet folders and place e-filed copy of the Petition in the folder of opposing counsil.

4.2.10 ASSOCIATE PETITION TO CASE

The petition is associated to the corresponding case.

4.2.11 CREATE COURT EVENT

A docketing court event is created in the corresponding case.

4.2.12 COMPLETE PC ORDER

The judicial assistant will complete the PC Order following the hearing. The PC Order is distributed to all attorneys involved in the case.

4.2.12.1 REENGINEERING REQUIREMENTS

Ideally, the visitation and contact order should be incorporated into the PC Order. In order to do this, the court must be able to issue and distribute the PC Order during the hearing.

4.2.13 COMPLETE COURT MINUTES

13

Practices vary amongst the court clerks in terms of when the court minutes are entered. Some clerks enter the minutes during the hearing. More typically, the clerks will capture notes during the hearing and later will enter the minutes into Odyssey. This process takes approximately 7 days depending on caseload and how soon the next hearing is expected to take place.

4.2.14 DFS RECORDS RECEIVE COURT CALENDAR

After the PC Hearing, DFS Records receives an updated calendar indicating the date of the next hearing (typically the Plea hearing). For other hearing types, the calendar is emailed by other clerks. It is not unusual for the next court date to be updated multiple times on a single case. DFS Records is then responsible for entering the upcoming court date into the corresponding case in UNITY.

This also triggers a process whereby the Records Specialist will access Odyssey on a regular basis to check for updated court minutes.

4.2.15 CHECK ODYSSEY FOR MINUTES

Based on the court calendar, records specialists check Odyssey on a regular basis to determine whether the Court Clerk has entered the hearing minutes.

4.2.16 ENTER COURT ACTIONS INTO UNITY

Once the minutes are available in Odyssey, they are copied into UNITY. Furthermore, the records specialist will attempt to translate these minutes into court actions in UNITY.

These court actions are later used by eligibility and are used extensively for management reporting.

Currently, DFS Reporting is two to three months behind on entering court minutes and actions. A significant reason for this delay is because the Records Specialist must interpret minutes that can sometimes be unclear as to the court action and the target of the court action.

Children referenced in minute order sometimes do not match those children in UNITY. Some of the reason is because of continuous case numbers in Odyssey, all children of

4.2.17 PLEA HEARING

During the Plea Hearing, the alleged perpetrators will be given an opportunity to hear the allegations from the Petition and to either admit or deny the allegations.

4.3   DOCUMENTS

4.3.1   REQUEST FOR PETITION

The request for petition should indicate any updates to the case since the PC Report was filed and include any photographs, drug test result and other evidence that support the allegations.

14

4.3.2   REQUEST FOR J NUMBER

This is a form prepared by the District Attorney administrative staff that provides information about the mother and her date of birth and requests that the Court assign a case number indicating the appropriate sequence of petition.

4.3.3   DEPENDENCY PETITION

The filed dependency petition documents the actual court allegations made against the parents. These allegations are based statutes cited in NRS 432B.

4.3.4   COURT MINUTES

The court minutes capture the hearing type, participants and date/time of the court hearing. It also captures the findings of the court.

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Exhibit C

Clark County CIP Project

Executive Stakeholder Briefing

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Presentation Outline

- Introductions (:05)
- Agency/Court Survey (:05)
- Data Exchange (:25)
- Court Performance Measures (:05)
- Business Process Improvement (:25)
- Executive Survey (:15)
- Next Steps (:10)

Exhibit C   Page 46 of 84

Survey Results

Data Exchange Description	DFS	DA	Family Court	Ability to save time and create efficiencies	Data quality including validity and accuracy	Timeliness of data entry into source system	Total
Set/Vacate Hearing Update (Court -> DFS, DA)	X	X		3.9	2.7	3.1	9.6
Regulation 7 Order On-Line Approval for ICPC (DFS -> DA, Court)	X			3.8	4.0	1.6	9.4
Setting Slip On-Line Approval (DFS, DA -> DFS, DA, Court)	X	X	X	3.8	2.3	1.5	7.6
Court Order Image (Court -> DFS, DA)	X	X		3.8	1.9	1.8	7.5
NOMADS Demographic Import (Nevada HHS -> DFS)	X			3.5	3.6	3.4	10.5
Change in Case Worker Notification (DFS -> Court, DA)	X	X	X	3.5	2.7	2.2	8.4
Efforts Log (DFS -> Court)	X	X		3.3	3.2	3.4	9.8
Request for Dependency Petition (DFS -> DA)		X		3.3	2.8	3.0	9.1
Dependency Petition (Court -> DFS, DA), After E-Filing Completed	X	X		3.3	2.7	2.8	8.8
Court Minutes (Court -> DFS, DA)	X	X	X	3.2	2.3	2.1	7.7
Request for Petition (DFS -> DA)	X			3.1	2.3	1.2	6.6
Financial Statement (Court -> DFS)	X	X		2.8	1.9	1.0	5.6
Placement Change Notification (DFS-> Court,DA)	X			2.7	2.0	2.2	6.9
Protective Custody Report (DFS -> Court, DA)	X	X	X	2.5	2.8	3.6	8.9
PC Calendar (DFS -> Court, DA)	X	X		2.3	2.6	3.3	8.1

Legend: High / Medium / Low

Exhibit C   Page 47 of 84

Exhibit C   Page 48 of 84

Set/Vacate Hearing

- Current Process
  - Email/Fax from JA's, Court Clerks to DFS Records
- Impact:
  - Reduce multiple, sometimes inconsistent sources of hearing date
  - Instantaneous, real-time update on UNITY Hearing Screen
  - Reduce calls to Court/DA for next court date
  - Improved data quality (Court Performance Measures)
- Challenges:
  - J-Number link to UNITY Case Number and Petition ID
  - Terminology differences
    - Calendar Call/Confirm Council (Court) = Status Check (DFS)

Exhibit C   Page 49 of 84

Regulation 7 (ICPC)/Setting Slip

- Current Process
  - Limited amount of time to obtain sign-off
- Impact
  - Reduce need to 'walk' order among case parties
- Challenges
  - Complex data exchange (workflow)
  - Digital signature

Exhibit C   Page 50 of 84

Court Order/Document Image

- Current Process
  - All e-filed documents are associated to Odyssey case
  - Limited access to Odyssey
- Impact
  - Improve access to filed copy of court documents (i.e., Dependency Petition)
  - Improve access to court orders (i.e., for eligibility determination)
- Challenges
  - UNITY ability to display binary images

Exhibit C   Page 51 of 84

NOMADS

- Current Process
  - System maintained by Nevada Health and Human Services
  - UNITY shares Medicaid eligibility information
  - Source of address and demographic information
- Impact
  - Improve access to a valuable source of information
  - Improve data quality across all systems
- Challenges
  - External agency
  - Privacy impact

Exhibit C   Page 52 of 84

Change in Case Worker

- Current Process
  - DA must use UNITY to determine case worker
- Impact
  - Improve notification when a new worker is assigned to a case
- Challenges
  - Timeliness of case worker update in UNITY

Exhibit C   Page 53 of 84

Court Performance Measures

Exhibit C   Page 54 of 84

Performance Measures

- Starting in about a year, ACF will require courts receiving CIP grants to collect and report data on five performance measures:

  - Time to First Permanency Hearing
  - Time to Subsequent Permanency Hearings
  - Time to Permanent Placement
  - Time to Termination of Parental Rights Petition
  - Time to Termination of Parental Rights

Exhibit C   Page 55 of 84

Performance Measures

- Leverage Cognos Reporting tool
- Portal for authorized user access

Exhibit C   Page 56 of 84

Business Process Improvement

Exhibit C

Court Minutes

- Current "As-Is" Process
  - Significant disparity in timeliness and quality of court hearing minutes
  - Used by DA, DFS Records and DFS Eligibility
- Suggested Alternative Process
  - Migrate to checkbox-based minute order and limit text-only entry

Exhibit C
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Dependency Petition

- Current "As-Is" Process
  - An allegation may relate to one or many perpetrators
  - Challenges when one party admits and the other denies
  - Petition initially created by DA/DA Staff in UNITY
  - Petition is reformatted to meet court requirements
- Suggested Alternative Process
  - One perpetrator per allegation
  - Adjust Dependency Petition formatting in UNITY

Exhibit C   Page 59 of 84

DFS E-Filing

- Current "As-Is" Process
  - DA Staff e-file court report for DFS Case Worker
  - Physical copy of E-Filed documents must be maintained by DA
- Suggested Alternative Process
  - Business centers assist DFS Case Workers in e-filing

Exhibit C   Page 60 of 84

Child Placement Change

- Current "As-Is" Process
  - Inconsistent court response when child placement changes
  - Remove from Home: MOCO
  - Remove from Trial Home Visit: MOCO/Notification Only
- Suggested Alternative Process
  - Consistent response

Exhibit C   Page 61 of 84

Court Order Preparation

- Current "As-Is" Process
  - Many court orders are prepared by DFS Case Worker
  - DFS Case Worker attempts to anticipate court ordered action
  - In UNITY, often unclear which order has been filed
  - DA Staff e-files court order
- Suggested Alternative Process
  - ?

Exhibit C   Page 62 of 84

Survey

Data Exchanges

Exhibit C   Page 63 of 84

Set/Vacate Hearing

1. No Impact
2. Some Impact
3. Significant Impact
4. High Impact

86%

14%

0%

0%

1   2   3   4

Exhibit C   Page 64 of 84
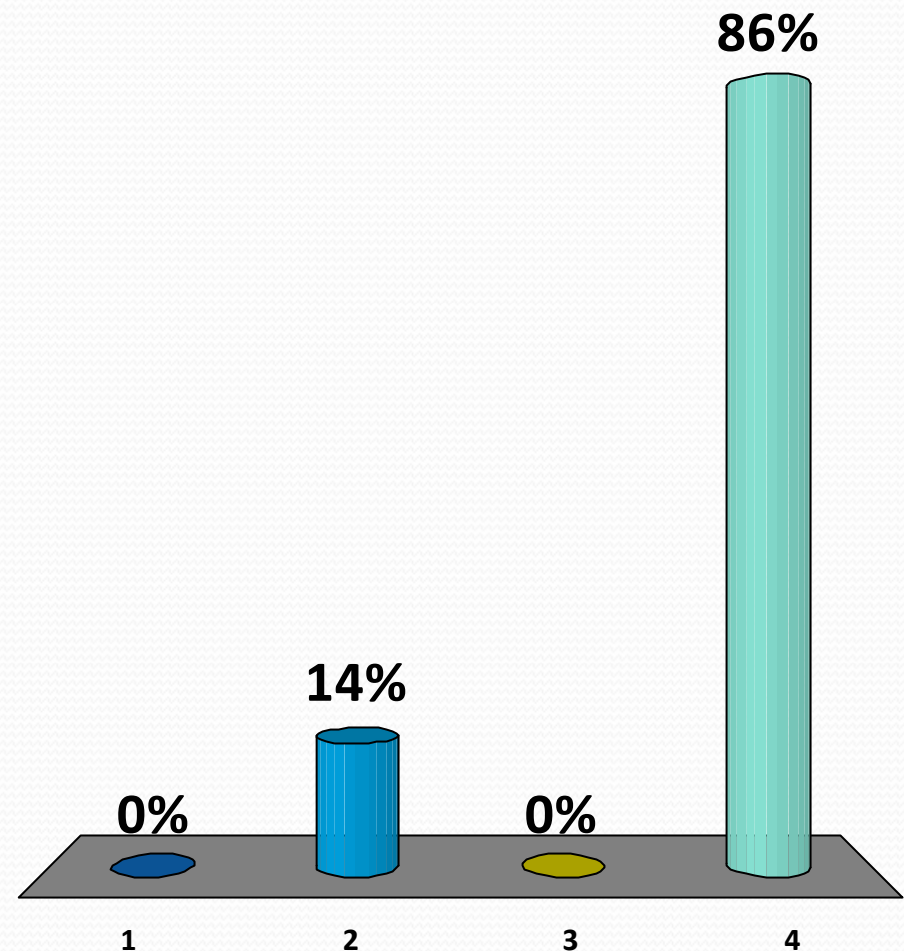
Should AOC/Clark County partner with the NCSC to implement Set/Vacate Hearing?

1. Yes
2. No

Exhibit C   Page 65 of 84
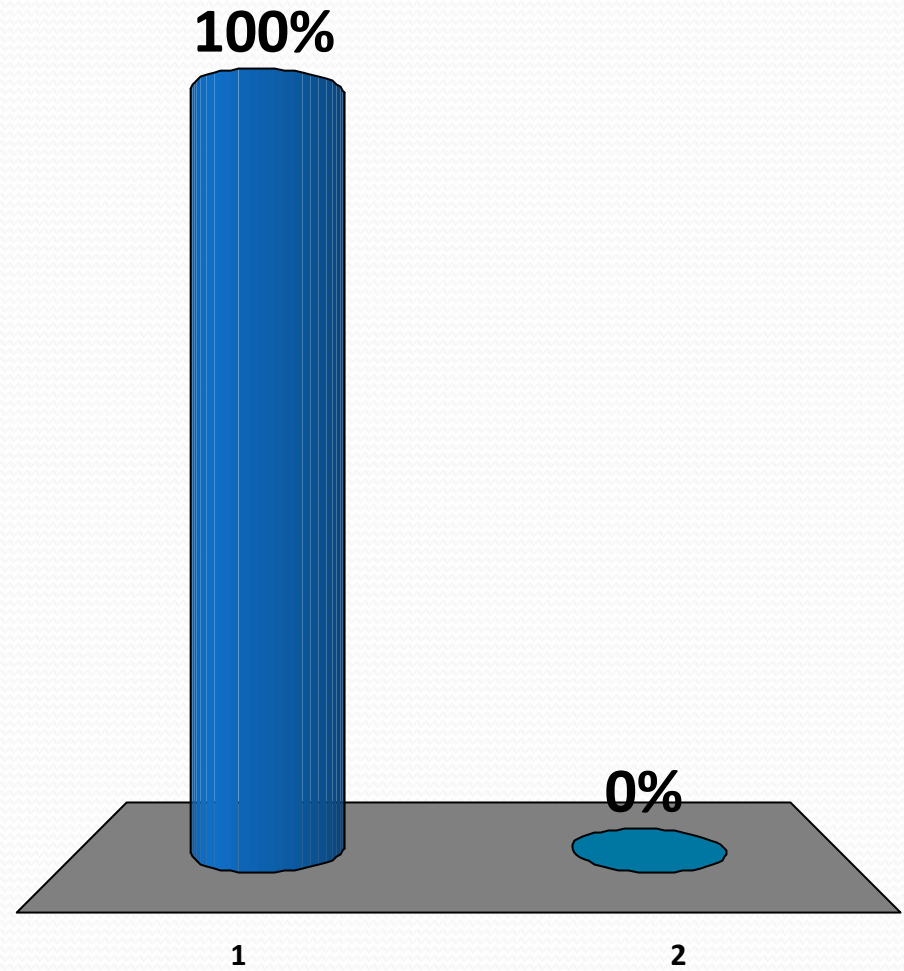
ICPC/Setting Slip

1. No Impact
2. Some Impact
3. Significant Impact
4. High Impact

Exhibit C
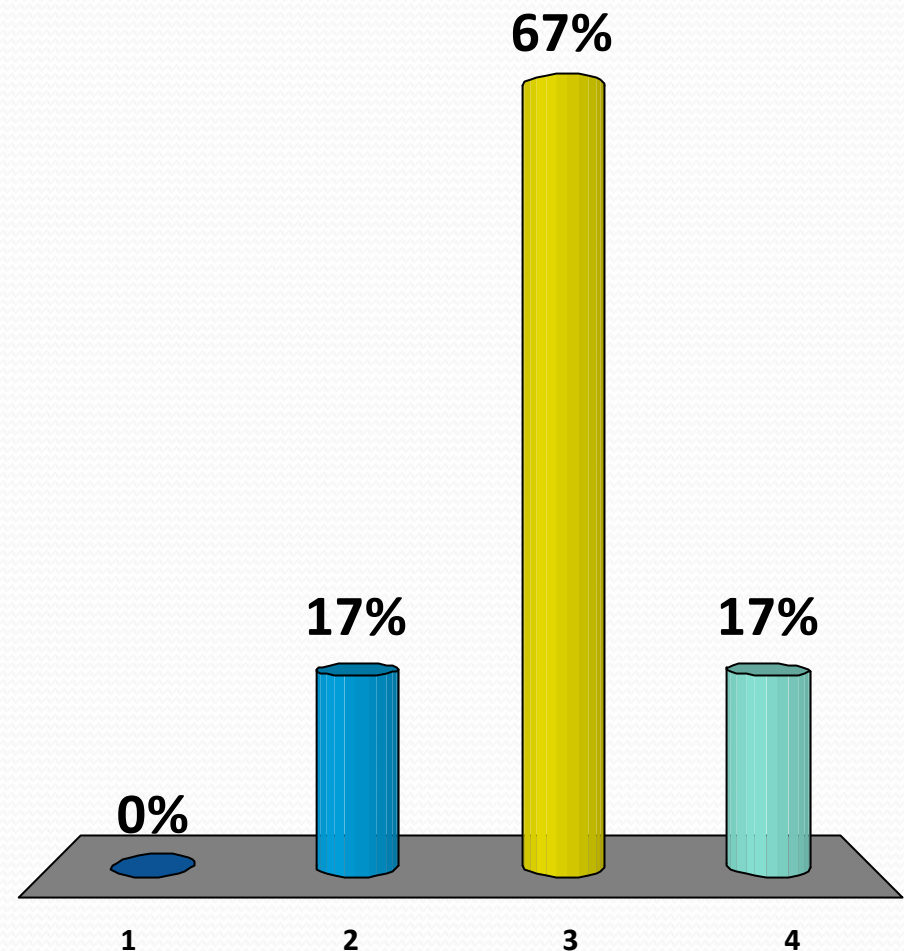
NOMADS

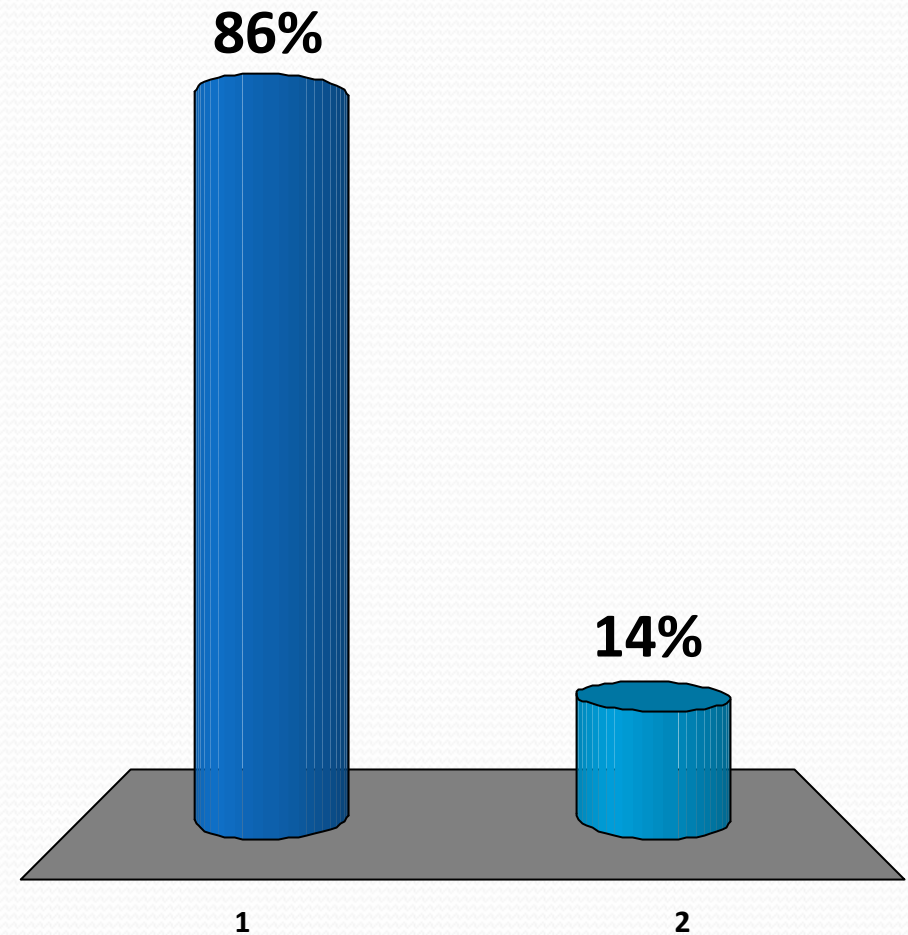1. No Impact
2. Some Impact
3. Significant Impact
4. High Impact

Exhibit C   Page 67 of 84
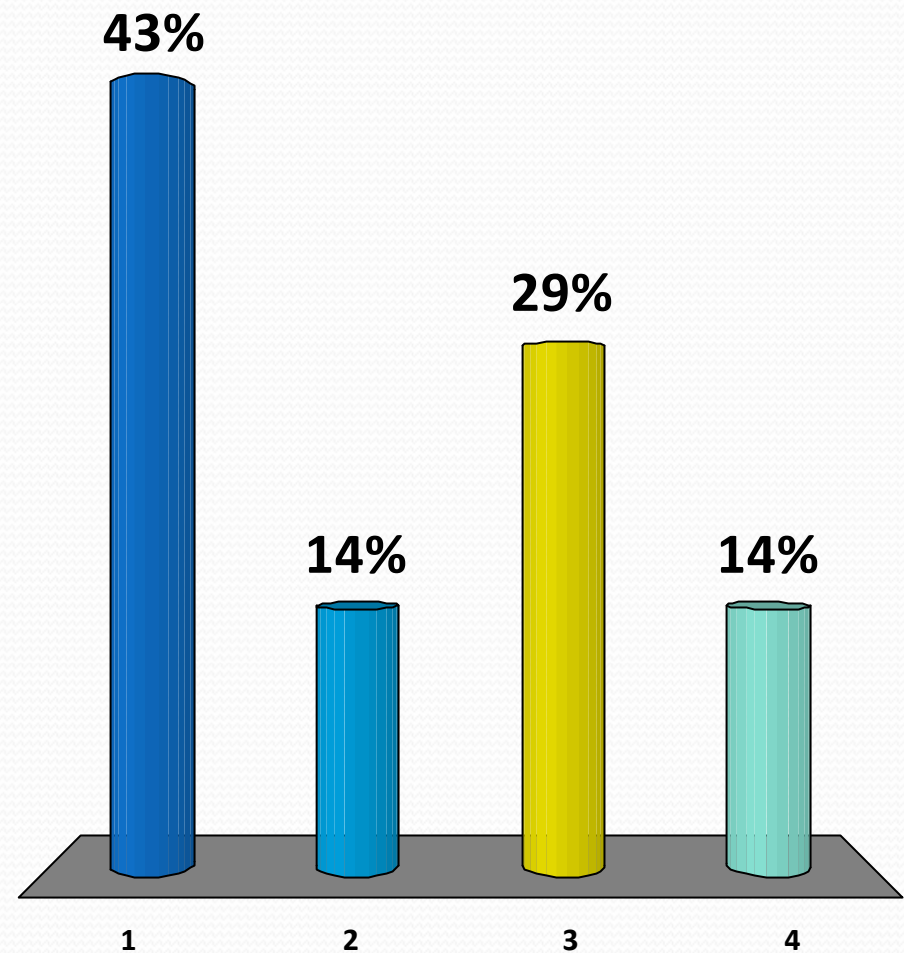
Odyssey Document Images

1. No Impact
2. Some Impact
3. Significant Impact
4. High Impact

57%

43%

0%   0%

1   2   3   4

Exhibit C   Page 68 of 84
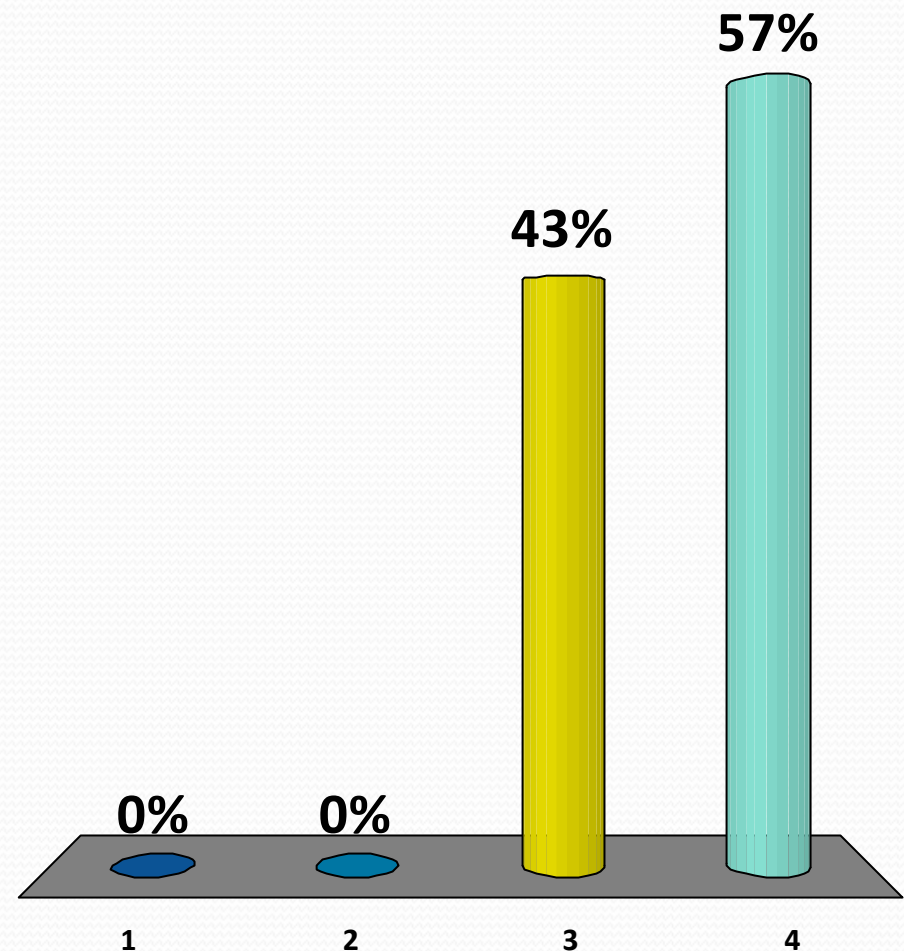
Court Minutes

1. No Impact
2. Some Impact
3. Significant Impact
4. High Impact

Exhibit C   Page 69 of 84
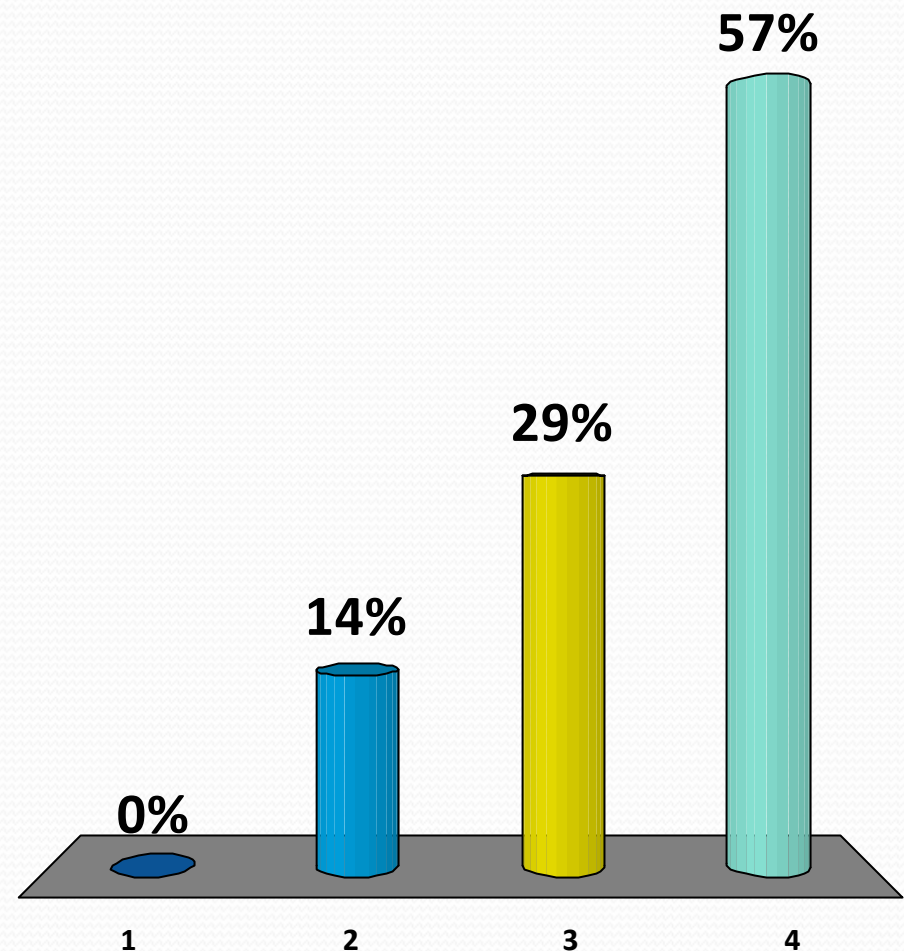
Survey

Business Process Improvement

Exhibit C   Page 70 of 84

Should business process suggestions be included in the final report?

1. Yes
2. No

86%

14%

1

2

Exhibit C   Page 71 of 84

Checkbox Minute Order

1. No Impact
2. Some Impact
3. Significant Impact
4. High Impact

Exhibit C   Page 72 of 84

Dependency Petition

One Perpetrator per Allegation

1. No Impact
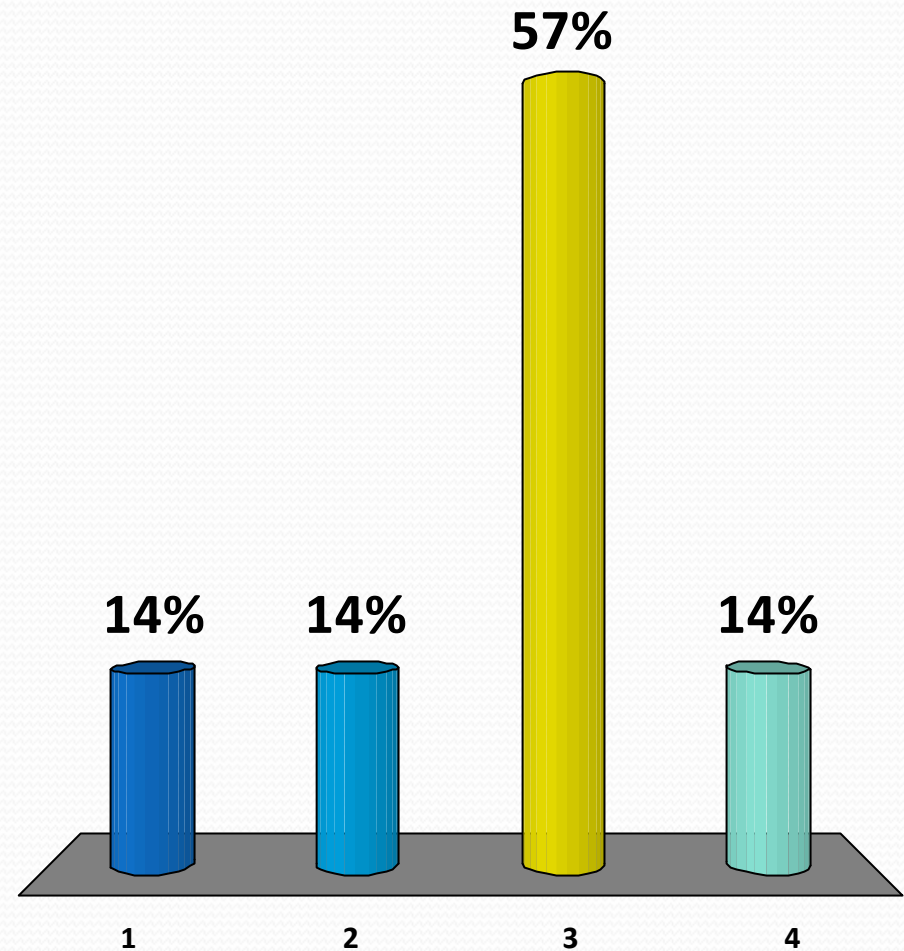2. Some Impact
3. Significant Impact
4. High Impact

0% **29%** **29%** **43%**

1   2   3   4
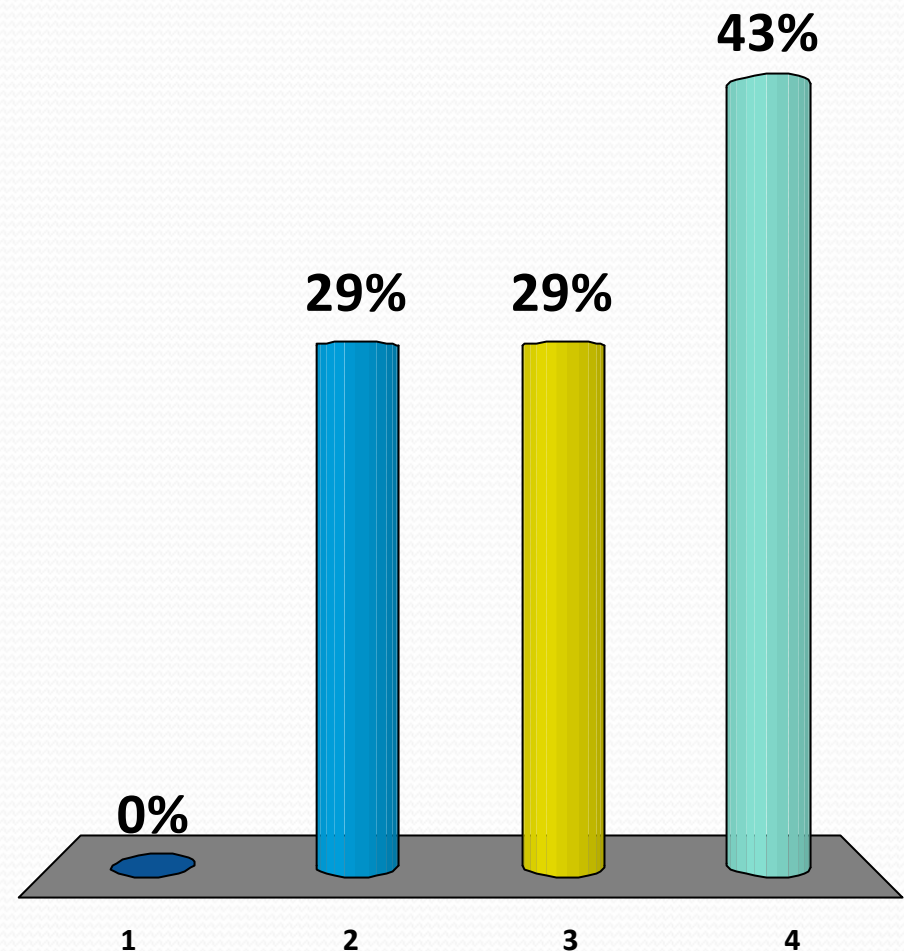
Dependency Petition

UNITY Petition Formatting

1. No Impact
2. Some Impact
3. Significant Impact
4. High Impact

Exhibit C
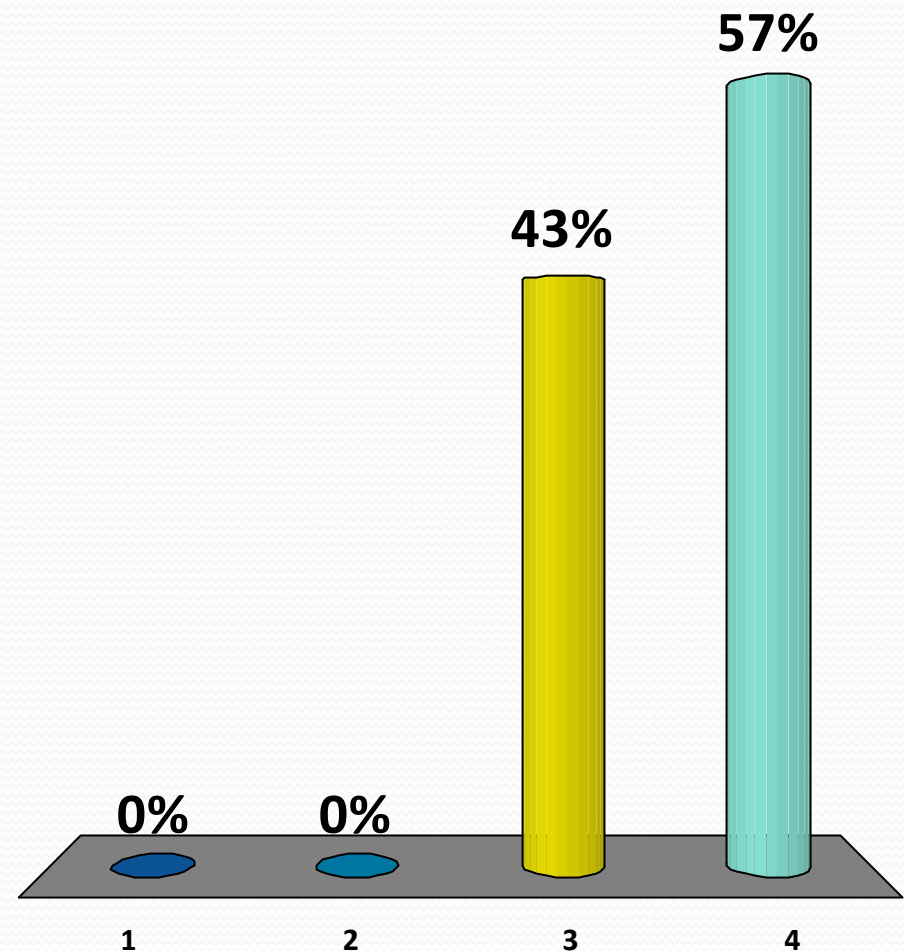
DFS Business Center E-Filing

1. No Impact
2. Some Impact
3. Significant Impact
4. High Impact

57%

14%   14%   14%

1   2   3   4

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Next Steps

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Next Steps

- Preliminary report in early December 2011
- Will be distributed for comment
- Final report in January 2012
- Implementation of data exchanges/business process improvement
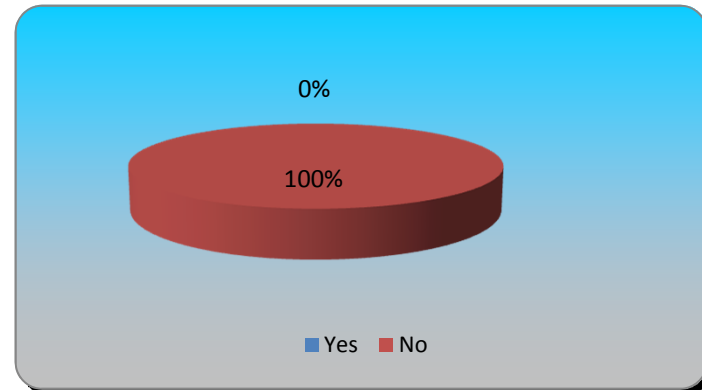 - DA Case Management System

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Exhibit D

Turning Graphical Results by Question

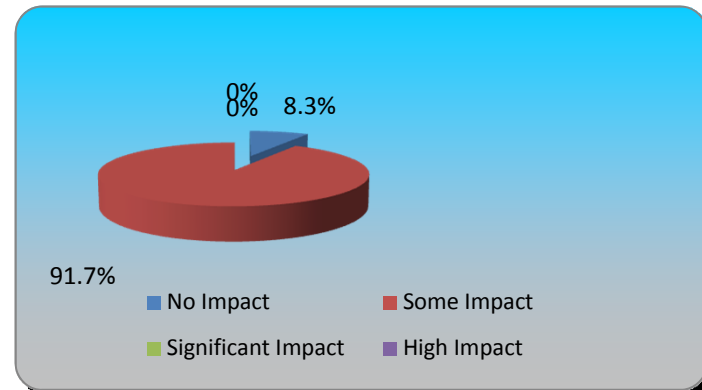**Session Name: Consolidated Session 11-15-2011 3-51 PM**
Created: 11/15/2011 3:52 PM

1.) Should AOC/Clark County partner with the NCSC
to implement Set/Vacate Hearing? (multiple choice)   **Responses**

Yes	0	0%
No	2	100%
Totals	**2**	**100%**

2.) Set/Vacate Hearing (multiple choice)   **Responses**

No Impact	1	8.33%
Some Impact	11	91.67%
Significant Impact	0	0%
High Impact	0	0%
Totals	**12**	**100%**

3.) Set/Vacate Hearing (multiple choice)   **Responses**

No Impact	0	0%
Some Impact	1	14.29%
Significant Impact	0	0%
High Impact	6	85.71%
Totals	**7**	**100%**
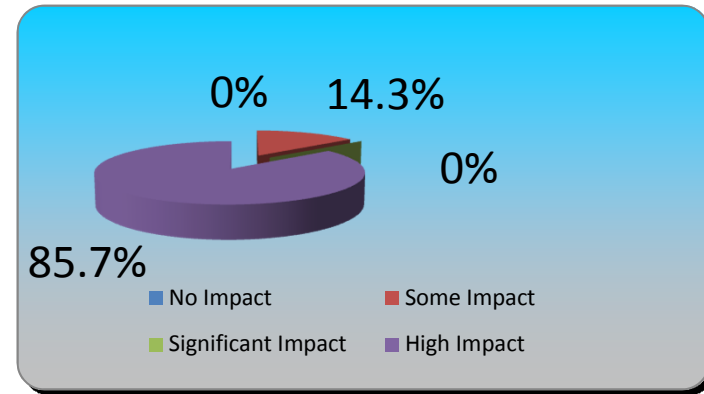
4.) Should AOC/Clark County partner with the NCSC to implement Set/Vacate Hearing? (multiple choice)   **Responses**

Yes	7	100%
No	0	0%
Totals	**7**	**100%**
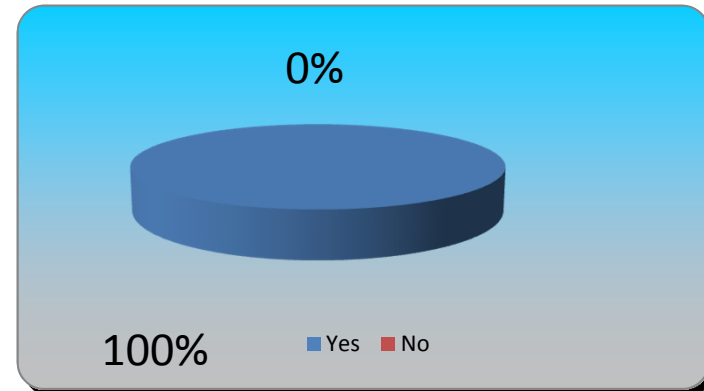
5.) ICPC/Setting Slip (multiple choice)   **Responses**

No Impact	0	0%
Some Impact	1	16.67%
Significant Impact	4	66.67%
High Impact	1	16.67%
Totals	**6**	**100%**

16.7%   0%   16.7%

66.7% ■ No Impact   ■ Some Impact   ■ Significant Impact   ■ High Impact
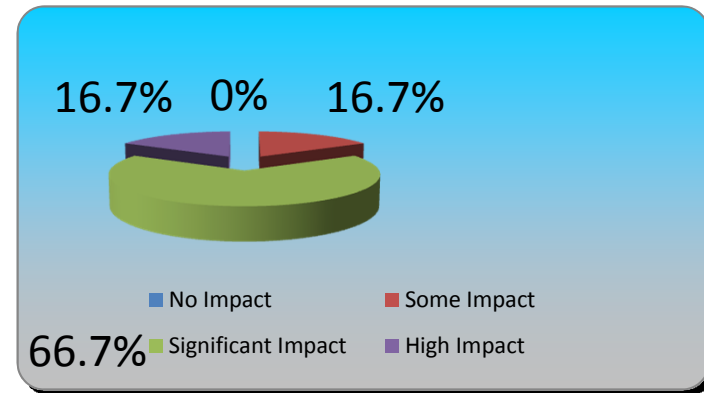
6.) NOMADS (multiple choice)   **Responses**

No Impact	3	42.86%
Some Impact	1	14.29%
Significant Impact	2	28.57%
High Impact	1	14.29%
Totals	**7**	**100%**

28.6% 14.3%   42.9%

14.3% ■ No Impact   ■ Some Impact   ■ Significant Impact   ■ High Impact
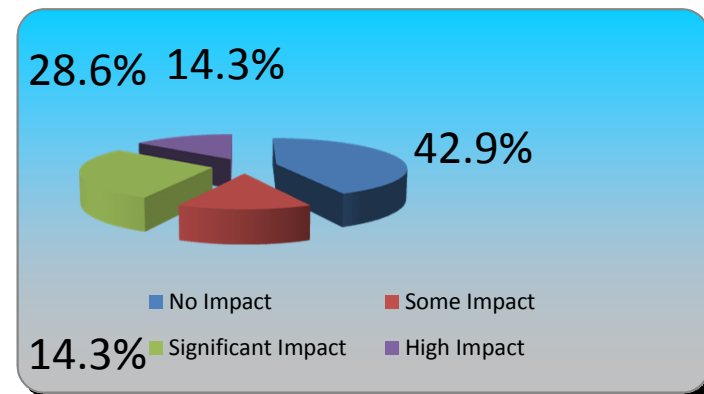
7.) Odyssey Document Images (multiple choice)   **Responses**

No Impact	0	0%
Some Impact	0	0%
Significant Impact	3	42.86%
High Impact	4	57.14%
Totals	**7**	**100%**
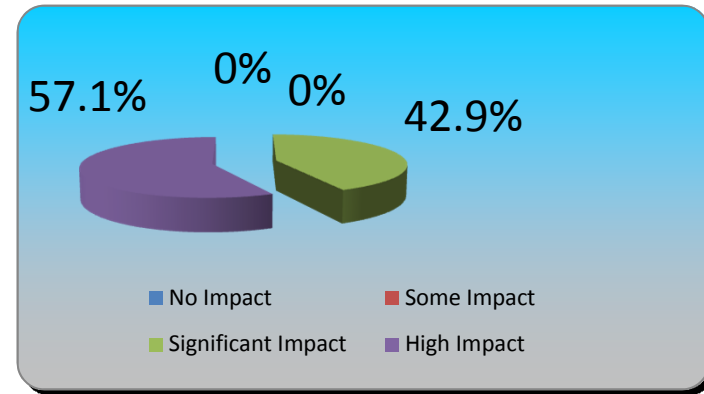
8.) Court Minutes (multiple choice)   **Responses**

No Impact	0	0%
Some Impact	1	14.29%
Significant Impact	2	28.57%
High Impact	4	57.14%
Totals	**7**	**100%**
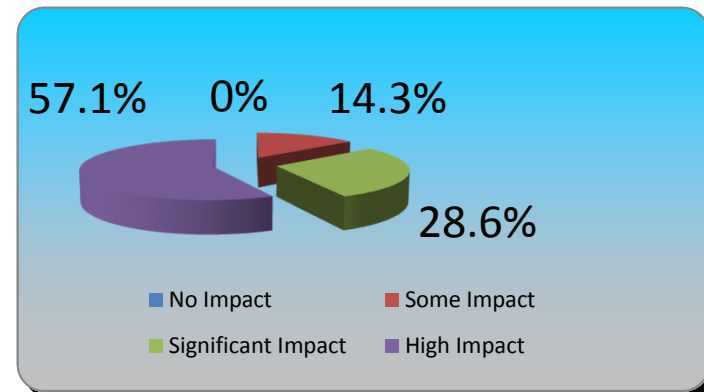
9.) Should business process suggestions be included in the final report? (multiple choice)

	Responses	
Yes	6	85.71%
No	1	14.29%
Totals	**7**	**100%**
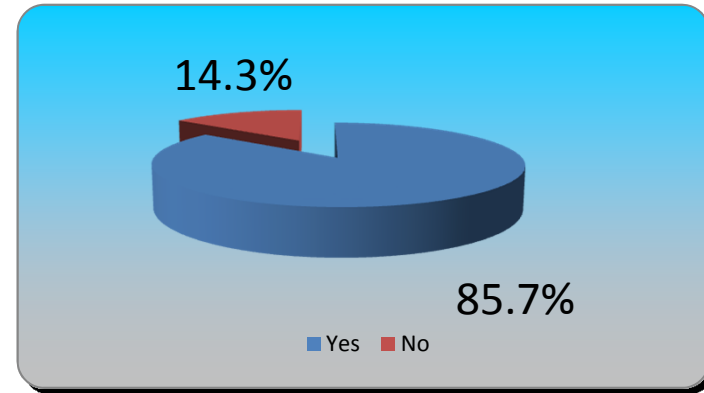
10.) Dependency Petition One Perpetrator per Allegation (multiple choice)

	Responses	
No Impact	0	0%
Some Impact	2	28.57%
Significant Impact	2	28.57%
High Impact	3	42.86%
Totals	**7**	**100%**
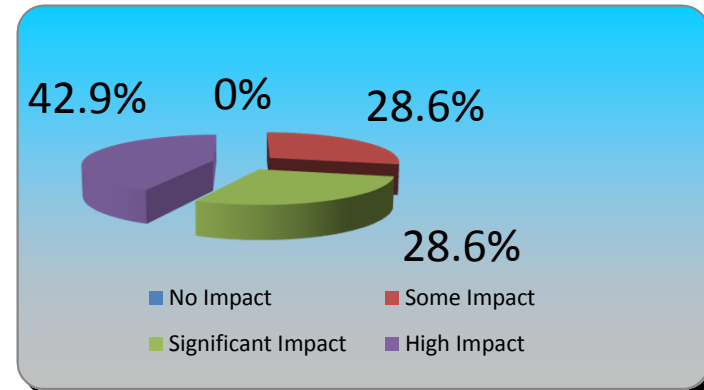
11.) Dependency Petition UNITY Petition Formatting

(multiple choice)	Responses	
No Impact	0	0%
Some Impact	0	0%
Significant Impact	3	42.86%
High Impact	4	57.14%
Totals	**7**	**100%**
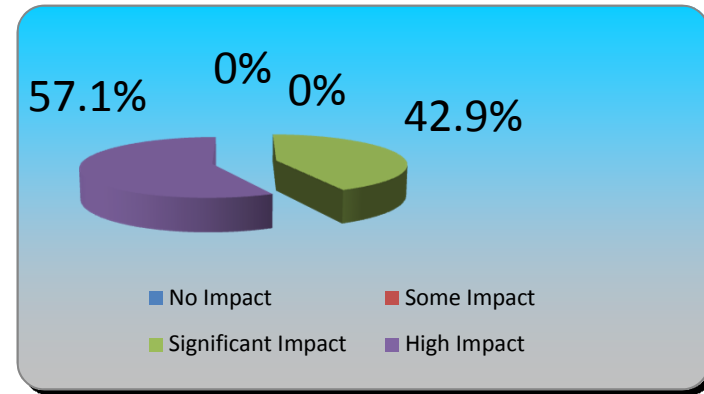
12.) DFS Business Center E-Filing (multiple choice)

	Responses	
No Impact	1	14.29%
Some Impact	1	14.29%
Significant Impact	4	57.14%
High Impact	1	14.29%
Totals	**7**	**100%**

Exhibit D