Washington State Institutional Review Board (WSIRB)
Application for WSIRB Review

Appendix G: State Agency Records Request

Investigators shall complete and submit a separate Appendix G for each DSHS, DOH, L&I, HCA, OFM and/or DEL system of records from which records are requested. Note that a state agency may have two or more systems of records (e.g., birth certificate, hospital discharge, and cancer registry records for DOH; child welfare, mental health and public assistance records for DSHS), which may therefore require two or more Appendix G forms from a single state agency. If you are requesting one state agency's records from another (e.g., requesting HCA Medicaid records from DSHS rather than HCA), then a separate Appendix G form must be completed and submitted to the state agency from which records will be requested (e.g., DSHS) AND the state agency whose records will be used (e.g., HCA).

This form documents whether the records requested by the investigator exist and are available in the format and type requested. Prior to submitting a study for review, an investigator MUST discuss their research records request with the state agency data manager who is authorized to approve of or release the specific state agency records requested for research purposes. Note that each state agency may have a different data manager for different systems of records—investigators must separately discuss their data requests with each data manager as applicable. Use this Contact List on the WSIRB website in order to find which Authorized Individual you should contact.

After completing the Investigator Section below, investigators must forward this Appendix G and related attachments to the state agency data manager for completion of the State Agency Authorized Individual Section; investigators must also include a copy of this Appendix G and related attachments with the Application, Study Amendment Request or Exempt Determination Request that is sent to the WSIRB. The State Agency Authorized Individual (data manager) will forward the completed Appendix G and related attachments to the WSIRB.

For use of DSHS records, the DSHS agency's data manager's approval of release of records from a DSHS system of records is required PRIOR to submitting a study for review. A study will not undergo review without such data manager's approval. You are advised to plan accordingly.

Project Title: **Outcome Evaluation of Family Assessment Response**

PI Name: **Marna G. Miller**

Email Address: **marna.miller@wsipp.wa.gov**

Telephone Number: **(360) 586-2745**

INVESTIGATOR Section:

The Family Assessment Response (FAR, also known as differential response and alternative response) represents a change in the way Child Protective Services (CPS) responds to low-risk, screened-in reports of child abuse and neglect (CAN). Prior to FAR, all accepted reports of CAN received a forensic investigation; the investigation would result in a finding that CAN had occurred or was unfounded. Under FAR, caseworkers serving low-risk families assess the needs of the family and provide services and concrete materials necessary to prevent further allegations of maltreatment.

In 2012, the Washington State Legislature (ESSB 6555) directed DSHS to implement FAR and directed the Washington State Institute for Public Policy (WSIPP) to evaluate the effect of this program on child safety and out-of-home placements (see note in RCW 26.44.260). DSHS began a phase-in of FAR in January 2014 in 3 offices and continued to expand the program. To date the program has been implemented in 33 of 46 CPS offices.

Our approach will be to match families receiving FAR to families eligible for FAR but served in offices where FAR had not yet been implemented. We will use a propensity score matching protocol to identify

comparison families. We will match on parent race, parent age, age of youngest child, type of alleged maltreatment, date of CPS report, family zip code demographic information, TANF receipt at the time of the report, and urban/rural status of local offices.

We will then compare rates of new reports to CPS, out-of-home placements, and dependency filings for the two groups.

A. Identify the system of records requested from DSHS, DOH, L&I, HCA, OFM and/or DEL (e.g., Medicaid / ProviderOne, FamLink, TARGET, birth records, CHARS, WSCR, etc.). Use this Contact List on the WSIRB website to find the system of records.

RDA has modified FamLink data for internal use and for use in the evaluation of the Children's Administration's Title IV-E Waiver. RDA will provide us portions of the FamLink data, matched to ACES records.

RDA will match children and families to ACES records to identify whether the family was eligible for TANF at the time of the CPS referral (as a proxy for family poverty).

After identifying families receiving TANF, RDA will create bogus case numbers and person IDs and then transmit the dataset to the Washington State Center for Court Research (WSCCR) via secure file transfer process.

We will request that WSCCR will match cases against dependency filiings to identify children for who dependency petitions were filed. After matching, WSCCR will strip names and from records before tranmitting to WSIPP via secure file transfer protocol.

B. Specify the selection criteria for the requested data extract.

All families meeting eligibility for TANF for whom a CPS intake was screened in and where the alleged subject is a parent or guardian of a child. Case records will be flagged if the family was eligible for TANF at the time of the intake.

C. Specify the from – through dates (MMDDYY – MMDDYY) of the requested records (e.g., births occurring from January 1, 1999 through December 31, 2000; Medicaid claims paid between July 1, 2005 and June 30, 2006; child out-of-home placements for calendar year 2010). Information about the dates ON WHICH you will or plan to request records should not be provided here, but in the Application, Study Amendment Request or Exempt Determination Request, as may be applicable.

Description

We request of information on dependency petitons for children who were alleged victims on CPS intakes.. for whom dependency petitions were filed the time of screened-in intakes between January 1, 2008 and April 1, 2016 and out-of-home placements where removal dates occurred between January 1, 2008 April 1, 2016. We request intakes and placements prior to the start of FAR (January 1, 2014) to create a history of prior intakes and placements for families.

D. Specify the requested geographical areas.

We request statewide information. That is, we do not want data subsetted by geography.

E. ATTACH IN TABLE FORMAT a list of each specific data variable that is requested from the records. Provide variable names, titles and descriptors using ONLY the nomenclature as provided in the applicable data dictionary or index. Contact the agency data manager to obtain the data order table, dictionary or index so that your list is an accurate representation of the available variables. The WSIRB will only approve disclosure and use of the minimum data variables

necessary to conduct the research. The table is required in order for the WSIRB to make this determination, and the table will be incorporated by reference and attachment to a Confidentiality Agreement, if applicable.

F. Will the identifiable records from DSHS, DOH, L&I, HCA, OFM and/or DEL be linked to any other records, including other State agency records?

☐ No

☒ Yes. Identify and describe (1) the other records, including but not limited to primary and publicly available data collected for this research and the name of the agency that has jurisdiction over each type of records; (2) the identifiers (use variable names) that will be used to link all records; and (3) the linking protocol or process.

Description

DSHS Research and Data Analysis will match families with screened-in intakes to ACES records to identify families eligible for TANF at the time of the intake. This will serve as an indicator of family poverty. RDA will create bogus case numbers and person IDs.

Washington State Center for Court Research (WSCCR) will match cases against dependency filiings to identify children for who dependency petitions were filed.

After identifying children with dependency cases, WSCCR will strip names and FamLink person and case IDS before transmitting to WSIPP via secure filet transfer protocol.

INVESTIGATOR'S Statement:

As Principal Investigator I attest that I, or my designate, have discussed this records request with the designated state agency data manager responsible for the system of records from which records are sought. For investigators requesting DSHS records, I attest that I have received approval for release of records prior to submitting my study for review. By submitting this form I affirm that this research, *if approved*, will be conducted in compliance with all applicable federal and state laws, *Washington State Agency Policy on Protection of Human Research Subject*s, *Washington State Institutional Review Board Procedures Manual*, and the Washington State Institutional Review Board approved procedures and requirements.

STATE AGENCY AUTHORIZED INDIVIDUAL Section:

Complete this section ONLY if the investigator's data request is sufficiently described for purposes of extracting and disclosing the requested data AND the required table of requested data variables has been provided. Feel free to return this form to the investigator for clarification or revision, or if incomplete.

Name: **Stephanie Happold**

Title: **Data Dissemination Administrator**

Email Address: **Stephanie.Happold@courts.wa.gov**

Telephone Number: **360-705-5315**

☐ By forwarding this completed form to the WSIRB I confirm that, at the time of this request, the variables and records of the type requested by the investigator ARE AVAILABLE in the State Agency's database. Checking this box does not imply or commit to State Agency approval of the request.

Comments

☐ The records of the type requested by the investigator are not available in the State Agency's database.

Comments

☐ **FOR DSHS DATA MANAGERS ONLY:** Check here if actual release of the records of the type requested would be approved by your Administration or program after approval of the study or exempt determination, your DSHS Administration leadership's concurrence with WSIRB approval, and an executed Confidentiality Agreement, as applicable, is signed by your DSHS Administration leadership.

Comments

Forward this completed form and related tables of variables to wsirb@dshs.wa.gov and to the principal investigator. Please

contact Review Staff at 360.902.8075 if you have any questions.