

APPENDIX A: GUIDE - OVERVIEW SECTION

The *Overview* Section describes the general characteristics of the SACWIS system, including its objectives, applications, and architecture. It provides general identifying information that will help other States and ACF understand the overall size, cost, and programmatic functionality of the system. See Chapter 3 of the SACWIS Assessment Review Guide for instructions on how to complete this section of the Guide.

A. I: General Information

1. SACWIS System for the State of:

Oregon

2. Name & Acronym of System:

Oregon's SACWIS system includes three components: 1) Family and Child Information System (FACIS), (2) Integrated Information System (IIS), and (3) Adoption Recruitment Management System (ARMS)

3. How many project staff (business, technical, and contractor) are needed to operate, update, and maintain the implemented system?

Business (7), Technical (8), Contractor (0)

- a. What are their functional titles (e.g., programmer, LAN administrator, program specialist, caseworker, etc.)?

See attached organization charts

- b. What is the estimated yearly cost to operate, update, and maintain the new system (personnel & infrastructure)?

\$2,074,996

4. Number of on-line users:

1800

5. Identify the non-State agency staff that utilize the system and the functions that they perform. State agency staff includes State, County and local employees that use the system for SACWIS specific activities.

PSU/CWP – Portland State University Child Welfare Partnership

6. Identify (check or list) the programs/services supported by the system:

Foster Care	X	Adoption	X
Child and Family Services	X	Child Care	X
Adult Protective Services		Child Protective Services	X
Juvenile Justice		Independent Living	X
Interstate Compact		Family Preservation and Support	X
Provider Services		Other (list) :	

7. What training does staff receive regarding the use of the system?

An introduction to FACIS class is offered to all DHS partners. Child welfare staff receives training on the eight major areas of FACIS: Workload, Screening, Assessment, Case Notes and Action Items, Forms Automation, Plans and Services, Eligibility, and Adoptions. All training is hands-on and includes discussion of best practice and reference to CAF child welfare policies, Administrative Rules and Oregon Revised Statutes as they relate to mandated data entry requirements.

A presentation for Child Welfare supervisors at Portland State University Child Welfare Partnership’s “Supervising for Excellence” workshops included training on using FACIS Workload information screens to manage case assignment and Assessment and Forms review and approval.

8. What format and medium will the State use to make the application software and related documentation available to other States?

CD’s

9. Does the system share a common database with other systems? YES NO .

If Yes –

a. To what extent does the system share a common database?

FACIS shares client demographic information with other parts of the Department of Human Services, other state agencies, and departments, including self-sufficiency programs, programs for persons with disabilities, juvenile corrections, and the child support program.

b. With which agencies/programs does the system share a common database?

See a.

10. Primary SACWIS Point-of-Contact and Phone Number:

Judy Clyburn (503) 378-2101 x 336

A. II: Technical Information

1. Was this a transfer system? YES NO .

If Yes –

a. Which State's system was used as the transfer model?

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b. Estimated percent of transfer system code that was re-used:

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2. Please provide a brief description of the system architecture and hardware (please cross-reference your description to a system diagram):

<p>Client server application running on IBM compatible workstations with centralized data storage. See attached system diagrams 1 and 2.</p>

3. Identify the software products used for the application, network, and on the desktop:

Application	Object Studio, Delphi, SQL Server Enterprise, InstallShield, DB Artisan, Erwin, PVCs, Beyond Compare, Internet Explorer, Wspell DLL, Rich Text Edit DLL, ReportBuilder, Component Developer's Kit, InfoPower, Tcompress, TopGrid, Calendar ActiveX Control
Network	Netware (Token Ring/Ethernet), Netware, Routers,
Desktop	Windows NT, Windows 2000, GroupWise v5.5, Host Explorer v6.0, Delphi EXE and Database Engine

4. Describe the technical and procedural practices the State uses to prevent unauthorized release of the information recorded in the system.

<p>DHS use of RACF ID's prevents unauthorized use of the SACWIS system. Staff is trained in confidentiality laws and buildings are secured to prevent access to workstations. The SACWIS system has layers of security to allow for varied access rights based on a need-to-know. A security officer oversees operations involving users' access rights and regular reviews are made regarding access or attempts to access information.</p>

A. III: Contractor Information

1. Planning Phase Contractor(s):	None
2. Implementation Phase Contractor(s):	Easel – Vmark - Heroic Path
3. Operational Phase Contractor(s):	None
4. Other Contractors (QA, Acceptance	Solutions Consulting Group

Testing, etc.):	
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A. IV: Financial Information

For Planning, Design, Development and Implementation

1. Total Contractor Costs	\$3,856,031
2. Total Hardware Costs	\$3,367,898
3. Total State Personnel Costs	\$3,272,973
4. Other (If Applicable)	\$1,784,852
1. Total Development Costs (ALL COSTS) The total should match the approved APD.	\$12,281,754

A. V: Confidentiality

1. Does staff receive periodic training regarding client confidentiality, privacy, and individual rights?

YES NO

If Yes - How often?

2. How are clients notified of their privacy rights?

Pamphlet # AFS 9012

3. Does the system allow the State to "seal" information?

No, but the system allows the State to make the case "sensitive".
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4. What is the process for expunging information on unsubstantiated allegations?

There is no process for expunging unsubstantiated allegations. The agency can however change the Disposition. The information would still be on the system and cannot be deleted.
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5. Can the alleged victim and/or perpetrator request that the State "seal" or purge unsubstantiated information?

They can appeal to the Court or have their attorney request the "sensitive" information but the victim or perpetrator cannot request to view such documents.

A. VI: Lessons Learned

Describe any "lessons learned" from the project that might be helpful to other States. For example, consider what advice the State might offer with regard to conversion, training, implementation, field involvement, cultural change, change management, pilot, application support, enhancements, policy and procedures, development approach (transfer or ground-up), contractor support, and advantages or disadvantages of the State's selected approach.

This information will be provided at the on-site review.

A. VII: Enclosures

The following information, which will be cross-referenced to the State's responses in the Process Section of this Guide (Appendix B), should be provided. If the requested information or documentation is not currently available, the State project staff should discuss this with the Federal Review Team Leader. Alternative documents that provide similar information may be provided.

- System diagrams (both the technical architecture and elementary processes performed by the system)
- An Organizational Chart
- Current user manual
- Training manual and materials
- Data element dictionary
- Numbered list of system screen prints
- Numbered list of system alerts/tickers (with a brief description of the alerts/tickers)
- Numbered list of system notices (with a brief description of the notices)
- Numbered list of reports (including management and financial)
- Planned schedule for submitting NCANDS Detailed Case Data Component (DCDC) data (If the State's Child Abuse & Neglect system is included within the SACWIS)
- Copies of SACWIS reports used to complete the Federal IV-E 1 report (formerly IV-E 12)
- Other cross-reference material the State may wish to provide

APPENDIX B: GUIDE - PROCESS SECTION

The *Process* Section describes the SACWIS system's conformance with program requirements derived from statute and regulation. The questions in this section are derived from the SACWIS Action Transmittal (AT) number ACF-OISM-001, dated February 24, 1995.

Functions marked with an asterisk ("*") are mandatory. Any function identified in the regulation as "optional" *but for which the State was approved funding becomes mandatory with APD approval.*

In the Guide below, the State must describe how the automated system meets all of the SACWIS functions. In each sub-section (e.g., Intake, Screening, Assessment, Investigations) space is provided for the State to cite reference sources (such as a Users' Manual) and to cross-reference screens, alerts/ticklers, notices, and reports to the responses in that sub-section. For example, the system-generated reports produced by the system should be identified and cross-referenced to the enclosed list of reports for those that are related to the relevant sub-section. Note that multiple citations may be required for a single question. See Chapter III of the SACWIS Assessment Review Guide for instructions on how to complete this section of the Guide.

Finally, the reader should note that some of the questions in this Guide cover more than one topic. Care should be taken to respond to all of the different components of a question.

Document Control

Date State Submitted the Guide to ACF: *	August 14, 2002
Name of State Official that Submitted the Guide: *	Ramona Foley
Date Last Update by State: *	
Date of Review by ACF:	September 9-12, 2002
Date of Final Report (ACF):	

(*) To Be Completed by State

APPENDIX B: SUMMARY TABLE

This table is updated by ACF as the report is finalized and reflects the findings recorded in the questionnaire by the Federal review team. As findings are resolved by the State, this table will display the status of each functional component, whether the component has an *Action Plan* associated with it, and the page number where the component is discussed. This table will allow the reader to focus on unresolved findings, as well as identify those components with an approved *Action Plan*, which requires tracking in the State’s Advance Planning Document.

The table makes use of the “bookmark” functionality in Word. The State should not type in this table. As the State completes the questionnaire, the page reference numbers in the table will not match the actual pages in the questionnaire. If the State wishes to update the page number on this Summary Table, the writer may type “Control A” (the “Ctrl” key and the “A” key) and then push the “F9” key. This will refresh the page reference numbers. The State does not need to refresh the page numbers.

ACF Only			
Requirement Number	Conforms?	Action Plan?	Page Reference #
1	C		B-7
2	C		B-8
3	N		B-9
4	Y		B-10
5	Y		B-10
6	C		B-12
7	Y		B-13
8	C		B-14
9	Y		B-15
10	C		B-17
11	Y		B-18
12	N		B-20
13	C		B-21
14	N/A		B-22
15	C		B-23
16			B-24
17	Y		B-24
18	N/A		B-26
19	C		B-26
20	Y		B-27

ACF Only			
Requirement Number	Conforms?	Action Plan?	Page Reference #
21	N		B-30
22	N		B-32
23	N		B-33
24	N		B-34
25	Y		B-35
26	C		B-36
27	N		B-37
28	Y		B-38
29	N		B-43
30	Error! Reference source not found.		B-45
31	C		B-46
32	Y		B-46
33	N/A N/A N/A		B-48
34	C		B-49
35	N/A		B-50
36	N/AN/A		B-51
37	C		B-52
38	C		B-53
39	N		B-54
40	C		B-56
41	C		B-57
42	C		B-58
43	Error! Reference source not found.		B-60
44	N		B-61
45	N		B-61
46	N		B-62
47	N		B-63
48	N		B-65
49	N		B-66
50	N/AN/A		B-67
51	C		B-67
52	N/A		B-68
53	N/A		B-69
54	N/A		B-70
55	N/A		B-70
56	N/A		B-71
57	N/A		B-71

ACF Only			
Requirement Number	Conforms?	Action Plan?	Page Reference #
58	Error! Reference source not found.		B-73
59	N		B-73
60	N		B-76
61			B-77
62	N		B-78
63	N		B-79
64	N		B-81
65	Y		B-82
66	N/A		B-83
67			B-83
68	C		B-84
69	N/A		B-85
70	N/A		B-86
71	N		B-87
72	C		B-88
73	Y		B-89
74	Y		B-89
75	C		B-90
76	C		B-92
77	Y		B-92
78	C		B-94
79	C		B-95
80	Error! Reference source not found.		B-96
81	N/A		B-96
Error! Reference source not found.	Error! Reference source not found.	Error! Reference source not found.	B-Error! Bookmark not defined.
83	N		B-100
84	N		B-100
85	N		B-101
86	Y		B-101
87	Y		B-103

B. I: Intake Management

Goal: Through the effective and efficient use of automation, provide for the administration of the processes necessary to ensure that the child welfare services (CWS) agency can respond to those who need assistance through the proper identification of the individuals and provision of appropriate assessment procedures.

A: Intake

Goal: To provide an automated entry point into the child welfare services (CWS) agency for children and families who seek services, are referred for services, and/or who are reported to the agency.

Cross Reference Box for the INTAKE Section			
Reference Sources (Document/Chapter): FACIS Training Resource Guide Pages 62 through 79; 82 through 87; 93,94, 98 and 114.			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier
S156, C180, F149, C114, S156, C181, C106, C120, S176, C182, S157, C119	1, 3, 8, 9	See "Alert"	

1. (1) Record contact/referral * — Describe how the automated system
 - a) records initial contacts regarding allegations of abuse or neglect, and/or
 - b) provides for the input of a formal referral for protective services, voluntary placement services, juvenile corrections, and other services.
 - c) The State response should also indicate when the "Intake Report" is frozen in the system.

State Response:

Oregon SACWIS includes functionality that supports the State's child abuse and neglect component. The State has a centralized Protective Service Screening Unit in Multnomah Co., the "Child Abuse Hotline" which operates 7 days a week from 8:A. M. to 10:P.M. This Hotline operates for the tri-county area for after hours and weekend calls. The tri-county area consists of Multnomah, Clackamas and Washington counties. Columbia County also uses the "Hotline" with a 1-800

number for after hours calls. After 10:P.M. these counties contract with "Protocol Service" to take the calls from 10:P.M. to 8:A.M. Lane County also has a centralized intake for six offices from 8:A.M. to 5:P.M. They use two teams to respond to these calls to complete the assessments. The balance of the State has Intake Units located in each branch office. The after hours calls are taken at the local Police Departments and many branches have "On Call Workers" to assist in this process. The calls are then referred to the branches the next workday morning. Many Police Departments fax a police report to the branch which can later be scanned into the "Screener's Nature of Referral Narrative".

1.a. Initial contacts regarding allegations of abuse or neglect are captured in the systems "New Intake" window. These five windows are accessed by pressing the telephone icon on the FACIS toolbar at the top. They display the Intake Screener's name and Workload ID. This window includes basic information about the caller, victim, family, initial contact, allegations, and perpetrator. It also displays the intake date and time, and whether or not immediate response is warranted. The investigating Protective Services worker records the initial contact with the child, parent(s), and the date the LEA was notified on the "Assess Referral" window.

1.b. Inquiries and requests for formal input of protective services, voluntary placement services and other services are captured on the same "New Intakes" window and are handled by the Child Welfare office located in the county where the family resides. In Multnomah County, input of all protective service inquiries, requests and reports are input by the Child Abuse Hotline. Voluntary placement services and other services are handled by the office nearest the family. The system records all referrals (logged or referred for assessment) in the database. The system supports the referral process to the Investigating Worker after the case has completed the screening process. All referrals are generated by the system and assigned to the worker via the Supervisor of the Intake Unit or Protective Service Unit in each branch. Juvenile Corrections is no longer a part of DHS in Oregon.

1.c. The intake referral is frozen at the point the screened intake is saved and closed. A window asking the worker how he/she wants to save this intake is used. Selecting "Log" saves the intake as an I&R (Intake and referral), and completes the Intake. Selecting "Pend" saves the intake and puts it in the screener's "workload", and the intake is not complete. The worker goes into his/her "workload" to complete the intake at a later time. Selecting "Refer" creates a referral to an investigating worker to complete the assessment. This selection updates the database, and removes the intake from the screener's workload.

ACF Comments for Requirement: 1					
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Request for Additional Information:

It appears that intakes can be backdated from the point in time that the referral is logged. FACIS must capture both Date of Entry and Date of Referral. Additional information is required to determine whether the system captured both the Date of Referral and the Date of Entry.

If the system does not capture both data elements FACIS must be enhanced to address this issue.

2. (2) Collect intake/referral information * — Describe how the automated system
- a) allows for the input of available **situation** and **demographic** information,
 - b) including the **cross-referencing of relationships** among participants, and
 - c) the **reason for referral**.

2.a. The "New Intakes" window is used to allow for the input of available situation and demographic information. There is a large area on this window called the "Scratchpad". General notes about the nature of the intake are typed here and later transferred to the "Nature of Referral" window if this intake is to be assigned for assessment. There are 15 buttons on this window to assist the worker in moving to the next activity. These buttons include the "Basic Info" to capture the basic information about the intake such as the type of referral, type of reporter, how the intake was received, perpetrator type, allegations, Etc. The "Basic Referral Information" window includes a button to record the "Nature of Referral" if the intake will proceed to assessment. The "New Intakes" window has a place to record the name of the Law Enforcement Agency notified and the date and time of that notification. There is a "Search" button to determine if there is a prior history for this family. The "Search Intakes" window lists families with history and the "Case Notebooks" can be reviewed for history and updated using the "members" tab. Where it is possible, the system uses tabs, drop down boxes with pick-lists, checklists, and radio buttons to simplify data entry.

2.b. To the extent it is known, individuals are linked to other members of the family during the initial intake and the following assessment completion. Oregon State policy requires the case member identified as "self" (this is the name on the case record or "case name") to be a legal parent or a legal guardian of one of the children in the case. All other case members have a designation of their relationship to the case name. Relationships are also recorded in the "Resources" section.

2.c. The "reason for referral" in FACIS is indicated by the allegations received at the time of intake. If the "type" of referral is "Protective Service", the "allegations" field becomes a mandatory input and workers select these allegations from a pick-list (this information is frozen and cannot be changed once the screener refers this intake for assessment. There may be different and/or

additional allegations during the assessment phase). For all other types, reason for referral is documented in the "nature of referral" narrative and is mandatory for all intakes.

ACF Comments: 2

Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Request for Additional Information:

There is a large area in the new intakes window called the "Scratchpad." General notes about the nature of the intake are typed here and later transferred to the "Nature of Referral" window if this intake is to be assigned for assessment. ACF is concerned that relevant information may not be transferred to FACIS. ACF recognizes that the State is redesigning this process. The enhancement will eliminate the scratch pad feature for intake, and enable the new workflow to guide the user through the screens in a logical order. The State should describe the planned enhancement and confirm our understanding that the scratchpad will be eliminated.

Technical Assistance:

Because "self" is key to all other relationships, ACF suggests that the State create an alert that reminds the system user to change the relationship code whenever "self" changes. Additionally, ACF would expect FACIS to have intelligence to determine the relationship of parties to a case once a reciprocal relationship is determined.

3. (3) Search for prior history (persons/incidents) * —

- a) Describe how the automated system searches the database(s) to check for prior incidents and other available information.
- b) For a single incident, does the system allow for multiple reports of an incident by including information on each individual or agency making a report?

YES **NO** If yes, please describe.

State Response:

3.a. Clicking the "Search" button on the "New Intake" window takes you to the "Search Cases" screen. This window includes a pick-list and with worker selection can search eight databases. These are SCF/AFS clients (now known as (Child Welfare) CW/SS (Self-Sufficiency)); SCF Clients; SCF Clients and Providers; SCF Providers; AFS Clients; Support Enforcement Cases; Intakes; Public Schools. After the worker selects a case the "Duplicate Case Wizard" will call the workers attention to any other cases that match the same information. FACIS then prompts the worker to select which case is the correct one. The worker then selects "Intakes". Intakes can be searched by Intake ID # (the number assigned to each New Intake), from a starting date to an ending date, by Branch, Status, Worker, Case Name and by Caller Name. If no case is found, the worker can select "Intakes" and enter the search criteria in the "Where" side of the Search Intakes screen,

clicking the "Search" button will return a list of intakes that match the criteria entered. For each case found which is relevant to a new intake, the worker may click the "assessment" button to display all previous "logs" and "referrals". Each referral may be displayed completely for referral assessment and disposition information by double clicking on the referral he/she wants to view. The worker may view all prior intakes on a case.

3.b. Yes – The system allows multiple reports of an incident by including information of each individual or agency making a report. The Intakes search criteria includes search by Caller Name.

ACF Comments for Requirement: 3

Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding A:

Searching is problematic because FACIS requires an exact match. At times caseworkers cannot find a case or a child in FACIS even though they know that the child or case exists in the system through their previous work with a particular family.

Requirement A:

The State must ensure that the FACIS search mechanism locates appropriate individuals to avoid duplicate data entry and to be able to track repeated patterns among individuals.

Request for Additional Information A:

Currently, the State's search process is case based. However, Oregon plans to revise this entire section through the Client Index Project and will require member searches before adding a new case. ACF supports Oregon's decision to modify the search from case based to member based, as well as implement all additional enhancements included in the Client Index Project. ACF requires additional information to confirm that the search process has been modified as specified.

Finding B:

The system does not allow for multiple reports of one incident to be included by adding information to a specific referral; instead a new report is required. This may result in an over count of referrals.

Requirement B:

The purpose for the referral count is to enable investigators to determine patterns in incidences. The total count is inaccurate and misleading if the system creates multiple reports for a single incident.

4. (4) Record "information only" requests — Describe how the automated system records calls or contacts which do not involve a specific allegation or a referral concerning abuse and/or neglect.

Was this Function selected as an Option in the State's Approved APD? YES NO .

If Yes -

State Response:

4) Record "information only" requests – An information only is recorded when the screener is asked, "How do you want to save this intake?" in the "Save and Close Intake" window. The screener selects "log" and it saves the intake as an "I&R" (Information and referral) and closes the intake.

ACF Comments for Requirement: 4					
Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

B: Screening

Goal: To provide an automated mechanism that identifies the potential danger or harm to the children involved in a reported incident of abuse or neglect and determines whether the agency will be able to respond to the needs of children and families.

Cross Reference Box for the SCREENING Section			
Reference Sources (Document/Chapter): FACIS Training Resource Guide pages 32 through 46, 71 through 81 and page 91.			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier
S157, R108, S156, C227, S176, C226	1, 3, 4, 8, 9	See "alert"	

1. (5) Evaluate intake information * — Describe how the automated system supports the evaluation of the available information to determine the necessity of establishing a case.

State Response:

5) Evaluate intake information. FACIS supports the evaluation of the available information by listing the allegations received in the "Basic Referral Information – Intake window" and whether or not it fits the criteria of abuse used by the State of Oregon (policy on line). To access the policy, the screener clicks the "P" at the top of the FACIS window. Information is also entered in the screener's "Nature of Referral" narrative.

ACF Comments for Requirement: 5					
Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Technical Assistance:

ACF suggests that Oregon consider the direction other States have taken in requiring a supervisory review of multiple calls on the same child or family that do not meet the definition of abuse after three or four calls." Having a "screened out" selection or a log (with accompanying policy for supervisory review) of screened out calls could support this process.

Observation:

Users like the narrative backup feature that allows them to retrieve unsaved narratives when the system goes down.

2. (6) Record the results of the screening evaluation * — Describe how the automated system provides for the recording of the determination resulting from the screening process.

State Response:

6) The results of the screening evaluation are recorded in the "Screener's Nature of Referral" narrative section. This narrative must be completed if the intake is going to be investigated. When it is determined no assessment is necessary, the referral is logged and this saves the intake as an Information and Referral and the intake is closed.

ACF Comments for Requirement: 6				
Conforms? Y/C/N	C	Action Plan? Y/N/Blank	Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank				

The save and close intake window allows the screener to log, pend, or refer an intake for assignment based on his/her assessment of available information. The results of the screening evaluation are recorded in the "Screener's Nature of Referral" narrative section. This narrative is required if the intake is going to be investigated. When it is determined that an assessment is not necessary, the referral is logged saving the intake as an Information and Referral item. The intake is then closed.

Finding A:

There are two problems with intakes that are allowed to pend:

- 1) there is no alert to identify intakes remaining in pending status. This allows some intakes to "pend" indefinitely, i.e., lost in the system.
- 2) FACIS freezes intake information at the point the worker chooses the "logs" or "refers" option. However, if a worker chooses the "pend" option, the information can be changed.

Requirement A:

Intakes that have been "pended" must have an associated alert to prevent them from remaining in "pend" status indefinitely. ACF recommends that the State implements alerts in FACIS to prevent intakes from getting lost. Once the worker has reviewed the pended intakes and has made a decision, the intake information must be frozen as in the normal process.

Technical Assistance:

ACF supports Oregon's plan to add new time frames for responses and take the user through a Guided Assessment Process.

ACF recommends the development and use of standard questions to speed up the effort to capture consistent information in the narrative.

The State should examine measures to ensure cases are assigned before the batch exception report is generated. A printed version of the Case Load Status identifies cases with missing information or cases that have not been assigned.

3. (7) Establish case record * — Describe how the automated system provides for
- a) the establishment of a new case,
 - b) the association of a new allegation with an existing open case, or
 - c) the re-opening of a closed case.

State Response:

7.a FACIS provides for the establishment of a new case after the search windows have been utilized, the "Duplicate Cases Wizard" cases have been eliminated and no prior case is found. The worker clicks on the "finish" button on the "Duplicate Cases Wizard" window and a new case is created for the client.

7.b FACIS provides for the association of a new allegation with an existing open case through the "Search" process of reviewing cases and prior intakes. Also the "Duplicate Cases Wizard" gives the screener a further search of cases prior to actually opening a new case.

7.c FACIS provides for the re-opening of a closed case through the "Search" process. If FACIS finds a matching case the screener retrieves the information to the intake. And after the "Duplicate Cases Wizard" names (if any) are eliminated, the case is re-opened.

ACF Comments for Requirement: 7

Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

4. (8) Assign case to worker * — Describe how the automated system
- a) supports and records the assignment of the case to a worker, and
 - b) provides for the tracking of that case through the process.

State Response:

8.a FACIS supports and records the assignment of the case to a worker by the screener selecting "referred" as a means of closing the screening part of the intake. This sends the case to a supervisor to be assigned to a worker for assessment or investigation. The cases are accessed through the case file (workload) icon on the FACIS toolbar. The supervisor reviews and assigns the intake to an investigating or assessing worker.

8.b FACIS provides for the tracking of cases through the process by appearing as an "assigned referral" on that worker's workload "Caseload Status Report". All newly assigned referrals for a worker, which have not been assessed by the worker, have the status of "New" on the Assigned Referrals Workload list. This workload is accessed by clicking the "workload" icon (file cabinet) on the FACIS toolbar and selecting "referrals to be assessed." This brings up a list of the referrals assigned to that worker.

ACF Comments for Requirement: 8				
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date
Finding Summary Worksheet Completed?				Yes or Blank

Requirement A:

Oregon must ensure that cases are assigned in a timely fashion and that cases and any related information are not lost. Oregon is urged to automatically assign cases. ACF understands that the State is working to address this issue and plans to enhance the system to ensure that no cases are lost. The updated SARGE and the next APDU should describe how this component has been enhanced.

Finding B:

Some workers are carrying a heavy workload. If particular actions are not invoked, the work item is never removed from the worker's workload, and that may lead to the item remaining on the case Action Item list indefinitely.

Requirement B:

FACIS should include alerts that do not depend on any particular worker's actions. This would be especially valuable in a State like Oregon where heavy workloads could lead to work items being overlooked or lost.

Technical Assistance:

The State should consider developing ticklers or time sensitive alerts to tell supervisors what is pending in order to improve the automated assignment of cases.

Observation:

The batch report (Mobius) of orphaned cases is a good aspect of FACIS that allows monitoring of new case assignments. It is even more effective when this report is accessed online, which enables timely actions without waiting for the batch report.

5. (9) Refer for investigation and/or services, as appropriate * — Describe how the automated system supports the referral/transfer of the case
- a) for investigation, if necessary, or
 - b) for the assessment, if the allegation is not related to maltreatment.

State Response:

9.a FACIS identifies the "type" of referral, "allegations" and the worker to whom the investigation is assigned and also indicates if the child is in eminent danger. The assigning worker/supervisor will select a 'branch' and "Assign to" name. When the referral has been assigned to a worker for assessment, the referral shows up on that workers workload and on-line "Caseload Status Report". This information is available to anyone searching for any name in that case.

9.b FACIS identifies the "type" of referral, "allegations" and the worker to whom the assessment is assigned. The assigning worker/supervisor will select a 'branch' and "Assign to" name. When the referral has been assigned to a worker for assessment, the referral shows up on that worker's workload and on-line "Caseload Status Report". This information is available to anyone searching for any name in that case.

ACF Comments for Requirement: 9

Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Observation:

If the investigation worker sees an immediate need for service, the worker can immediately make it an ongoing case. He/she can determine that this is a child welfare case and open it to service by selecting the appropriate radio button.

C: Investigation

Goal: To use the automated system to support the determination of the level of risk to the child, or children, involved in a reported incident of abuse or neglect and to make a recommendation regarding continued agency involvement.

Cross Reference Box for the INVESTIGATION Section

Reference Sources (Document/Chapter): FACIS Training Resource Guide, pages 39 through 46; 115 through 123; 143 through 149

Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier
C119, C118, C117, C113, C106, C105, C179, C147, C150, C138, F149, F164, F165, G130, A168, A240, A241, A242, A243, A244, A245, C173, C228, C227, C226, C224, C223, C220, C174, C161, C160, C136, C116	1, 3,8, 9		

1. (10) Collect and record investigation information — Describe how the automated system
 - a) provides for the input of information collected during the investigation process,
 - b) including the recording of contacts made during the investigation.

Was this Function selected as an Option in the State's Approved APD? YES NO .

If Yes -State Response:

10.a FACIS provides for the input of information collected during the investigation process in the "Assessor's Nature of Referral" section. The system uses narrative templates to assure all required questions are answered. The worker selects the template from a pick list of Assessment Disposition Narratives. The choices are: Assessment Only narrative; Non-Substitute Care narrative; or Substitute Care narrative. FACIS also allows long documents written for Court or CRB to be merged into the on-line form "307."

10.b FACIS includes the recording of contacts made during the investigation in the Assessor's Nature of Referral Narrative. Contacts can also be recorded in "Case Notes" and "Action Items". These are "tabs" located in the "Case Notebook".

ACF Comments for Requirement: 10				
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date
Finding Summary Worksheet Completed? Yes or Blank				
<p><u>Finding A:</u> Dispositions can be changed at the State Office when a client successfully disputes an allegation. The perpetrator cannot be listed by name, since Oregon does not have a perpetrator database. Also, the State is not allowed to enter someone as a family member for the purpose of tracking perpetrators. So, while perpetrator information may be in the system, it may end up embedded in a narrative. This may be an issue when conducting a licensing check for adoptive/foster providers.</p> <p><u>Requirement A:</u> Oregon must track perpetrators or cite the State law that prohibits the Department from identifying perpetrators.</p> <p><u>Technical Assistance:</u> ACF recommends that Oregon determine a consistent time frame in which to freeze case information.</p> <p>While FACIS has narrative templates, some important data is embedded in the narrative and is difficult to retrieve. ACF recommends that the State consider adding specific data fields to capture this information so that it can easily be retrieved. ACF also recommends that the State improve its ability to identify perpetrators while operating within State law.</p>				

2. (11) Record investigation decision * —

- a) Describe how the automated system provides for the recording of the decision resulting from the investigation.

For informational purposes:

- b) What disposition categories are used?
- c) Is information on investigation dispositions, including findings with respect to each allegation of maltreatment, linked to the perpetrator's record?

State Response:

11.a The assessing worker records the decision resulting from the investigation in the "Assess
--

Referral" window. (This window is accessed through the "Case Notebook" or through the "Workload" icon on the FACIS toolbar or the worker may select "workload from the "view" menu on the FACIS menu bar.) If the findings warrant protective services, a "Protective Service" tab is pressed and additional information is entered such as the "Report Disposition," "Family Stress Indicators," who completed the investigation Law Enforcement, Tribal Court or Children and Families worker.

11.b The disposition categories are chosen from a pick list. They are: To be Determined; Unfounded; Founded; and Unable to Determine.

11.c The State of Oregon does not keep records on the perpetrators except their relationship to the victim. If the perpetrator is a family member, and listed on the case, that relationship would link the dispositions and findings to him/her.

ACF Comments for Requirement: 11					
Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Technical Assistance:

Oregon should re-examine the whole issue of registering perpetrators. By not linking founded abuse allegations to perpetrators, determining safety and possible risk at intake and assessment are much more difficult for Oregon and other States. There is no easy way to track offenders who move to different families.

3. (12) Generate documents as needed in response to investigation * — Describe how the system supports the preparation of
- a) alerts/ticklers,
 - b) notifications, and
 - c) reports required during, and as a result of, the investigative process.

Please Note -- This is a common functional requirement and appears in various parts of this Guide. The *State Response* to this question should address the system capabilities related to the generation of alerts/ticklers, notices, and reports as well as the specifics related to this functional area. Similar questions appearing in other functional areas can then refer to this question and limit the subsequent response to the specific functional area in question.

State Response:

12.a FACIS supports the preparation of **alerts/ticklers** by placing the assigned referral in the worker's "workload". When the worker checks his/her workload, the list includes all work assigned to that worker. The worker can list this workload specific to the job required. For example, the worker could ask for a list of all referrals needing an assessment. Or the worker could ask for a list of all open cases on his/her workload and view his/her on-line "status report". Also when opening the "Case Notebook" the worker is instructed to check the title bar of this page immediately. If a previous user has posted an **"Alert Notice"** (for example, a protection order, emergency medical

information or runaway child situation), the word "**Alert**" displays in the title bar of the "Basic" window and the notice in the "Alert Message" field. Workers may also use "Action Items" as an alert/tickler.

12.b FACIS supports notifications by placing the assigned referral in the worker's "workload" or if he/she does not want to wait for the worker to look up his/her workload. An email would be sent to the worker to notify him/her of the workload addition.

12.c Reports required during, and as a result of, the investigative process are supported by FACIS in the completion of the online Form 147, "Assessment Narrative." A template is used in FACIS to assure all required information is included in the narrative.

ACF Comments for Requirement: 12				
Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date
Finding Summary Worksheet Completed? Yes or Blank				

Finding A:

In general, FACIS does not use automated ticklers or alerts to notify workers of impending actions. For example, FACIS generates the 307 form that is used for the investigation, however there are no automated alerts. The Intake Review Committee looks at a paper copy of 307, assigns or closes out the case, and faxes a copy of 307 to the Law Enforcement Agency. Although there is no automated alert to notify the worker of any pending action, the worker can go to the Workload screen and view actions that need to be taken.

Requirement A:

ACF supports Oregon's efforts to move the tickler functionality for upcoming case events from ARMS to FACIS. FACIS should be able to notify the worker of pending actions that are due and send automated notifications to clients.

Finding B:

The date of the Law Enforcement Agency (LEA) notice goes away when the intake is closed and saved by using log or refer is a matter of concern. This could be significant in confirming whether or not CAF provides a timely response to the LEA.

Requirement B:

Response to Child Protective Services and Child Welfare operations, such as LEA, must be timely, and should be reflected in the system as well as in hardcopy. The State must insure that the alert related to the LEA notice is properly invoked.

Finding C:

This is a general requirement across all SACWIS components. The system does not adequately support the generation of notices to external entities. It appears that staff manually generates all notices to all external entities.

Requirement C:

The State must enhance the system to generate necessary notices to external entities, eliminating the need to manually generate these documents. This requirement is not repeated for other components.

Observations:

- In interviews, it was noted that a number of notices are generated by hand that could be generated by FACIS, this would be an issue in a SACWIS assessment review.
- Users requested easier ways to track open cases and urgent issues in their workload. Some users who were interviewed were not aware of any way to note urgent concerns on the workload screen.

- Users would like a checklist for things that need to be included for the Citizens Review Board. Users also felt that the Form 147A does not have a user-friendly format.

D: Assessment

Goal: To provide automated support of the determination of the level of risk to the children involved in an allegation of abuse or neglect and to identify service needs.

Cross Reference Box for the ASSESSMENT Section			
Reference Sources (Document/Chapter): FACIS Training Resource Guide pages 25, 32 through 48, 83, 114 through 117, 121,132,138,141, 149, 154 through 177 and 214 through 223			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier
C216, A168, C150, P170, P183, P184, P185, P186, P187, P188, P225, C124, C125, C118, C102, C223, C227, C226	1, 3, 5, 6, 7, 8, 9		

1. (13) Determine and record risk assessment * — Describe how the automated system supports the evaluation and determination of risk factors affecting the case.

State Response:

13. FACIS supports the evaluation and determination of risk factors affecting the case through the on-line policy. The policy is accessed by clicking the "P" on the FACIS toolbar. The level of risk is recorded in the on-line Form 147, "Assessment Narrative."

ACF Comments for Requirement: 13			
Conforms? Y/C/N	C	Action Plan? Y/N/Blank	Resolution Date
Finding Summary Worksheet Completed? Yes or Blank			

Request for Additional Information:
 ACF recognizes the State's efforts in enhancing this requirement through the Guided Assessment Project. ACF requests that Oregon update the SARGe to better describe how FACIS supports the new automated assessment feature.

2. (14) Perform risk assessment — Describe how the automated system performs an automated risk assessment to determine the relative level of risk.

Was this Function selected as an Option in the State’s Approved APD? YES NO .

If Yes -

State Response:

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ACF Comments for Requirement: 14					
Conforms? Y/C/N	N/A	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Note:

This was not a State selected option.

3. (15) Collect and record special needs/problems * —

- a) Describe how the automated system supports the determination and documentation of special needs/problems (e.g., special education, developmental disabilities, medical assessment, etc.).
- b) Considering that AFCARS is a SACWIS requirement, the response should also indicate how the categorization of disabilities and family problems in the system correspond to AFCARS and NCANDS (if applicable) data reporting elements.

State Response:

15.a FACIS supports the determination and documentation of special needs/problems through the "family member detail" window. This is accessed within the FACIS Case Notebook by selecting a child. Click on "edit member" button and press the "special problems" tab. A pick-list is used to select up to a maximum of six problems. Special Problems are entered as unverified and within 30 days they are verified by the appropriate professional and the workers clicks the "Verify" button to verify the special problems in FACIS.

15.b The categorization of disabilities and family problems in FACIS correspond to AFCARS data reporting elements and are recorded on the on-line Form (147's).

ACF Comments for Requirement: 15					
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					
<p><u>Finding:</u> FACIS does not record that a child has been referred for evaluation, but captures up to six special needs that have been “verified” by a licensed practitioner. There is potential for confusion between special needs that are observed and those that are diagnosed. AFCARS special needs and special problems (e.g., “teen parent”) are combined.</p> <p><u>Requirement:</u> ACF recommends that the text field be changed to “verified by licensed practitioner.” FACIS should separate and identify observed and diagnosed special needs. While it may be a mainframe limitation, FACIS should not limit a child to only six special needs.</p> <p><u>Technical Assistance:</u> AFCARS special needs are currently combined with other characteristics. ACF recommends looking at ways to separate and label the two types of special needs (observed and diagnosed). FACIS should allow more than six special needs to be selected from the Possible Special Problems list per child. The State should consider a review of AFCARS special needs mapping to ensure accuracy and completeness (see Appendix D-AFCARS Section for additional details).</p>					

4. (16) Determine and record needed services * — Describe how the automated system
- a) supports and records the determination of needed services,
 - b) **including** the assignment **and** level of care (placement locations, in-home care, etc.).

State Response:

16.a FACIS supports and records the determination of needed services in the "Case Notebook". Worker clicks the Plan/Services Tab and selects the Plan from a pick-list; clicks "New Service" button and the "Service Detail" window opens. He/she selects the Plan he/she wishes the service to be opened under from a drop-down pick-list. Selects the member for whom the service is being opened from a pick-list; selects the worker ID of the worker responsible for the service; selects the service "type" from a pick-list; selects the service "reason" from a pick-list (the "reason" drop down pick-list changes based on the type of service selected) (to see a description of the "Service and/or "Reason" and how it is used, select a service and then click the "Details" button to the right of the drop-down pick-list); enters the "begin date" of the service using a calendar button; and enters the "projected end date" using a calendar button. If a paid service, the worker clicks the "payment" tab to complete the payment information, and selects a payment "method" from the drop down pick-list.

"Paid" and "Client Paid" have additional choices for "Rate of payment, which pops up on the window as you select either choice. For "Paid" or "Client Paid" services a "Provider" must be entered. The worker can type in the provider number if it is known, or use the "Search" button to search for the provider record. The provider record can be retrieved to the payment window. When all the service information is complete, the worker clicks "ok" and selects whether to "pend" the service or "update IIS" (database). If the worker is entering the same service for another sibling, he/she can use the "ok & new" button to "shotgun" a service for another child in the family. This allows the worker to enter the information only once and only select a different child to enter the service for another child.

16.b The assignment and level of care is recorded by indicating the "type" of placement when opening the service. The choices in the pick-list are Regular Foster Care, Shelter Care, Residential Care, Relative Placement, etc.

ACF Comments for Requirement: 16					
Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

Currently Federal Revenue Specialists and clerical staff read narratives to determine if these services have been provided. This type of effort can be considered problematic in a SACWIS system.

Requirement:

ACF recommends that the system be enhanced to assess if Targeted Case Management services have been provided.

5. (17) Record client contacts — Describe how the automated system provides for the recording of client contacts in the electronic case folder.

Was this Function selected as an Option in the State's Approved APD? YES NO .

If Yes -

State Response:

17. FACIS provides for the recording of client contacts in the "Case Notebook" by entering them in the Narrative templates; client contacts can also be entered in "Case Notes" and "Action Items".

ACF Comments for Requirement: 17					
Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Technical Assistance:

Oregon should consolidate contacts in one place within the system to make them easier to find. There should be a first parent/child contact date within the referral assessment narrative. Practice

must be consistent from office to office. Categories should be easy to understand and used consistently in the field.

ACF found that the person identifier (person letter) was being used inconsistently and/or misunderstood by many FACIS users. If this functionality is retained, the State should provide consistent guidelines on its use and meaning.

6. (18) Prepare and record referrals to other agencies — Describe how the automated system provides for the preparation and recording in the electronic case folder of referrals to other agencies.

Was this Function selected as an Option in the State's Approved APD? YES NO .

If Yes -

State Response:

We did not select this option but workers do have the option of "logging" an intake and noting the agency, to where a referral is made, in the logged intake. Workers may also record this information in "Case Notes" and on-line "forms".

ACF Comments for Requirement: 18				
Conforms? Y/C/N	N/A	Action Plan? Y/N/Blank		Resolution Date
Finding Summary Worksheet Completed? Yes or Blank				

Note:

This was not a State selected option.

Observation:

Clothing vouchers are completed on forms with carbon paper. User requested that FACIS be modified so that the system can generate these vouchers.

7. (19) Collect and record further case information — Describe how the automated system provides for the recording in the electronic case record of additional case information gathered during the assessment process.

Was this Function selected as an Option in the State's Approved APD? YES NO .

If Yes -

State Response:

19.FACIS records additional case information gathered during the assessment using the automated Form 147, "Assessment Narrative" and in "Case Notes". These narrative windows are accessed through the "Case Notebook"

ACF Comments for Requirement: 19				
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date
Finding Summary Worksheet Completed? Yes or Blank				

Finding:

FACIS allows the assessment decision to be saved, but not the contributing factors.

Requirement:

On-going case information, updates, and any factors that contribute to the assessment decision should be captured in a SACWIS system. This information would be especially critical when multiple workers are assigned to a case throughout its life.

8. (20) Generate documents, notices and reports based on review as needed * — Describe how the automated system supports the generation of

- a) documents,
- b) notices, and
- c) Reports during, or resulting from, the assessment process.

The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.

State Response:

20.a FACIS supports the generation of documents in the screening and assessment phase by generating a form SCF307 for the physical case record. This document shows the demographic information about the family as well as the referral information.

20.b FACIS supports the generation of notices to workers by placing the referral to be assessed in the worker's workload file. The "workload" is accessed by clicking on the file cabinet on the FACIS toolbar. The worker selects the type of workload from a pick-list. The "status" drop down pick-list in the "assigned referrals" window allows the worker to search "new" or "pending" referrals.

20.c FACIS supports the generation of reports during, or resulting from, the assessment process on the automated Form 147 "Assessment Narrative". If the assessment has not been completed, the assessment is listed on the on-line "caseload status report". A "caseload status report" is also generated as a paper copy from the information entered through FACIS into the database (IIS).

ACF Comments for Requirement: 20

Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

B. II: Eligibility

This function consists of determining programs for which funding support is available for clients receiving services. Program eligibility may include funding for foster care/adoption payments and determining the type of programs that will allow a client to receive Medicaid coverage. This function is usually initiated sometime during the Intake Function.

Goal: To provide efficient and effective system support for the identification and qualification of children for program funding.

A: Initial Eligibility Determination

Goal: To provide automated support for the timely qualification of potential program beneficiaries.

Cross Reference Box for the INITIAL ELIGIBILITY DETERMINATION Section			
Reference Sources (Document/Chapter): FACIS Training Resource Guide pages 228 through 263			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier
E139, E 140, E141, E142, E148, E169, E189, E190, E191, E192, E193, E194, E195, E196, E197, E198, E199, E200, E201, E202, E203, E204, E205, E206, E207, E208, E209, E210, E211, E212, E213, E214, E215, E221, E222, C227, C220, C121	1, 2, 3, 8, 9		CP0033CL-1, CP0033CL-2, CP0211CL CP0646CL CP0830CL CP0847CL CP0927CL-A CP0927CL-B CP0927CL-C CP0927CL-D CP0927CL-E CP0927CL-F CP0979CL-C CP0979CL-D CP1008CL

Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier
			CP1091CL-1 CP1091CL-2 CP1091CL-3 CP1103CL CP1142FI CP1307FI-A CP1307FI-B CP1307FI-C CP1444CL-1 CP1444CL-2 CP1444CL-3 CP1452CL CP1461CL CP1522CL-1 CP1532CL CP1563TC-3 CP1563TC-4 CP1563TC-5 CP1563TC-6 CP1563TC-9 CP1578FI CP1584CL-1 CP1584CL-2 CP1587FI

1.a. (21) Determine Title IV-E eligibility * — How does the State use the automated system to support the determination of AFDC-related eligibility for Title IV-E?

State Response:

21. FACIS supports the determination of AFDC-related eligibility for Title IV-E through the "Title 4E" window. There are six pages to this window recording Circumstances – demographic information; Parents – parent benefit/financial information; Child – monthly income, benefit, and trust account information; Narrative – current and prior narrative text; Review – current information used for reviews; and Determinations – determination dates and legal information. A worker can access this window to view or edit an existing determination, or to create a new Title IV-E determination in several ways: through the "Workload," "Eligibility Notices" window; through the "Eligibility" "History" window; and through the "Case Notebook" "Eligibility" window.

ACF Comments for Requirement: 21					
Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					
<p><u>Finding A:</u> FACIS does not meet the automated eligibility requirements for a SACWIS compliant system. For example, the system creates defaults for data fields that are necessary in the calculation of eligibility. Also, on the “Parent” screen, FACIS creates the default “none” for parent’s income.</p> <p><u>Requirement A:</u> Oregon should modify the system to require users to actively confirm the existence or lack of factors that would be used to determine eligibility.</p> <p>Oregon has considerable discretion in determining how much automation is needed to make accurate Title IV-E eligibility determinations. However, it is ACF’s expectation that the State’s automation approach will be sufficient to achieve the following two goals:</p> <ol style="list-style-type: none"> 1) To document the data used to establish an individual’s complete Title IV-E eligibility in an automated information system so that it is available for independent review and audit, and 2) To ensure that all eligibility factors are consistently and accurately applied in every eligibility determination (automation of the eligibility rules and arithmetic calculations can eliminate much of the potential for error inherent in manual processes). 					
<p><u>Finding B:</u> Determining eligibility for the Adoption Assistance program is a manual process found in ARMS.</p> <p><u>Requirement B:</u> The State must enhance the system to support the automated eligibility calculation for the Adoption Assistance program.</p>					

Technical Assistance:

States may calculate AFDC eligibility (needed to determine Title IV-E eligibility) in several different ways. Some possible methods are listed below.

- Include a Title IV-E eligibility module in the TANF or former AFDC system - Potential advantages of this approach include the re-usability of existing programming from the former AFDC system.
- Build a simple module into SACWIS - The primary advantage of this approach is that all relevant information and functions are captured in one system.
- Considering both the Title IV-E and Title XIX programs base program eligibility on the AFDC rules in effect as of 7/16/96, a State could create a stand-alone module that would be used by both of these systems (with costs allocated to the benefiting programs). Under this approach, the applicable State systems could use the stand-alone module through an interface.
- Use the Title XIX eligibility system to calculate eligibility. Title IV-E eligibility could be determined through an interface with the Title XIX system, if that system had a module capable of determining eligibility for AFDC as it was in effect in the State on 7/16/96. The cost of the eligibility module would need to be allocated to the benefiting programs. This approach would allow States to leverage existing functionality and might mirror processes used before the enactment of PRWORA.
- Other solutions may be proposed by a State; however, the rationale for any solution needs to be justified in terms of efficiency and cost-effectiveness.

The State is encouraged to examine the alternatives available to it before selecting the option that best meets its needs. The design of the eligibility module should be simple and straightforward. Additionally, the nature of the automation necessary to support this eligibility decision is significantly different from that which was needed to support the former AFDC program. For Title IV-E eligibility, the system would not need to process ongoing eligibility; it would only need to determine eligibility at set points in time (initially and for each re-determination), capture the factors considered in calculating eligibility, and ensure that the eligibility rules are applied uniformly to all clients. It should be noted that the automation of the Title IV-E eligibility calculation does not mean that the State will not need to collect, verify, and track hard copy documents related to the information recorded in the automated information system (e.g., AFDC documentation, court documents and other documents).

1.b. (22) How does the State use the automated system to record/track the legal requirements (judicial determinations) related to IV-E eligibility? *

State Response:

22. FACIS records temporarily the legal requirements (judicial determinations) related to IV-E eligibility on the "Title 4E" "Determination" window. This window records the Petition date, Initiation of Court Action Date, Reasonable Efforts, Best Interests and the Court Order date as well as voluntary placement date.

ACF Comments for Requirement: 22				
Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date
Finding Summary Worksheet Completed? Yes or Blank				

Finding:

As noted above, the FACIS system relies on a manual determination and entry of an eligibility code to document eligibility. While FACIS contains a record of the judicial status of a child, the system does not take in account the relevant court information in determining the child's Title IV-E eligibility.

Requirement:

Oregon must enhance the system to support Title IV-E eligibility, which is a mandatory SACWIS functional component.

1.c. (23) How does the automated system determine/track a child's IV-E eligibility in an out-of-home placement (e.g., type of facility, license status, etc)? *

State Response:

23. FACIS determines/tracks a child's IV-E eligibility in an out-of-home placement through the open service for the child's placement in the "Case Notebook" and the provider number and type viewed through the FACIS Provider Record Information windows.

ACF Comments for Requirement: 23					
Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

As described above, the State uses manual processes to determine and track a child’s Title IV-E eligibilty. Workers use an eligibility code to document eligibility in FACIS.

Requirement:

Oregon must enhance the FACIS to support this SACWIS functional component, through an automated process.

2. (24) Verify eligibility for other programs * — How does the automated system **provide for the exchange and referral of information** necessary to determine eligibility/status under other related programs such as

- a) Title XIX (Medicaid) and
- b) Title IV-D?

State Response:

24.a The workers and eligibility specialists are automatically notified Title XIX reviews are due and/or periodic Reviews as placement changes occur.

24.b The workers and eligibility specialists can view the Child Support cases for necessary information through the FACIS "Search" process using WEBM FIND.

ACF Comments for Requirement: 24					
Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

The interfaces to the IV-D and XIX systems have not been completed.

Requirement:

The State must complete the interfaces between the SACWIS and the systems that support titles IV-D and XIX programs. These interfaces must exchange the available information necessary to determine eligibility within the appropriate system (Medicaid or Child Support).

3. (25) Record authorization decisions * — Describe how the automated system provides for recording the eligibility authorization decisions.

State Response:

25. FACIS provides for recording the eligibility authorization decisions in the "Title 4E" "Determination" window. FACIS also has a "Title 4E" "Narrative" window to allow the Eligibility Specialist to enter any desired narrative to support the determination. This window also displays any previous narratives that may have been entered on the case to support the eligibility determinations.

ACF Comments for Requirement: 25					
Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

4. (26) Generate documents related to eligibility determinations * — Describe how the automated system produces

- a) alerts/ticklers,
- b) notices, and
- c) reports needed to provide information on and track the initial eligibility determinations.

The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.

State Response:

26 a. and b.) The SACWIS system produces alerts/ticklers and notices through the "Eligibility" Tab in the "Case Notebook" then clicking the "Eligibility Notices" button and the workload for eligibility specialists.

26.c. FACIS produces notices as listed above and IIS provides paper reports and review due lists from the database.

ACF Comments for Requirement: 26					
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					
<p><u>Finding:</u> Although the eligibility function delivers alerts and notices in the services, forms, plans, and legal areas of the application, automation across all functional components has not been completed. IIS provides paper reports and review due lists from the database. Workers continue to manually generate notices to all FACIS external entities.</p> <p><u>Requirement:</u> Oregon must enhance FACIS to produce appropriate alerts at critical points in the life cycle of a case. The system must be able to generate the necessary notices to external entities, thereby eliminating the need for workers to manually generate these documents.</p> <p><u>Technical Assistance:</u> State policies require that the child caretaker sign a paper application as part of the IV-E eligibility determination process. As a point of clarification, Federal rules for this program do not require, or expect, the State to secure a signed application attesting to the accuracy of the Title IV-E eligibility determination. Oregon should assess the need for this paper process and examine electronic safeguards that do not require unnecessary paper processes.</p>					

B: Changes in Eligibility

Goal: To provide automated support for the timely identification of children whose eligibility changes, or whose eligibility must be re-determined.

Cross Reference Box for the CHANGES IN ELIGIBILITY Section			
Reference Sources (Document/Chapter): FACIS Training Resource Guide pages 228 through 263			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier
			See initial eligibility for list of reports

1. (27) Re-determinations * — Describe how the automated system provides for the
 - a) processing of regularly scheduled and as-needed program re-determinations, and
 - b) recording of re-determination decisions.

State Response:

27.a. The system provides for the processing of regularly scheduled and as-needed program re-determinations in the "Title 4E" "Determination" window. FACIS generates notices to the Eligibility Specialist at the time of service openings, service changes, closings and annual reviews.

27.b. FACIS provides for the recording of the re-determination decisions in the "Title 4E" "Determination" window. FACIS also has a "Title 4E" "Narrative" window to allow the Eligibility Specialist to enter any desired narrative to support the re-determination.

ACF Comments for Requirement: 27				
Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date
Finding Summary Worksheet Completed? Yes or Blank				

Finding:
 FACIS does not support this function in an automated manner. Current functionality available in the system does not save the factors used to calculate eligibility. The re-determination process is not supported through automation.

Requirement:
 Oregon must enhance the system to support this process in an automated manner and document all relevant data used to establish an individual's Title IV-E eligibility re-determination so that it is available for independent review and audit. The Guide response requires additional development to describe how the system supports this functional component.

2. (28) Generate documents related to eligibility re-determinations * — Describe how the automated system produces

- a) alerts/ticklers,
- b) notices, and
- c) reports (e.g., exception reports) needed to provide information on and track the changes in eligibility status.
- d) Are the Child Welfare Workers alerted to changes made in the Title IV-A, Title IV-D, and Title XIX systems (the mandatory interfaces)?

The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.

State Response:

28 a. and b.) The system produces alerts/ticklers and notices through the "Eligibility" Tab in the "Case Notebook" then clicking the "Eligibility Notices" button and eligibility specialists workload.

28.c. The system produces notices as listed above and provides paper reports and review due lists from the database.

28.d. FACIS allows the Workers and Eligibility Specialists to view the Title IV-A, Title IV-D, and Title XIX systems through the FACIS "Search" process. The Eligibility Specialists perform this search at the time of each determination and re-determination of eligibility.

ACF Comments for Requirement: 28					
Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

B. III: Case Management

This function entails the preparation of service plans, determining whether the agency can provide the services, authorizing the provision of services, and managing the delivery of those services.

Goal: To provide system support for the efficient and effective administration of the processes necessary to ensure that the child welfare services agency identifies, communicates, evaluates and monitors the services which will ameliorate the conditions necessitating agency involvement and ensure the safety of the child.

A: Service / Case Plan

Goal: To provide a mechanism where the needs of the child/children/family and the services necessary to resolve the problems are maintained and tracked to an appropriate outcome, including estimated time frames for completion of the services.

Cross Reference Box for the SERVICE / CASE PLAN Section			
Reference Sources (Document/Chapter): FACIS Training Resource Guide pages 31 through 58; 132 through 134; 138 through 149; 154 through 176; 201 through 214; and 274 through 277			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier
C124, C125, P170, P183, P184, P185, P225, C228, C227, C223, C220, C116, C118, C113, C117, C226, C102, C103, C104, C126, C127, C128, C129	1, 2, 3, 6, 7, 8, 9		

29. (1) Prepare and document service/case plan * —

- a) Describe how the automated system supports the development of case plans for children and families by documenting services that are required to meet the specific needs identified in the assessment function.

- b) The State's response should address how the SACWIS supports case plan development in the following areas:
- 1) Adoption (records and tracks information about adoptive placements and post-adoptive services, including subsidy benefits);**
 - 2) Family preservation (institute in-home services to prevent the need for placement);**
 - 3) Foster care (determines and tracks level of care, placement information, reunification services, and legal requisites);**
 - 4) Independent living (determines and tracks services to provide transitional living assistance for State foster care youths); and**
 - 5) Interstate compact (process/submit supervision requests from/with other States for children and youth).**

State Response:

29. (1) a. Case plans are managed through the FACIS Service Provision module. Activities include:

- Opening a case plan;
- Identifying the goals for the case plan
- Identifying the services needed to accomplish these goals;
- Tracking case plans and services to monitor the services provided and client progress toward goals;
- Closing the case plan and services when client goals have been met or when circumstances warrant.

Case Plans

The Case Plans page of the Case Notebook displays a summary of all case plan information for the selected case. Case plans can be viewed, opened, edited or closed at any time.

The Plan Detail window displays the following information:

Plan number, Open date, Review date, Worker name & identifier, Plan goal, Family members, Plan members, Plan closure date, Plan closure reason, Whether plan is concurrent, permanent, SOC, or Unknown.

Case Services

The Case Services page of the Case Notebook lists a summary of all service information for a

selected case. Case Services can be viewed, opened, edited, or closed at any time.

By selecting the desired Case Plan all the services associated with that plan will display. These services include the following information.

- Person letter (P/L) of case member receiving service
- Sequence number of service
- Beginning date of service
- Projected End Date
- Service type
- Reason for service
- Actual end date
- Disposition

Options for service types available by family member include:

- All: This is the default and lists all services for that member.
- Paid: all paid services for that member
- Subcare: all subcare services for that member

29. b)

The worker selects the "Plan Designation" by clicking the desired option button. The "options" are "Concurrent"; "Permanency"; "System of Care" and "Undefined". The worker may use "Undefined" initially, but must designate the plan within 60 days of case opening. Next the worker will select the family members who are to be included in the plan. He/She highlights the name in the "Family Members" list and then clicks the right arrow button to place the name in the "Plan Members" box. The worker clicks "OK" to open the "Plan Action" window. He/She then chooses either "Pend" the plan or "Update IIS". The "Update IIS" option opens the plan immediately and it then appears in the "Case Notebook". The "Pend" option places the plan in the workers "Pending Plans and Services" workload and he/she can come back to complete it at a later time. The "Plan Action" window also has a button called "Add Pend Text" to enter narrative information about the pended plan.

The on-line "Narrative Recordings" are completed to further support the Plan Goals and Services and document the required activities of the case. The worker uses the "Forms Automation" process to complete the narratives. FACIS has a "Forms" tab in the "Case Notebook", a toolbar button and a menu choice to access the "Forms Automation Wizard". Using the "Forms Automation Wizard, the worker selects the desired form in the "New Form

Wizard – Select Form” window and clicks “Next”. The “Select Fill Method” window appears and the worker selects to “Prefill from all information available to FACIS”; “Prefill from another Form”; or selects “No prefill; start from a blank form” and clicks “Next”. The “New Form Wizard – Select Case” window appears with a drop down pick-list of all the cases assigned to the currently logged user. If another user is desired, the worker would select the “Find Cases” button to search for another case.

The system supports the case plan development in the following areas:

b.1 Adoption Plan

All cases identified for termination of parental rights and adoption are managed through the SACWIS system. Information regarding the adoption plan is displayed on the system where the child’s statutorily required permanent adoption record is stored. When a child becomes part of an adoptive family case number, because of adoption assistance, the plan and services for the child are opened under the adoptive family case number.

b.2 Family Preservation

Services with the goal of maintaining a child in his or her own home are among those that are recorded in FACIS.

b.3 Foster Care

All foster care services are recorded and tracked in FACIS and include information regarding the type and level of care and whether the service is paid or non-paid. Information regarding reunification services, by type, is recorded in FACIS and is the child’s legal status and the status of parental rights. The information is recorded similar to b.2.

b.4 Independent Living

Service provided to prepare youth for independence who are age 15 or over and in foster care or youth who had been in foster care after their 16th birthday, up to age 21. Plans and services are recorded in FACIS.

b.5 Interstate Compact

The Interstate Compact for the Placement of Children (ICPC) plans and services are recorded in FACIS. The Oregon ICPC is centrally (CAF) based program. All referrals, both public and private, must be approved by the CAF ICPC desk. CAF ICPC staff utilizes FACIS to inquire about the case status of public agency children coming into and leaving Oregon through the ICPC. At the same time, the CAF ICPC desk maintains a separate

ACF Comments for Requirement: 29				
Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date
Finding Summary Worksheet Completed? Yes or Blank				

Finding A:

Adoption: Adoption Assistance activities are not supported in FACIS. The AFCARS file transmission is completed by uploading ARMS data to IIS without any use of FACIS. ARMS is a separate database that was developed to track adoptions and is only used by Central Office staff. County workers continue to use FACIS to provide and update foster care services.

Requirement A:

ACF strongly supports Oregon’s plan to merge ARMS adoption functionality into the FACIS system to eliminate the use and maintenance of the ARMS system.

Finding B:

Foster Care: FACIS supports service planning for some foster cases but not all. For instance, edits have been developed in the system that allow staff responsible for foster children in the State’s Development Disability program to limit the data entry for this group of State wards. Some of the information that is optional for these children is necessary for the AFCARS report. This is also considered a problem because Oregon has developed different processes for this group of foster children.

Requirement B:

The State must ensure that the system is able to report all AFCARS information for all foster care and adoptive children.

Finding C:

Independent Living: IL staff uses an external system to support this program. Independent Living has its own separate Access database.

Requirement C:

FACIS must be enhanced to support the IL program and the State must eliminate the use of other systems.

Requirement D:

Interstate Compact: While CAF ICPC staff utilizes FACIS to inquire about the case status of public agency children coming into and leaving Oregon through the ICPC, it also maintains a separate Access database system.

Requirement D:

As this is a SACWIS requirement, ACF strongly supports Oregon's plan to merge the functionality in the Access database into the FACIS system.

Technical Assistance:

ACF will push Oregon to create a new plan when a new child is added rather than adding a new child to an existing plan without proper family signatures. Additionally, ACF supports Oregon's plan to remove "SOC" and "Undefined" from the plan type.

Observations:

An On-going CWS worker noted that if father is not noted in the first Form 147A, it could not be altered/ added in later generations of the form.

2. (30) Identify and match services to meet the client's case plan needs — Describe how the system provides automated support in the identification and matching of service needs and available resources.

Was this Function selected as an Option in the State's Approved APD? YES NO .

If Yes -

State Response:

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ACF Comments for Requirement: 30

Conforms? Y/C/N	N/A	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Note:

This is not a State selected option.

Observation:

Staff would like to see a service provider edit that relates back to a child's special needs.

3. (31) Record contact with and acquisition of needed resources/services — Describe how the automated system

- a) supports and
- b) records the preparation of necessary service requests or referrals.

Was this Function selected as an Option in the State's Approved APD? YES NO .

If Yes -

State Response:

31.a FACIS supports contact with and acquisition of needed resources/services by entering this information in the "Case Notes", "Action Items" and/or on-line "Narrative Forms". Case notes are accessed through the "Case Notebook" using the "Case Notes" tab. This returns a list of all the notes compiled for a given case number. These notes can be sorted in Ascending or Descending order. The worker can also use the "Filter" button to select a specific category of case notes (i.e. TCM Related) to view. The activity buttons in "Case Notes" available to the worker are: "View" to view a specific case note detail where it can be edited or deleted; "New" will allow the worker to add his/her own notes to the case; "Print Notes" allows the worker to print specific Case Notes; "Filter" and "Sort Ascending" or "Sort Descending."

"Action Items" can be accessed through the "Workload" icon on the FACIS toolbar. The worker selects "Action Items" from the pick-list in the "Workload Search" window and selects "Unit" and "Worker" as necessary then selects the "Type" from the drop-down pick-list. Workers can view all "Action Items" for a specific plan and case member. The second option is to access the "Case Notebook" and select the "Action Items" tab. To create a new "Action Item" the worker selects the appropriate "Plan" (Permanent or Concurrent) and using the drop down pick-list within the "Person" field, selects the person for whom they want to create an action item. The worker can select "New", "Inventory", "Edit", "View", "Delete" and "Complete" for an Action. These "Action Items" can have due dates and be assigned to workers based on the selection criteria desired for the Action Item.

Where mandatory by policy, the contents of the "Case Notes" and "Action Items" can be pulled into the on-line "Narratives" Forms (147s). These may be child visits; resources to the child; reasonable

efforts, face to face contacts, etc.

ACF Comments for Requirement: 31

Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

Contacts are recorded in notes and providers are notified via a phone call, not through anything generated by FACIS.

Requirement:

The system should be enhanced to generate referrals. ACF also recommends that the system be enhanced to capture this information as a data element.

4. (32) Track and update service/case plan * — Describe how the automated system supports the
- a) monitoring,
 - b) progress, and
 - c) update of the service/case plan in the electronic case folder.

State Response:

32.a., b. and c. FACIS supports the monitoring, progress and updates of service/case plan through the "workload" search for caseload process. The worker selects the "Workload" icon in the FACIS toolbar or he/she could select "workload" from the "view" menu. The "workload" entry window opens with "pending intakes" selected as the default. The worker may choose other search criteria from a pick-list. His/Her choices are "Assigned Referrals," "Pending Plans & Services," "Forms," "Action Items," "All pending Work," "Caseload," "Eligibility Notices," and "TCM Notices." The worker can select "Caseload" and view his/her "Caseload Status Report" to see all the plans and services. He/She can update the "Review Due" dates on the plans as well as the "Projected end date" of the services by editing the plan or service listed on his/her caseload. In addition, the worker may view the on-line "Narrative" forms for more details of the plans and services in the case.

ACF Comments for Requirement: 32

Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

5. (33) Match client to placement alternatives, if needed — Describe how the system provides automated support in the identification and matching of the client with available placement alternatives.

Was this Function selected as an Option in the State's Approved APD? YES NO .

If Yes -

State Response:

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ACF Comments for Requirement: 33					
Conforms? Y/C/N	N/A	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Note:

This was not a State selected option.

6. (34) Generate documents as needed * — Describe how the automated system supports the generation of

- a) alerts/ticklers,
- b) notices, and
- c) reports as necessary to track the progress of the service/case plan.

The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.

State Response:

34.a, b and c. FACIS supports the generation of alerts/ticklers/notices and reports as necessary to track the progress of the service/case plan with the on-line Caseload Status Report. This report is accessed through the "Workload" Search process. The worker selects the "Workload" icon (file cabinet) on the FACIS toolbar and chooses "Caseload" to view his on-line "Caseload Status Report". This window lists the worker's entire workload or the worker can select a specific type of workload such as all case "Plan" information, all case "Services" information or list all "Legal" actions in his/her caseload. The worker can track all the service/case plans in his/her caseload on this report. Workers may also use "action items".

ACF Comments for Requirement: 34					
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					
<p><u>Finding A:</u> FACIS does not support an adequate tickler process across all functional components.</p> <p><u>Requirement A:</u> Oregon must also enhance the system to produce appropriate alerts at critical points in the cycle of a case plan.</p> <p><u>Finding B:</u> Staff use externally generated word templates.</p> <p><u>Requirement B:</u> Reports required to support the service/case management process must be generated from FACIS, not from alternative applications.</p> <p><u>Observation:</u> Supervisors and staff indicated that they do not receive appropriate alerts in many functional areas.</p>					

7. (35) Request and record supervisory approval of plan, if needed — Describe how the automated system provides support for obtaining supervisory approval of the service/case plan.

Was this Function selected as an Option in the State’s Approved APD? YES NO .

If Yes - We did not agree to this but we did do it for the Assessment Narrative/Case Plan.

State Response:

35. FACIS provides support for obtaining supervisory approval of the service/case plan through the review of the automated form series (147 Narrative Recordings) in the Case Notebook. The supervisor/lead worker selects the "Narratives" tab in the "Case" section of the Case Notebook to review the narratives.

Supervisors approve the Assessment Narrative by clicking the "Workload" icon on FACIS toolbar. He/She selects the "Assigned Referrals;" the "Worker" from the pick-list and clicks OK. The "Workload – Assigned Referrals" window opens and displays a list of referrals assigned to the worker selected. For Supervisors, both the "Review Referrals and Reassign Referrals buttons are available at the top of this window. The Supervisor highlights the referral he/she wants to review and clicks Review Referrals. The "Assess Referral – Basic Referral Information" window opens. After reviewing the narrative, the supervisor enters the "Review Date" in the reviewer field; clicks the "Save & Close" button and selects "Approve." If the supervisor does not approve the narrative case plan, he/she does not enter a review date and an email is sent to the worker with a message describing what further work must be done.

ACF Comments for Requirement: 35					
Conforms? Y/C/N	N/A	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Note:

This was not a state selected option.

8. (36) Estimate and track actual costs of resources/services — Does the automated system include a component that

- a) estimates and
- b) tracks the costs of required/ provided resources and services to assist in service/case plan management and tracking?

If the answer is "yes" to either part of this question, please describe how this works.

Was this Function selected as an Option in the State's Approved APD? YES NO .

If Yes -

State Response:

ACF Comments for Requirement: 36

Conforms? Y/C/N	N/A	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Note:

This was not a State selected option.

9. (37) Identify program outcome measures — Does the automated system include a component that

- a) identifies and
- b) tracks program outcome measures.

If the system supports this component, please describe how it works.

Was this Function selected as an Option in the State’s Approved APD? YES NO .

If Yes –

State Response:

Oregon’s IAPD, the State explored four options for making its child welfare data system SACWIS/AFCARS compliant: maintaining the current system (*status quo*); employing a third party vendor solution; replacement of the existing system using Client/Server technology; reengineering and enhancing the existing system. The fourth option – reengineering and enhancing the existing system – was selected because of its economy and because it maximizes the State’s investment in the legacy systems that already captured a large percentage of the information outlined in the SACWIS and AFCARS requirements. A major task in implementing this option was to develop and implement the use of tools that integrate applications running at the PC LAN level and applications running on the mainframe (IIS) to create a seamless and transparent interface to, among other goals, accurately capture and report on state and federal outcome measures.

Oregon’s SACWIS system tracks key child welfare outcome measures from an integrated database that reports information from the entire spectrum of child welfare case practice.

ACF Comments for Requirement: 37					
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					
<p>Finding: Some of the information used to support this process comes from an external system.</p> <p>Requirement: The State must enhance FACIS to support this area.</p>					

B: Case Review / Evaluation

Goal – The Goal is to provide automated support for the administration of timely reviews, either internal to the agency or with the input of the judicial system. Furthermore, the system should enable the agency to insure that services are progressing toward the stated outcome; to determine if additional services are to be provided; and to evaluate the time frames and the outcomes in the services/case plan.

Cross Reference Box for the CASE REVIEW / EVALUATION Section			
Reference Sources (Document/Chapter): FACIS Training Resource Guide pages 31 through 46; 87 through 141; 143 through 149; and 160 through 182			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier
C228, C118, C116, C117, C102, C103, C104, C113, C119, G166, A168, C102, C104, C103	1, 2, 3, 6, 7, 8, 9		

1. (38) Generate alerts/ticklers to conduct case review/evaluation as needed. * — Please describe how the automated system supports the
- a) timely identification and
 - b) continued tracking of cases that require review and/or evaluation.

The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.

State Response:

38.a. and b. FACIS supports the timely identification and continued tracking of case reviews/evaluations as needed through the on-line "Caseload Status Report". The plan "review due"
--

date is to coincide with the Public Law 96-272 and Oregon legal requirements for court reviews. The legal section of the "Caseload Status Report" records the hearing dates attached to specific petitions when the court order is received in the branch. After the information is entered through the database, the on-line and paper copy of the "Caseload Status Report" is used to review/track and update the information monthly. The on-line "Caseload Status Report" is accessed with the "Workload" icon on the FACIS toolbar. The worker then selects "Case Load" from the Workload window. The on-line Forms "147s" also do this as do the "Case Notes" for unique services.

ACF Comments for Requirement: 38

Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

FACIS does not support an adequate alert or tickler process across all functional components.

Requirement:

Oregon should enhance the system to produce appropriate alerts at critical points in the life cycle of a case.

2. (39) Conduct and record results of case review * — Describe how the automated system
- a) supports the case review process, and
 - b) provides for documentation of the reassessment decisions and
 - c) identifies needed action items in the electronic case folder.

State Response:

39.a and b. FACIS supports the case review process and provides for documentation of the reassessment decisions through the automated Narrative series (147's). The Citizen Review Boards and many Courts use the narrative as a "Court Report". These Narratives have an area to document the findings of the Citizens Review Board. The Court Reviews generate Court Orders.

39.c Workers can use "Action Items" to identify needed action items in the electronic case folder. The "Action Items" can be accessed two ways, the first through the "Direct Access" window. The worker selects "View" from the menu bar and then clicks "Direct Access" from the pick-list. Click "Action Items" and find the Case name/number to create an action item for and select OK. The second option is to access the "Case Note Book" and select the "Action Items" tab. The "Action Items" window will open and the worker will select the "permanent" or "Concurrent" plan by clicking on the appropriate radio button. Next the worker selects the "person" (using the "person" field and drop-down pick-list) for whom he/she wants to create an action item. The worker selects "New" and the Action Item Detail window will appear. He/She clicks on the drop down arrow in the "Assigned to" field and selects the case member the action item is assigned to. Using a date button, the worker selects the date he/she wants the action item to come due. He/She selects how many days before the Action Item becomes due that he/she wants to receive an email. Finally,

he/she retrieves a previously created Action Item from "Inventory" or creates one by typing the information in the "Action Item Description" field. The worker clicks the "Save" or "Save and Close" button to complete the "Action Item." The worker can also check the "Resend Daily" box if he/she wants to keep receiving email reminders.

ACF Comments for Requirement: 39					
Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

FACIS does not support Citizen Review Board (CRB) activities. The Citizen Review Board receives a monthly batch report.

The administrative reviewers use the Form 147A for the reviews, but their comments are recorded in hard copy. The comments are not entered into FACIS.

Requirement:

Oregon must continue development of FACIS to support this functional component for the Citizen Review Board and for other relevant stakeholders. The future SARGE should describe the functionality available in FACIS.

Technical Assistance:

There are concurrency issues when more than one person is updating the Form 147 at the same time. FACIS should send messages to inform the user of database contention and the system should retry, or give the user the option to retry accessing the database. Alternatively, the State could explore various database locking strategies.

3¹. (40) Generate documents, notices and reports based on review, as needed * — Describe how the automated system supports the

- a) generation of documents,
- b) notices, and
- c) reports during, or resulting from, the evaluation process.

The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.

State Response:

40.a, b and c. FACIS supports the generation of documents, notices and reports during, or resulting

¹ This Question was mistakenly numbered '4' in the original SACWIS AT 001.

from, the evaluation process with the on-line Caseload Status Report. This report is accessed through the "Workload" Search process. The worker selects the "Workload" icon (file cabinet) on the FACIS toolbar and chooses "Caseload" to view his on-line "Caseload Status Report". This window lists the worker's entire workload or the worker can select a specific type of workload such as all case "Plan" information, all case "Services" information or list all "Legal" actions in his/her caseload. There is additional tracking of the information entered through FACIS with paper reports and action due reports from the IIS (database).

ACF Comments for Requirement: 40					
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding/Requirement:

Oregon must continue development of FACIS to support this functional component for the Citizen Review Board and for other relevant stakeholders. The State must also enhance the system to generate necessary notices to external entities, eliminating manual generation. The future SARGE should describe FACIS functionality.

Observation:

Generation of Form 147 is a good process, allowing workers to bring forward narrative and other information to text fields. Also, the Narrative Writer is an asset for counties using different practices.

4². (41) Record collateral contacts - Describe how the automated system provides for the recording of

- a) client collateral contacts, and
- b) the information resulting from those contacts.

State Response:

41.a. FACIS provides for the recording of client collateral contacts by recording these contacts in "Resources" window, in the "Case Notes" and sometimes they are recorded in the "Narratives".

41.b. The information resulting from those contacts are recorded in "Case Notes" and in the "Screening and/or Assessment Narratives".

² This Question was mistakenly numbered '5' in the original SACWIS AT 001.

ACF Comments for Requirement: 41					
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

The FACIS system does not support this SACWIS component. Collaterals are often buried in Narratives.

Requirement:

Oregon must continue development of FACIS to support this function. The future SARGE should describe the functionality available in FACIS.

C: Monitoring Service / Case Plan Services

Goal: The goal is to provide administrative and system support to the worker by ensuring that the services identified in the service/case plan are provided in a timely and effective manner.

Cross Reference Box for the MONITORING SERVICE / CASE PLAN SERVICES Section			
Reference Sources (Document/Chapter): FACIS Training Resource Guide pages 38 through 46; 214 through 219.			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier

1. (42) Track and record services identified in the service/case plan — Describe how the automated system provides for the recording in the electronic case folder of the

- a) types,
- b) duration, and
- c) frequency of services.

Was this Function selected as an Option in the State's Approved APD? YES NO .

If Yes -

State Response:

42.a. The type of services recorded in FACIS is identified in the opening of services. These services are opened through the "Case Notebook". The worker clicks the "Plans Services" tab at the right of the "Case Notebook" window. The worker clicks the "New Service" button and the "Service Detail" window opens. He/she selects the "Plan" this service is to be opened under; then selects the family

"Member" this service is for; selects the appropriate "Branch" and "Worker"; selects the "Type" of Service to open and the "Reason" for service from the drop-down pick-lists. The "Reason" drop-down pick-list changes based on the type of service selected. When entering a service, the worker is able to view the description of the "Service" and/or "Reason" and how it is used. He/She selects a service and then clicks the "Details" button to the right of the drop-down pick-list box.

42.b. The duration of the service is recorded when opening a service by entering a "begin date" and "projected end date" of the service. When closing a service the "End Date" is entered.

42.c. The frequency of services can be viewed in the on-line "Caseload Status Report". These can be viewed by specific criteria selected. For example, the worker can view all Shelter Care Services for a child when that criterion is selected.

ACF Comments for Requirement: 42				
Conforms? Y/C/N	C	Action Plan? Y/N/Blank	Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank				
<p>Finding: FACIS does a good job tracking types and duration of services; however, the tracking of frequency of services is problematic. Frequency of service is only shown in the narrative or case notes at the discretion of the caseworker. All services are defined in terms of predefined service units. Data entry is lagging and does not reflect that cases are reviewed on a timely basis.</p> <p>Requirement: FACIS should provide a mechanism for tracking frequency of services so that the State can validate that the provider is performing and invoicing the appropriate units of service.</p> <p>The State should provide additional information describing how the system supports this functional component. Specifically, the response should describe how the frequency of service is captured.</p>				

2. (43) Generate documents, notices and reports * — Describe how the automated system supports the generation of

- a) documents,
- b) notices, and
- c) reports

to track the **services needed and provided** to the client.

The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.

State Response:

43.a., b. and c. FACIS supports the generation of documents notices and reports to track the

services needed and provided to the client through the on-line and paper copy of the "Caseload Status Report" "Workload". This information is entered and viewed through FACIS and printed from the IIS (database) to be used as a tool to review and update the services needed and provided to the client.

ACF Comments for Requirement: 43					
Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

B. IV: Resource Management

This function supports the maintenance and monitoring of information on an array of service providers, including prevention programs, placement services, and foster care providers.

Goal: To provide system support for the efficient and effective administration of the processes involved in the determination of appropriate service providers and/or placement resources necessary to accomplish the goals of the service/case plan.

A: Facilities Support

Goal: To provide for the timely, efficient and effective identification of new resources, the addition of new information regarding existing resources, and the identification of gaps in resource/service availability.

Cross Reference Box for the FACILITIES SUPPORT Section			
Reference Sources (Document/Chapter): FACIS Training Resource Guide pages 72 and 218			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier

1. (44) Record and update provider information * — Describe how the automated system supports the **collection and maintenance** of provider information such as

- a) license/certification status,
- b) types of services,
- c) level of care provided,
- d) level of care compliance, and
- e) cost of care.

State Response:

44.a. b. c. d. and e. The SACWIS system supports the collection and maintenance of provider information by tracking the status of certification, current placements, cost of care, addresses, and other demographic information of the family as well as home characteristics.

ACF Comments for Requirement: 44

Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

The FACIS system does not support this SACWIS component. It is currently supported through the IIS legacy system. Contracted costs and levels of care are input into IIS, not into FACIS.

Requirement:

Oregon must continue development of FACIS to support this functional component as well as eliminate the use and maintenance of the legacy system. The future SARGE should describe the functionality available in FACIS and the status of the redundant processes available in the IIS system.

Observation:

A good control is in place to prevent CMC from entering both provider and client information. Staff requested, and ACF encourages, FACIS to be enhanced to include a summary screen that identifies all children placed in any specific placement facility.

2. (45) Generate alerts/action items on licensing status changes. * — Describe how the automated system supports the

- a) timely identification and
 - b) continued tracking
- of cases and/or facilities requiring a review or other action as a **result of a change in provider information.**

State Response:

45.a. and b. The system records and tracks provider certification status and provides reports as to 30,60,90, and 120-day notice of certification expiring. Foster parent status reports are produced monthly for current status update.

ACF Comments for Requirement: 45

Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

FACIS does not support an adequate alert or tickler process for this functional component. Licensing information is currently supported through the IIS legacy system.

Requirement:

Oregon should enhance the system to produce appropriate alerts at critical points in the life cycle of a case. Oregon must continue development of FACIS to support this functional component as well as eliminate the use and maintenance of the legacy system. The future SARGe should describe the functionality available in FACIS and the status of the redundant processes available in the IIS system.

Observation:

Users would like FACIS to provide alerts for “high risk” cases.

3. (46) Generate reconciliation and evaluation reports as needed * — Describe how the automated system supports the generation of

- a) documents,
- b) notices, and
- c) reports, as needed.

The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.

State Response:

46.a., b. and c. Reports are generated and available regarding reconciliation and evaluation.

ACF Comments for Requirement: 46					
Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					
<p><u>Finding:</u> The FACIS system does not support this SACWIS component. It is currently supported through the IIS legacy system.</p> <p><u>Requirement:</u> Oregon must continue development of FACIS to support this functional component as well as eliminate the use and maintenance of the legacy system. The future SARGe should describe the functionality available in FACIS along with the status of the redundant processes available in the IIS system.</p> <p>Oregon must enhance the system to generate necessary notices to external entities, eliminating the need to manually generate these documents.</p>					

4. (47) Record and track provider training — Describe how the system **records and tracks** provider

- a) training needs and
- b) training received.

Was this Function selected as an Option in the State’s Approved APD? YES NO .

If Yes - State Response:

47.a and b. The system does not record and track provider training needs and training received.

ACF Comments for Requirement: 47				
Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date
Finding Summary Worksheet Completed? Yes or Blank				

Finding:
 According to the approved Implementation Advance Planning Document, Oregon indicated that it would include this component in the final system design; however, FACIS does not support this optional functional component.

Requirement:
 The State must address this issue by providing ACF with its plans to enhance the system to support this functional component.

B: Foster / Adoptive Homes Support

Goal: To provide system support for the timely, efficient and effective administration of new foster/adoptive homes, of new information regarding existing homes, and of gaps in availability.

Cross Reference Box for the FOSTER / ADOPTIVE HOMES SUPPORT Section			
Reference Sources (Document/Chapter):			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier
C124, C125, C228, P170, P183, P184, P185, P186, P187, P188, P225, P227, C119, P118, P117, C113, C106, C105, C179, C147, C150, C138, F149, F164, F165, G130, A168, C171, C173, C172, C174, C161, C160, C136, C116, C226, C224, C223	1, 2, 3, 6, 7, 8, 9		

1. (48) Maintain and update foster care and adoptive home information as needed * — Describe how the automated system supports the

- a) collection and
 - b) maintenance of
- foster care **and** adoptive home information, such as
- 1) licensing decisions,
 - 2) violations and revocations,
 - 3) required AFCARS information, and
 - 4) completed training (as appropriate to the type of home).

State Response:

48. The system supports the collection and maintenance of foster care and adoptive information such as licensing decisions, violations and revocations, required AFCARS information, and certification.

ACF Comments for Requirement: 48					
Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					
<p>Finding: The FACIS system does not support this SACWIS component. Currently, it is supported through the IIS legacy system.</p> <p>Requirement: Oregon must continue development of FACIS to support this functional component as well as eliminate the use and maintenance of the legacy system. The future SARGE should describe the functionality available in FACIS and the status of the redundant processes available in the IIS system.</p>					

2. (49) Record foster care home abuse/neglect allegations and investigation results * —

- a) Describe how the automated system supports the identification of foster care families where allegations of abuse/neglect have been reported and substantiated, as required by State law.
- b) Does the automated system also support the investigation of such allegations and document the results?
- c) If yes, please describe.
- d) Is the information on these incidents integrated with other information on child abuse and neglect?

State Response:

49.a,b,c,d. The system allows for the recording of foster care home abuse/neglect allegations and investigations as required by state law through screening, investigations, and assessment process the same as other perpetrators.

The system supports the investigation of foster home abuse/neglect and documents the results. The information on these incidents is integrated with other information on child abuse and neglect.

Refer to the “Intake”, “Screening” and “Assessment” process in questions 1 through 11.

ACF Comments for Requirement: 49					
Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

When an allegation occurs against a provider, the system does not alert the workers who have children placed in the home. Any documentation about the reported abuse is found in the child's record, not the provider file.

Requirement:

Oregon has developed the basis of recording that an abuse occurred for a child at a specific placement. The State should investigate means of enhancing functionality to record allegations against a provider and associated staff. This data should be apparent in the search result set during the intake process. The future SARGe should describe the functionality available in FACIS.

3. (50) Process foster care/adoptive home applications — Describe how the automated system provides for the

- a) recruitment, and
 - b) processing
- of foster care family applications.

Was this Function selected as an Option in the State's Approved APD? YES NO .

If Yes -

State Response:

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ACF Comments for Requirement: 50					
Conforms? Y/C/N	N/A	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Note:

This was not a State selected option.

4. (51) Generate alerts/action items as needed if a foster care license is revoked — Describe how the automated system supports the

- a) identification and
- b) tracking

of cases requiring a review or other action **because of changing information.**

Was this Function selected as an Option in the State's Approved APD? YES NO .

If Yes -

State Response:

51.a.b. The SACWIS system provides caseworkers with on-line access to current information on foster care providers' status. When a home's certification is revoked, the system notifies the certifier regarding placements that must be changed immediately and also lists any children who have been placed in the home while licensed. The system prevents subsequent placements in this home.

ACF Comments for Requirement: 51					
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

FACIS does not support an adequate alert or tickler process across all functional components. FACIS does not provide notification to workers that a license is revoked. However, the system does prevent the worker from creating a service plan to include a provider whose license has been revoked.

Requirement:

Oregon should enhance the system to produce appropriate alerts at critical points in the life cycle of a case.

C. Resource Directory

Goal: To provide an automated mechanism where information on resources can be efficiently and effectively accessed to determine availability and the types and levels of services provided.

Cross Reference Box for the RESOURCE DIRECTORY Section			
Reference Sources (Document/Chapter): FACIS Training Resource Guide pages 38 through 46; page 83; and 154 through 177			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier
C180			

1. (52) Maintain directory — Does the automated system provide a directory / inventory of available resources and services? If yes, please describe how it works.

Was this Function selected as an Option in the State’s Approved APD? YES NO .

If Yes –State Response:

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ACF Comments for Requirement: 52				
Conforms? Y/C/N	N/A	Action Plan? Y/N/Blank		Resolution Date
Finding Summary Worksheet Completed? Yes or Blank				
Note: This was not a State selected option.				

2. (53) Generate reports — Describe how the automated system supports the generation of

- a) management reports,
- b) other alerts,
- c) bulletins, and
- d) notices

related to resource availability.

The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.

Was this Function selected as an Option in the State’s Approved APD? YES NO .

If Yes -

State Response:

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ACF Comments for Requirement: 53

Conforms? Y/C/N	N/A	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Note:

This was not a State selected option.

D. Contract Support

Goal: To provide automated support for the timely, efficient and effective administration of the contract process to ensure that resources are available for service provision.

Cross Reference Box for the CONTRACT SUPPORT Section			
Reference Sources (Document/Chapter):			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier

1. (54) Process contracts and contract changes — Describe how the automated system supports the

- a) creation,
- b) processing,
- c) monitoring, and
- d) modification of contracts.

Was this Function selected as an Option in the State’s Approved APD? YES NO .

If Yes -

State Response:

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ACF Comments for Requirement: 54					
Conforms? Y/C/N	N/A	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Note:

This was not a State selected option.

Technical Assistance:

As Oregon enhances FACIS and eliminates the need to maintain and operate the presentation screens in the legacy system, it should consider supporting the contract process through FACIS.

2. (55) Record contract-monitoring results — Describe how the automated system supports efforts to monitor contractual compliance.

Was this Function selected as an Option in the State’s Approved APD? YES NO .

If Yes -

State Response:

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ACF Comments for Requirement: 55					
Conforms? Y/C/N	N/A	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Note:

This was not a State selected option.

3. (56) Generate alerts/action items as needed. — Describe how the automated system supports the

- a) timely identification and
 - b) continued tracking
- of cases requiring a review or other action as a **result of monitoring activities**.

Was this Function selected as an Option in the State’s Approved APD? YES NO .

If Yes -

State Response:

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ACF Comments for Requirement: 56					
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Conforms? Y/C/N	N/A	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Note:

This was not a State selected option.

4. (57) Generate documents as needed - Describe how the automated system supports the generation of

- a) notices and
 - b) reports such as reconciliation and evaluation reports
- during, or resulting from, the monitoring of contract support.

The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.

Was this Function selected as an Option in the State's Approved APD? YES NO .

If Yes -

State Response:

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ACF Comments for Requirement: 57

Conforms? Y/C/N	N/A	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Note:

This was not a State selected option.

B. V: Court Processing

Goal: To ensure the efficient and effective administration of the processes necessary for involvement with the appropriate judicial body.

This function encompasses an array of legal activities and documentation procedures involving judicial events requiring action on the part of the State agency.

Cross Reference Box for the COURT PROCESSING Sections			
Reference Sources (Document/Chapter):			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier
C120, C117, A168, C115, C118, C122, C227, C228, C147	1, 3, 6, 7, 8, 9		

A. Court Documents

Goal: To ensure the automated support of the accurate and timely production of appropriate court related documents.

1. (58) Describe how the automated system provides for the preparation of State agency documents for the courts, such as petitions, letters, attorney approvals, and supervisory approvals.

Was this Function selected as an Option in the State’s Approved APD? YES NO .

If Yes –

State Response:

58. System provides for the preparation of State agency documents for the courts, such as petitions, letters, attorney approvals and supervisory approvals. FACIS has the automated forms (147's) which are used as Court Reports for CRB's and many Courts around the State. These are approved by the supervisor online. Letters are created on-line through Corel's WordPerfect, as are petitions in some of our counties. The Juvenile Departments/Courts do the petitions in most Oregon counties.

ACF Comments for Requirement: 58					
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

FACIS does not support this SACWIS component. It is currently supported through the IIS legacy system. Petitions are created in WordPerfect or by the Juvenile Departments/Courts.

Requirement:

Oregon must continue development of FACIS to support this functional component and to eliminate the use and maintenance of the legacy system. The future SARGE should describe the functionality available in FACIS and provide the status of the redundant processes available in the IIS system.

B. Notifications

Goal: To ensure that involved individuals receive accurate and timely notifications of upcoming court activities.

1. (59) Describe how the automated system notifies relevant parties of impending court actions.

Was this Function selected as an Option in the State's Approved APD? YES NO .

If Yes –

State Response:

59. The system does not notify the relevant parties of impending court actions. This process is completed by Legal Specialists in the branches using an online form created in WordPerfect.

ACF Comments for Requirement: 59					
Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date	

Finding Summary Worksheet Completed? Yes or Blank	
<u>Finding:</u> According to the approved Implementation Advance Planning Document (IAPD) Oregon indicated that it would include this component in the final system design, however, FACIS does not support this functional component.	
<u>Requirement:</u> The State must enhance the system to support this functional component.	

C. Tracking

Goal: To provide automated system support to ensure the effective and efficient administration of activities resulting from decisions reached during court proceedings.

1. (60) Describe how the automated system

- a) monitors and
- b) tracks

court-related events requiring State agency action, such as recording the initial request and final outcome of all

- 1) petitions,
 - 2) trials,
 - 3) hearings,
 - 4) detention proceedings,
 - 5) periodic reviews,
 - 6) adoptions, and
 - 7) change of placements.
- c) Are court decisions recorded in the electronic case folder?

Was this Function selected as an Option in the State's Approved APD? YES NO .

If Yes – We only agreed to the portions we completed in this one.

State Response:

60.a. 1. Petitions, yes; 2. Trials, no; 3. Hearings, yes; 4., detention proceedings, no; 5. Periodic reviews, yes; 6. Adoptions, no and 7. Change of placements, no. These items are monitored through our on-line caseload status report in FACIS.

60.b.1. Petitions, yes; 2. Trials, no; 3. Hearings, yes; 4. Detention proceedings, no; 5. Periodic reviews, yes; 6. Adoptions, no and 7. Change of placements, no. These items are tracked through our on-line caseload status report in FACIS.

60.c. Court decisions are recorded in the electronic case folder on the automated Narratives (147's).

These are accessed through the "Case Notebook" "Legal Tab" where we record the Hearings and Petition outcomes and Wardship established.

ACF Comments for Requirement: 60					
Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

FACIS does not support this SACWIS component. It is currently supported through the IIS legacy system and viewed in FACIS.

Requirement:

The State must continue development of FACIS to support this functional component and to eliminate the use and maintenance of the legacy system. The future SARGe should describe the functionality available in FACIS and the status of the redundant processes available in the IIS system.

D. Indian Child Welfare Act

Goal: To provide automated system support to ensure the effective and efficient administration of activities necessary to meet the requirements of the Indian Child Welfare Act.

1. (61) Describe how the automated system supports the requirements of the Indian Child Welfare Act.

Was this Function selected as an Option in the State's Approved APD? YES NO .

If Yes -

State Response:

61. FACIS supports the requirements of the Indian Child Welfare Act by recording the tribal information for parents and children. (i.e.) We enter that we have "Verified" Tribe or that an "ICWA Search" is underway. After the search, we enter the name of the tribe or "No" for no tribal affiliation. This information is accessed through the "Case Notebook"- Family – Member – detail window.

ACF Comments for Requirement: 61					
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					
<p><u>Finding:</u> FACIS support for ICWA is limited to a yes/no checkbox as to whether the child is an Indian. There is no indication that the Tribe has been notified. The Tribal name may, at the worker's discretion, be shown on family member detail.</p> <p><u>Requirement:</u> Oregon must continue development of FACIS to support this functional component. The future SARGE should describe the functionality available in FACIS.</p> <p><u>Technical Assistance:</u> Currently in FACIS there is no automated process or confirmation regarding Tribal notification. We recommend that the State consider modifying the system to make the Native American status indicator a mandatory field.</p>					

B. VI: Financial Management

Goal: To support through automation, the effective and efficient management of the processes necessary to ensure the accurate and timely authorization, processing, and reconciliation of financial records and transactions.

This function tracks and manages financial transactions. It may be part of the SACWIS itself or may be an automated interface to a department or statewide financial system.

Cross Reference Box for the FINANCIAL MANAGEMENT Sections			
Reference Sources (Document/Chapter): FACIS Training Resource Guide pages 214 through 222			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier
C124, P170, P184, P170, C125, P183, P185, P186, P187, P188, P225, C228, C227	1, 3, 8, 9		

A. Accounts Payable

Goal: To insure the accurate and timely submittal of information to support payment, or voucher creation, to all providers.

1. (62) Describe how the automated system supports the accounts payable process (billing, vouchers, etc.). *

State Response:

62. FACIS supports the accounts payable process through the opening, modifying and closing of services to the providers. Services are opened through the "Case Notebook". This information can be viewed through the on-line Caseload Status Report "Workload" windows.

ACF Comments for Requirement: 62			
Conforms? Y/C/N	N	Action Plan? Y/N/Blank	Resolution Date
Finding Summary Worksheet Completed? Yes or Blank			

Finding:

FACIS does not support this SACWIS component. It is currently supported through the IIS legacy system.

Requirement:

The State must continue development of FACIS to support this functional component and to eliminate the use and maintenance of the IIS legacy system. The future SARGe should describe the functionality available in FACIS and the status of the redundant processes available in the IIS system.

B. Accounts Receivable

Goal: The goal is to ensure the accurate and timely submittal of information to support the collection of funds due the agency.

1. (63) Describe how the automated system supports the accounts receivable process, such as
- a) overpayments,
 - b) trust funds, and
 - c) other income or resources (e.g., SSI, etc.). *

State Response:

63.a. The SACWIS system supports the tracking of trust funds and SSI benefits. Overpayments can be processed as well as supplemental or under payments. Adjustment “reasons” are available and the effective date is recorded.

ACF Comments for Requirement: 63

Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

The FACIS system does not support this SACWIS component. It is currently supported through the IIS legacy system. FACIS was used to process overpayments, however Central Office now handles this activity and has reverted to using IIS.

Requirement:

Oregon must continue development of FACIS to support this functional component and to eliminate the use and maintenance of the legacy system. The future SARGE should describe the functionality available in FACIS along with the status of the redundant processes available in the IIS system.

Technical Assistance:

The current paper process used in the legacy system would not pass a SACWIS Assessment Review. As Oregon automates this function in FACIS, it should look for opportunities to use effective automation and eliminate error-prone, manual processes used to track resources, trust funds, and overpayments.

Observation:

FACIS has functionality (that is not being used) to provide supplemental payments and underpayments.

C. Provider Claims

Goal: To ensure the efficient and effective administration of a payment/financial system by providing the information necessary to produce the documentation to adjust claims.

1. (64) Provider Claims Processing. *

- a) Describe how the automated system supports the generation of provider payments and remittance advice based on authorized services.
- b) The response should describe how the automated system supports provider claims processing resulting from the notification of status changes - including
 - 1) termination of the case and/or
 - 2) information received from other Federal/State programs.

State Response:

64.a. FACIS supports the generation of provider payments and remittance advice based on authorized services by the opening of services to the providers. Services are opened through the "Case Notebook". This information can be viewed through the on-line Caseload Status Report "Workload" windows.

64.b.1. FACIS supports provider claims processing resulting from the notification of status changes – including termination of the case through the closing of the service and case. The edits in the system prevent closure of a case until the services are also closed. The close date of the service determines the provider payment.

64.b.2. FACIS supports provider claims processing resulting from the notification of status changes – including information received from other Federal/State programs through edits in the system that prevents duplicate payments for the same time period.

ACF Comments for Requirement: 64					
Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					
<p><u>Finding:</u> The FACIS system does not support this SACWIS component. It is currently supported through the IIS legacy system. IIS is supplemented by a weekly paper process to validate placements and payments. Verification is completed weekly and monthly on the IIS Paid Service Verification Screen. The provider reports to the Central Office that the child is in the home; the CMC cross checks with the worker to validate that placement.</p> <p><u>Requirement:</u> Oregon must continue the development of FACIS to support this functional component and to eliminate the use and maintenance of the legacy system. The future SARGe should describe the functionality available in FACIS along with the status of the redundant processes available in the IIS system.</p> <p><u>Technical Assistance:</u> The current paper process used in the legacy system would not pass a SACWIS Assessment Review. As Oregon automates this function in FACIS, it should look for opportunities to use effective automation and eliminate error-prone, manual processes.</p>					

B. VII: Administration

This function incorporates procedures for ensuring support for efficient management of as well as reliable and accurate operation of the system.

Goal: To provide reliable and accurate information, through automation, for the efficient and effective management of personnel, mandated reporting and system administration.

A: Staff Management

Goal: To provide automated system support to maintain accurate and current employee information and to assist and support the employee/supervisory function.

Cross Reference Box for the STAFF MANAGEMENT Section			
Reference Sources (Document/Chapter): FACIS Training Resource Guide pages 38 through 46; 138 through 149; and 205 through 207			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier
C219, C218, C217, C227, C228, C124, P170, P184, C102, C103, C104, C116, C220, C223, C224, C226, C227, C228	1, 3		

- 1.a. (65) Record and update employee information * — Does the system contain records of employees, showing
- a) name,
 - b) employee number and
 - c) office?

State Response:

65. FACIS worker tables, maintained locally in the field, allow worker data input and update for all FACIS users. The information entered is name, branch, load code (WKID-combination of his/her office number, unit letter and individual letter), supervisor, whether the worker determines eligibility (and what kind if yes), whether worker has normal, supervisor or "office manager" rights to FACIS data, TCM certification date, phone number, effective date of all above, and user closed out of FACIS.

ACF Comments for Requirement: 65				
Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date
Finding Summary Worksheet Completed? Yes or Blank				

- 1.b. (66) Record and update employee information — Do employee records contain
- a) demographic information and
 - b) results of Background Criminal Investigation checks?

Was this Function selected as an Option in the State's Approved APD? YES NO .

If Yes –

State Response:

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ACF Comments for Requirement: 66

Conforms? Y/C/N	N/A	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Note:

This was not a State selected option.

2. (67) Record and track case assignment * — Describe how the system

- a) provides for the assignment of cases to workers,
- b) tracks workload assignments, and
- c) identifies on-call staff.

State Response:

<p>67.a. FACIS provides for the assignment of cases to workers through the assignment of the assessment completion and through the worker designation on the case plans. The assignment is viewed by the worker through his/her "workload" windows and his/her "Caseload Status Reports."</p> <p>67.b. FACIS tracks workload assignments through the "Workload" windows and through the on-line "Caseload Status Reports". For eligibility, "workload" is tracked for Federal Revenue Specialists and WAW's (Welfare Assistance Workers).</p> <p>67.c. FACIS does not track on-call staff.</p>
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ACF Comments for Requirement: 67

Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Technical Assistance:

Staff members complained that sometimes they must approve old work for which they were not responsible for, before a case can be closed. Staff members want the system to apply edits throughout the life of the case to ensure all case actions (e.g., case assessments and narratives) are completed and approved by the staff responsible for their initiation. FACIS should be enhanced to ensure that the appropriate processes and approvals are complete before a case can be transferred from one office to another.

3. (68) Assist in workload management — Describe how the automated system
- a) supports the decision-making process in the assignment of cases to workers and
 - b) how it helps workers to manage their own caseloads (such as providing "to do" lists and prioritization of alerts).

Was this Function selected as an Option in the State’s Approved APD? YES NO .

If Yes - State Response:

68.a. FACIS supports the decision-making process in the assignment of cases to workers through the on-line "Workload" and on-line and paper "Caseload Status Reports". (Information in the paper Caseload Status Report is entered through FACIS and printed from the IIS database).

68.b. FACIS helps workers to manage their own caseloads through the "Action Items" and "Workload" windows and the on-line and paper "Caseload Status Reports".

ACF Comments for Requirement: 68					
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

During our review, supervisors reported that they use external processes to track workloads and assign cases to staff. Many developed their own external methodologies to support decision-making in case assignment.

Supervisors would like better reports on performance (unit and worker outcomes), ticklers, and workload management. Also, supervisors requested that they receive an alert when their staff is assigned a new case from someone outside of their unit.

A supervisor can see any worker’s workload and review the status of his/her cases. The supervisor can review status reports and action items (the worker can set these up as reminders of things to do to manage his/her caseload).

Requirement:

To further support, this functional area the State should enhance FACIS.

4. (69) Track employee training — Does the system track employee
- a) training needs and
 - b) training received.

Was this Function selected as an Option in the State’s Approved APD? YES NO .

If Yes - State Response:

ACF Comments for Requirement: 69					
Conforms? Y/C/N	N/A	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					
Note: This was not a State selected option.					

5. (70) Document employee performance — Describe how the automated system supports the staff review and evaluation process.

Was this Function selected as an Option in the State’s Approved APD? YES NO .

If Yes - State Response:

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ACF Comments for Requirement: 70					
Conforms? Y/C/N	N/A	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					
Note: This was not a State selected option.					

B: Reporting

Goal: To automate the processes necessary to generate mandated and user-definable reports.

Cross Reference Box for the REPORTING Section			
Reference Sources (Document/Chapter):			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier

1.a. (71) Produce AFCARS Report * — Describe how the system

- a) is used to capture required AFCARS information and
- b) produces the report in the specified format.
- c) This discussion should note the date that the first AFCARS data submission was generated exclusively from the new SACWIS and
- d) address the following topics:
 - 1) The quality assurance edits used to insure that complete, timely and accurate data are entered into the system;
 - 2) The extraction methodology and quality assurance provisions that are used to insure that the report is accurate;
 - 3) Action plans to correct any AFCARS deficiencies identified through the use of the Data Quality Utility (DQU) or the Data Compliance Utility (DCU); and
 - 4) If an AFCARS review has been conducted, the progress the State has made towards completing changes that may have been identified in a Corrective Action Plan.

State Response:

- 1.a. (71) 1) And 2)
- a) Staff throughout the state enters the required information into SACWIS system components.
 - b) A series of batch mainframe and server procedures extract the raw data entered by staff; the data is then processed according to the AFCARS data processing rules defined by the business.
 - c) Oregon extended and enhanced its existing systems so as to present the worker with a user-friendly “seamless” data entry and case information management tool, because of this, there is not a date that can be described as when there was a “new” SACWIS.
 - d) The data entry screens have data dictionary edits, relational data edits, and mandatory data edits that promote the quality and consistency of the data entered. The processes use date-driven parameters to extract target AFCARS File A and File B cohorts. All extracted files are processed through the Data Compliance Utility (DCU).
- 3) And 4) An AFCARS review has not yet been conducted for the State of Oregon.

ACF Comments for Requirement: 71

Conforms? Y/C/N	N	Action Plan? Y/N/Blank	Resolution Date
Finding Summary Worksheet Completed? Yes or Blank			

Finding:

All AFCARS adoption information is entered into ARMS.

Requirement:

FACIS must be enhanced to support the adoption assistance program and produce the adoption component of AFCARS.

Technical Assistance:

There is confusion about which children to include in AFCARS and which placements count. Oregon should review the AFCARS data elements and their definitions (see Appendix D –AFCARS Section for additional Details).

Oregon should take advantage of available Technical Assistance from the NRC-ITCW through ACF to examine the accuracy of the AFCARS data (see Appendix D-AFCARS Section for additional details). Requests for AFCARS assistance are made through the Regional Office.

1.b. (72) Produce other Federal Reports * — Describe how the system generates required Federal reports (e.g., **IV-E-1** in either paper or electronic formats as required).

State Response:

An electronic file on each person who is receiving or has received a service from the child welfare agency is maintained on the system that also contains individual electronic files on service providers and employees. The system produces and transmits electronic reports directly to specific, designated federal entities through pre-formatted queries made by assigned staff at required reporting intervals. In addition, some reports are electronically transmitted to other state entities who are either the federal grantees for some funding sources or who otherwise are responsible for federal reporting of certain data. For example, an electronic file of all children receiving day care services and on disbursements paid is electronically transmitted to the Oregon Employment Department who administers the federal child care block grant. Likewise, client and financial files are electronically submitted to the State's TANF system.

ACF Comments for Requirement: 72					
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Request for Additional Information:

The State should provide additional information on how the IV-E1 form is generated.

2. (73) Produce State reports * — Describe the system's capability to generate

- a) regular
- b) ad hoc

management reports (e.g., workload status, client/case status, performance factors, outcome measures, etc.).

State Response:

Oregon's SACWIS system produces dozens of regular and ad hoc statistical reports for a wide variety of purposes and audiences. Statistics are represented in numbers, percentages, and ratios, and they are both point-in-time and multiple-point/trend data. Statistics are available and reported on statewide, service delivery area, branch, unit, worker, and program levels. On an ever-increasing basis, managers are developing the skills needed to understand and utilize these reports in order to track workload, identify problems and successes, and improve outcomes. Examples of state reports that are used in this way include: a count of family decision meetings (good practice and required by statute); cases with concurrent plans, by type; numbers of protective service reports; length of time to first face-to-face contact with child and assessments completed within certain timeframes; numbers of referrals, plans, services, placements, certificates; numbers of openings and closings of services, plans and cases per month. Oregon's SACWIS system also produces quarterly national performance standards reports for each local office, publishing them in a format that lends itself to management comparison of local outcomes compared with other local offices and with itself over time.

ACF Comments for Requirement: 73					
Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

3. (74) Produce statistical reports * — Describe the system's capability to generate statistical reports needed to assist in the analysis of the program.

State Response:

Oregon’s SACWIS system has a well-developed capacity to generate statistical reports to assist in program analysis. An example of a recent report developed to help analyze the State’s performance on the CFSR and opportunities to learn from successes to improve performance is a series of over-time line graphs that suggest seasonally-linked reunification and adoption outcomes. Another example is a monthly report by local office that tracks the number and movement of children whose length of time in care falls under ASFA timelines for achievement of permanency.

ACF Comments for Requirement: 74					
Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

C: Administrative Support

Cross Reference Box for the ADMINISTRATIVE SUPPORT Section			
Reference Sources (Document/Chapter):			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier

Goal: To ensure the accuracy, adequacy, and efficiency of the system.

1.a. (75) Provide hardware and software security * — Describe how the State has secured the

- a) system hardware,
- b) telecommunications network,
- c) software applications, and
- d) data

to protect those resources from damage, destruction and loss, as well as from fraud and abuse.

State Response:

All users are assigned a RACF (Resource Access Control Facility) identification code that must be input to enter the SACWIS system. These codes are stored in a secure location and are accessible by a very limited number of approved staff who assigns them to users. This code is the primary hardware and software security system. In addition, other software applications (such as Groupwise) that may interface with the SACWIS system have additional user identification codes that provide an additional level of security.

ACF Comments for Requirement: 75					
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

The review team learned that case narratives (a.k.a. dictations) are not “frozen.” Staff can make changes to the dictation after the initial entry.

Requirement:

The State must implement data security standards and practices that ensure the integrity of FACIS data and transactions, and allow the State to monitor transactions that create, read, update, and delete records. Due to the sensitive nature of some of the system’s data, as well as the potential use of FACIS data in administrative hearings and court proceedings, the State must ensure both data and system integrity.

- 1.b. (76) Provide hardware and software security. * — Describe how the system satisfies
- a) the confidentiality requirements granted under section 471(a)(8) of the Social Security Act and
 - b) section 106(b)(2)(A)(v) of the Child Abuse Prevention and Treatment Act, if child abuse and neglect information is captured in the system.

State Response:

The RACF identification and other security safeguards described in the State's response to question 75, above, provide security that is consistent with both section 471(a)(8) of the SSA and section 106(b)(2)(A)(v) of CAPTA.

ACF Comments for Requirement: 76				
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date
Finding Summary Worksheet Completed? Yes or Blank				

Request for Additional Information:

If this submission had been for the actual SACWIS Assessment Review, Oregon would have received the following request: Request for Additional Information – The response requires additional development to describe how the system supports this functional component. (Non-Responsive)

1.c. (77) Provide hardware and software security * —

- a) Are contingency plans and disaster recovery plans available in case of an emergency?
- b) In addition, are they tested?

State Response:

System security is provided through a nightly tape back up of all data input from that day. Back-up tapes are stored at the computer center and at an off-site location. The Department's Office of Information Systems also does daily back up of both software and hardware. This security/contingency system has been tested to the extent that back-up tapes have been successfully used to restore data that is subsequently inadvertently deleted from the system.

ACF Comments for Requirement: 77				
Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date
Finding Summary Worksheet Completed? Yes or Blank				

2. (78) Archive and purge * — Describe how the system provides for purging and archiving of

- a) inactive records and
- b) closed cases.
- c) Additionally, the State should respond to the following questions:
 - 1) How long is information maintained in the system?
 - 2) How is information archived?
 - 3) Can the information be "sealed" and "unsealed"?
 - 4) Does the system track who enters and changes information?
 - 5) Has the State used and/or tested the process?

State Response:

Oregon statute requires the Department to process appropriate expunction orders. Expunction orders are generally received in the DHS/CAF central administrative office. CAF notifies the local (CHS) office and/or CAF unit (such as the Trust Unit or Contracts Unit) that is or has been involved in the case. Expunction of the paper record involves removal of the indicated documents, sealing them, and placing a copy of the expunction order on top. The CAF Director then notifies the court in writing that the Department has complied with the expunction order.

After the paper record has been expunged, the CAF Expunction Coordinator uses the ICMM SACWIS screen to mark the electronic file as expunged. Although the basic case screen (ICDB), which shows family members, addresses and other basic identifying information for the case, continues to be visible to users, attempts to open any screens that relate to the expunged records (e.g., case details or specifics on referrals that were subject to expunction) result in an electronic notification of "Security Violation," and no information is shown. SACWIS does not provide the user with any information regarding the reason for the expunction, who was involved, or any other identifying information that would reveal the reason for the security violation. In the event of an input error, it can be erred out by one of a select few persons who have a high level of security clearance.

Although adoption records are sealed, it is the paper record that is cleaned, microfilmed and sealed, while case identifiers remain on the active SACWIS system.

ACF Comments for Requirement: 78					
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

FACIS does not archive or purge records. However, records that have been identified for expunction are rendered unavailable to users with an error notification of “Security Violation.”

Requirement:

While it is acceptable to expunge records from the case file instead of deleting them, if the expunged information is visible to the worker, an appropriate error message must be displayed to the user. In addition, a “Security Violation” message is indicating the reason for the expunction, who was involved, or any other identifying information that would reveal the reason for the security violation.

3. (79) Provide office automation —

- a) Does the system provide office automation tools (e.g., word processing, ticklers, alerts, calendaring, electronic mail, system broadcast, etc.) apart and in addition to those tools available within the program functions?
- b) Please list their use and capabilities in the SACWIS system.

Was this Function selected as an Option in the State’s Approved APD? YES NO .

If Yes –

State Response:

FACIS contains ticklers called “action items” that alert the worker that a required document is due or overdue.

The Department’s e-mail system, GroupWise, uses different software from the SACWIS system; however, users may send an e-mail from a FACIS screen. The SACWIS system does not contain its own e-mail system.

ARMS automated features include 19 automated letters, 10 automated forms, and 19 automated reports for clients and caseworkers. The ARMS application also distributes electronic mail notification to field staff on workload, case status, delinquent documents, and waiting children. A website is in development to provide caseworkers and private agencies the ability to view children available for adoption on the internet. This will (after pilot period) remove the need for the manual process of sending out bulletins in paper format throughout the state. The ARMS application also includes functionality that allows support staff to scan barcodes on their case folders and check them out like a library book. This saves the staff considerable time in searching for case files. The ARMS application database provides information to four: tabs in the FACIS case notebook. This information is used by field staff to be aware of case status of their caseloads inside the adoption unit. The information available includes the date the child became fully free, the date the child's placement was designated as adoptive, the child's legal status, dates that the CF-421 (Child Summary) and CF 246 (Medical and Genetic History) were received in CAF Adoptions from CHS.

ACF Comments for Requirement: 79					
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:
 FACIS does not support an adequate alert or tickler process across all functional components. There are many forms outside the system including a large number of WordPerfect Templates with a fair amount of duplicate data entry. The LAE creates a WordPerfect calendar for all upcoming events for all caseworkers. Some workers use email as their means of providing notice of a pending activity.

Requirement:
 Oregon should enhance the system to produce appropriate alerts at critical points in the life cycle of a case.

4. (80) Provide on-line system documentation — Does the system provide an
- a) on-line policy/procedures manual,
 - b) user guides, and
 - c) other system documentation as needed, such as field-help screens?
 - d) Please describe.

Was this Function selected as an Option in the State's Approved APD? YES NO .

If Yes –

State Response:

- a) The Department’s child welfare policy manual is fully automated. FACIS users can access the manual through activation of a designated electronic button on the FACIS screen. Users can toggle between policy and FACIS screens.
- b) The FACIS user’s guide/training manual is available in hardcopy format only.
- c) A limited number of on-line help functions were added in the application initial development.

ACF Comments for Requirement: 80					
Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Observation:

Online policy is available, but there are no procedures or Users Guide. Oregon has developed a comprehensive Training Guide for those who attend training. While the Bubble help (for each field, button) is a nice feature, it can be turned on/off. Help is inconsistent and unavailable throughout the application.

FACIS has functionality of which users are unaware, and users lack confidence that they can retrieve necessary information from the electronic file. Case notes continue to be printed and maintained in paper files. This is done to keep all information in one place for audits and discovery. While FACIS allows users to select the icon and displays relevant policy topics, some users were unfamiliar with the functionality.

5. (81) Provide on-line training —

- a) Does the system provide on-line, computer-based training for system users?
- b) Please describe.

Was this Function selected as an Option in the State’s Approved APD? YES NO .

If Yes -

State Response:

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ACF Comments for Requirement: 81					
Conforms? Y/C/N	N/A	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Note:

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This was not a State selected option.

Observation:

Some interviewed users said FACIS was a fairly simple system and did not require training. Some users were not aware of the complete functionality of FACIS.

The Training Manual is very helpful. Since CBT is not available, the Training Manual should be made available to more users. While some Field Offices have requested additional training, some interviewed users said they had a difficult time getting supervisor approval to attend training.

B. VIII: Interfaces

This function creates an electronic link between the child welfare system and other systems to receive, transmit, and verify case and client information.

Goal: To provide for the effective and efficient transfer of information between SACWIS and other automated systems.

Cross Reference Box for the INTERFACE Sections			
Reference Sources (Document/Chapter):			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier

A: Required Interfaces

Goal: To ensure that the automated system supports the effective and efficient administration of the processes necessary to transfer information between SACWIS and other automated systems.

1. (82) Does the automated system provide for an electronic data interface with the following systems? *:

SYSTEM	Is the Interface Operational? Yes/No	Effective Date that the Interface Became (or Will Become) Operational.
Title IV-A (TANF)	Yes	2000
Title IV-D (Child Support Enforcement)	Yes	1982
Title XIX (Medicaid)	Yes	1981
Child abuse and neglect data system ³	N/A	

a. (83) Title IV-A (TANF): Describe how the interface with the Title IV-A system is used to:

- a) Capture and exchange relevant information;
- b) Identify potential resources for the IV-E child; and
- c) Avoid duplicate payments under the Title IV-E and Title IV-A programs.

³ Complete if child abuse and neglect system is interfaced (rather than incorporated).

State Response:

Child welfare systems capture, store, track, process and report TANF eligible child welfare clients (since 1993) through a batch interface with the DHS Title IV-A system. Information is sent on TANF relating to children and families for federal reporting purposes only.

ACF Comments for Requirement: 83					
Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

FACIS does not meet the SACWIS requirement for this interface. Caseworkers rely on manual processes to inform Title IV-A staff of the need to close TANF eligibility when a child in a TANF case enters foster care. Staff reported that they call the Title IV-A worker to report that a child is now in foster care.

Requirement:

As Oregon completes development of the required interface between the FACIS and the Title IV-A system, it must ensure that the interface goals, outlined in ACF Action Transmittal ACF-OSS-05, (issued August 21, 1998), are satisfactorily addressed.

b. (84) Title IV-D (Child Support Enforcement). Describe how the interface with the Child Support Enforcement system is used to:

- a) Establish a child support case; and,
- b) Identify potential resources for the IV-E child.

State Response:

A weekly batch interface sends child support referrals to the Title IV-D system. This information is used to establish a child support case.

ACF Comments for Requirement: 84					
Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

Although, a weekly batch interface sends child support referrals to the Title IV-D system, the Title IV-D system does not send AFCARS information to FACIS.

Requirement:

The State must provide a two-way interface between the Title IV-D system and FACIS. Please see Action Transmittal ACF-OSS-05 for additional guidance.

c. (85) Title XIX (Medicaid). Describe how the interface is used to establish Title XIX eligibility?

State Response:

A nightly upload of new Medicaid eligibles to the Oregon Medical Assistance Program (OMAP, a part of DHS) is sent on a daily basis. That information is updated monthly for case closures and address changes. There is also a real-time online OMAP database interface that allows child welfare workers to enroll children in the Oregon Health Plan.

ACF Comments for Requirement: 85

Conforms? Y/C/N	N	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

Finding:

Caseworkers rely on a manual process to report Medicaid eligibility changes related to children entering foster care. After staff members establish Medicaid eligibility for a foster care child that was previously eligible for financial assistance (Medicaid related), they call the financial worker to coordinate the closure of that case with the opening of Medicaid eligibility under the foster care program.

Requirement:

As Oregon completes development of the required interface between the FACIS and the Medicaid system, it must ensure that the current manual processes used to coordinate the timely closure and opening of Medicaid service under different programs are addressed through that interface. The future SARGe should describe the interface indicating how it meets all of the goals outlined for this interface in the second SACWIS Action Transmittal issued.

d. (86) Child abuse and neglect data system or Central Registry.

- a) Is the Child Abuse and Neglect system integrated into the SACWIS system?
 YES NO .
- b) If **yes**, does the system produce the NCANDS report, including both the Summary Data Component and Detailed Case Data Component?
- c) If **No**, describe how the interface between the Child Abuse and Neglect System will be used support the foster care and adoption process?

State Response:

- a) The child abuse and neglect data system or Central Registry is part of the State system.
- b) The system produces a paper report of the Summary Data Component. No report is produced of the Detailed Case Data Component (a federal voluntary reporting process).

ACF Comments for Requirement: 86

Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date	
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Finding Summary Worksheet Completed? Yes or Blank	

B. Optional Interfaces

Goal: To ensure that the automated system supports the effective and efficient administration of the processes necessary to transfer information between SACWIS and other automated systems.

SYSTEM	Is the Interface Operational? Yes/No	Effective Date that the Interface Became (or Will Become) Operational.
State Central Registry on Child Abuse and Neglect	Yes	
Social Security Administration	No	
State financial system	Yes	1985
State licensing systems	Yes	
Vital Statistics	No	
Court system	Yes	1993
Juvenile Justice	No	
Mental health / retardation	No	
State Department of Education	No	
Other Employment	Yes	2000
Other		

2. (87) Does the automated system provide additional interfaces with automated systems within the State, such as:

Please describe how each optional interface works - State Response:

State financial system – interface electronically in batch everyday at end of day of a daily accounting (1985 with DASEAS, then 1996 with the replacement SFMA)

Court system – send a monthly electronic file to the Oregon Judicial Department/Citizen Review Board. In 2002 will have a daily update to OJD of children who are in DHS custody and who are voluntary placements. System is fully tested, just waiting on an intergovernmental agreement.

Employment – receive weekly batch updates of licensed day care providers (started April 2000). Send electronic file once a month to employment for federal reporting for block grant administration (started October 2000).

ACF Comments for Requirement: 87					
Conforms? Y/C/N	Y	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

- State Central Registry-**SAME**
- State financial system-**as of 1985; replaced with SFMA as of 1996**
- State licensing systems-**SAME**
- Court system **as of 1993**-sends a monthly electronic file to the Oregon Judicial Department/Citizen Review Board. In 2002 Oregon will have a daily update to OJD of children who are in DHS custody and who are voluntary placements. System is fully tested and is waiting on an intergovernmental agreement.
- Oregon State Treasury: All redeemed Child Welfare checks are loaded into IIS.
- Employment Department: Child Day Care Licensing Program. Daily exchanges of information on day care providers and group homes. (IIS not FACIS)
- Employment Department Child Care Block Grant. (IIS not FACIS)
- Oregon Judicial Department: Court Improvement Project (Department is at the table)
- SSI: Automatically into IIS Trust Funds.

B. IX: Quality Assurance

This function provides for the review of case files for accuracy, completeness, and compliance with Federal requirements and State standards.

1. (88) Which of the following Quality Assurance features does the system incorporate?

Indicators	Yes	No
Does the automated system provide appropriate edits, range checks, and prompts for critical ⁴ or incomplete data?	X	
Does the automated system incorporate procedures for appropriate supervisory oversight and authorization related to case-file review?	X	
Does the automated system allow for random sampling based on variable characteristics for audit purposes?	X	
Is the system capable of recording and tracking the results of an audit as well as any necessary corrective actions identified?		X
Does the automated system facilitate the establishment and tracking of outcome measures by program managers, and support trend analysis of results?	X	
Does the automated system generate summary management reports on client demographics and needs?	X	
Does the automated system produce reports on the length of time in foster care categorized by identified service needs and services provided?	X	
Does the automated system track referrals and all required time-sensitive actions for Title IV-B and IV-E related cases, such as initial and ongoing Administrative Case Reviews, investigations, and time sensitive treatment and service plans?	X	
At the point a required action is delayed beyond a Federal, State, or court mandated time frame, does the system alert line, supervisory and management staff, when appropriate?	X	
In cases where a reviewer enters information on an apparent problem of abuse or neglect in a foster home, does the automated system automatically request an investigation and track the case to ensure its completion?		X
Does the automated system maintain and link variable and static data used to determine eligibility for Title IV-E payments?	X	
Does the automated system also establish data entity relationships between providers, clients, and payments?	X	
Does the automated system (or separate financial system) account for appropriate financial reconciliation of payments, including overpayments and recovery, by occurrence?	X	
Does the automated system contain all data necessary to effectively manage a case?	X	
Is the automated system able to track a child across multiple occurrences and/or cases?	X	
Does the quality assurance function support the review of case files for accuracy, completeness, and compliance with Federal requirements and State standards?	X	

⁴ Critical data are defined as anything required for State or Federal reporting or audit (e.g., AFCARS data, child and family services, and IV-E eligibility reviews).

Indicators	Yes	No
Does the system capture and transmit all known cases in the AFCARS report, including cases with incomplete information or untimely actions?	X	

State Response:

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ACF Comments for Requirement: 88					
Conforms? Y/C/N	C	Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

ACF did not see evidence that FACIS provides sufficient data to review case files for accuracy, completeness, and compliance with Federal requirements and State standards. This was identified, for example, through

- 1) the lack of appropriate edits, range checks and prompts for critical or incomplete data,
- 2) insufficient establishment of data entity relationships among providers, clients, and payments, and
- 3) the absence of data necessary to effectively manage a case.

2. (89) Please describe other quality assurance functions or related features supported by the SACWIS.

State Response:

SACWIS is used by supervisory staff to review casework practice by employees in their span of control. Protective Services supervisors are required to use the SACWIS system to review the quality of work done on protective service assessments. The SACWIS system has occasionally been used by remote users to check on the timeliness of CPS assessments in branches where timeliness has been an issue.

The FACIS Adoptions screen automatically displays, in real time, actions taken by the Central (CAF) Adoptions Unit and entered into the ARMS database toward the completion of the child's permanent adoption record. The screen is read-only by Field (CHS) staff. This feature allows the CHS worker, supervisor and others access to consistent adoption status information, and provides confirmation of delivery and processing of hard copy and electronic copy submission of required documents from CHS to CAF Adoptions.

Some automated alerts of actions/documents due or overdue that are generated by ARMS and delivered via the GroupWise e-mail system are sent to supervisors and managers as well as direct service casework staff as a workload management and quality assurance tool.

B. X: Other Functionality

1. (90) Does the automated system provide additional functionality not described above?

State Response:

90. Yes we have a user request for "Bugs" which allows the user to use an "Incident Report Message" box to communicate errors, bugs, and system problems directly to the FACIS Development Team.

We created on-line policy and helps. E.g. we have drop-down lists to describe the details of specific plans and services and when to use them. It provides a list of instructions on how to use the plan goal. The service detail button describes the type of service and the limits around its use. All of our "Reason" codes for services also have "Detail" buttons to give the worker more information of when these would be used.

Within our on-line policy we have "mapping tools" to find policy at specific decision points in a case. Workers can check out all sections in the on-line Policy.

B. XI: Self Assessment

This part of the SACWIS Assessment Review Guide provides the State's self-assessment of the SACWIS system, especially in terms of efficiency, effectiveness, and economy.

State Response:

The most efficient, time saving and useful part of the SACWIS system is in the areas of intake and assessment. Workers in the field are able to locate information on a client almost immediately and can review all prior intakes, narratives, and demographic information instantly. In the past they had to try to find old files or logged calls or ask another branch to send a case file. That sometimes took weeks to arrive if at all. They no longer have the problem of lost files when they receive a call. The on-line workload ability also saves a lot of time for workers. They are able to call up all the items they need to work on in just moments. This is so much better than having to go through case files to see what has to happen next. Having policy readily available to workers with the workflow charts is also very helpful. The SACWIS system still has work to do to complete all workload areas but what has been accomplished is impressive. When all of the bugs are wiped out and all of the segments have been completed, it will be a marvelous system. The application development areas that need the most attention are the "Legal" and "Provider" systems. The training manuals and classes are very good, but many workers have not been able to participate in the classes, which limits their system utilization and causes data integrity problems. The training should include the policy attached to each data element to strengthen practice and technology skills simultaneously.

ACF General Comments & Other Issues

Items Requiring a Response on the part of the State:

Finding:

The legacy system (IIS) continues to be maintained and operated by the State, as it supports major SACWIS components that are not part of FACIS. The need to maintain the presentation level of IIS is a significant issue in the State's efforts to bring the FACIS system in to SACWIS compliance. The original design approved in the State's Advance Planning Document indicated that the State planned to maintain the data structure and report generation capabilities of the legacy system, while all processing and data entry would be preformed on the new front end of the system.

Requirement:

The State must continue development of the FACIS system and completely eliminate the use and maintenance of the presentation level of the legacy system. The future SARGE should describe the status of the systems and the efforts to eliminate the redundant processes that currently exist.

Finding:

During our review, we saw examples of where the same data needed to be re-entered on different screens in the system. For example, citizenship needs to be re-entered on the Medicaid Eligibility screen. This duplicate data entry is problematic in a SACWIS system.

Requirement:

The State must modify the system eliminate all duplicate data entry (e.g., citizenship).

Finding:

During our interviews it was evident that staff did not know how to use the system or have a complete understanding of the system's potential to assist them as a case management tool.

Requirement:

The State must take steps to provide additional training and other guidance on how to effectively use the FACIS system as a case management tool.

Finding:

The State must take steps to define the official case record and outline expectations of what processes must be completed in the system. The county office we visited during our review supported a number of different manual and paper processes that duplicated functionality that should be available in a SACWIS compliant system. At the time of our initial review, FACIS was not being used as a case management system nor were all required SACWIS activities being processed through the system.

Requirement:

The State must eliminate the manual and paper processes that could easily be supported by the system. Based on the State's efforts in this area, ACF will be able to determine if the FACIS system meets the SACWIS requirements that such a system support all appropriate case management functions. The State should describe its efforts in this area in the future SARGE.

We recommend the State evaluate all of its business processes as part of this effort to enhance FACIS to support case management. ACF will be unable to approve this system as being SACWIS compliant if it is only minimally used for tracking, data reporting and payments.

Technical Assistance for the State's Consideration:

Reference Appendix D - Technical Assistance Section

APPENDIX C: GUIDE – NEW INITIATIVES SECTION

The *New Initiatives* Section describes how the SACWIS system supports the following Federal Child Welfare related initiatives: the Adoption and Safe Families Act, the Adoption Incentive Program, the Annual Report on State Performance, Child Welfare Demonstration Projects, the Child and Family Services Reviews, the Title IV-E Eligibility Reviews, and the Foster Care Independence Act of 1999 – Chaffee Foster Care Independence Program (CFCIP). Describe how the SACWIS system supports any State Child Welfare initiatives in Question **Error! Reference source not found.** See Chapter III of the SACWIS Assessment Review Guide for instructions on how to complete this section of the Guide.

Adoption and Safe Families Act (ASFA)

Please describe how the system supports the following components of ASFA.

1. How does the system record and track the "reasonable efforts" requirement to finalize a child's permanent plan?

State Response	Reasonable efforts are recorded in the on-line Narrative Form 147's and viewed through "Case Notebook"
ACF Comments	ACF strongly recommends that the State capture this information as a data field, as it will be needed to calculate eligibility.

2. Unless the State has opted out of this provision (programmatically or functionally), how does the system track whether a criminal record check has been completed prior to the placement of a child in a foster or adoptive home?

State Response	No tracking in FACIS. These are tracked in hard copy Provider Records
ACF Comments	ACF will evaluate the use of manual processes in a future SACWIS assessment review.

3. For States that opt out of the criminal record check provision, how does the system track and document that safety considerations with respect to prospective foster and adoptive families have been addressed prior to the placement of a child in the home?

State Response	We use Narratives written by the Certifiers and filed in the Provider Records.
ACF Comments	ACF will evaluate the use of manual processes in a future SACWIS assessment review.

4. How does the system record and track whether any court determined aggravated circumstances (as defined by State law) exists?

State Response	The aggravated circumstances are documented in the on-line Narrative Form 147's and viewed through "Case Notebook"
ACF Comments	ACF recommends that the State capture this information as a data field.

5. If it is determined that reasonable efforts to reunify the family are not required, due to the existence of aggravated circumstances, how does the system track and report if the permanency hearing is held for the child within thirty days after the determination?

State Response	Next review due is entered in the database session, which is opened through FACIS and viewed in "Caseload".
ACF Comments	

6. How does the system support the notification requirement to the foster parent, pre-adoptive parent, or relative providing care for a child, of the right to be heard in permanency hearings and six-month periodic reviews held with respect to the child?

State Response	Letters are sent to these individuals. Not part of FACIS.
ACF Comments	A SACWIS compliant system should support the generation of required notices.

7. How does the system track if a child has been in foster care fifteen of the last twenty-two months?

State Response	Tickler reports out of the database after the Services have been opened in the system.
ACF Comments	

8. How does the system document in the case plan that compelling reasons exist for not filing a termination of parental rights petition?

State Response	Compelling reasons for not filing a termination of parental rights petition are recorded in the on-line Narrative 147's and viewed through the "Case Notebook."
ACF Comments	

9. How does the system track if the services necessary for the safe return of the child have been provided to the child’s family within the time period defined in the case plan?

State Response	The services necessary for the safe return of the child are recorded in the services opened in FACIS and the on-line Narrative 147’s and viewed through the “Caseload” and “Case Notebook”.
ACF Comments	

10. In the case of a child for whom the permanency plan is adoption or placement in another permanent home, how does the system track and record the steps the agency is taking to find an adoptive home or other permanent living arrangement?

State Response	Steps to achieve adoption or placement into another permanent home is tracked primarily through the CF 147 A and CF 147 B, narrative case plan that is generated from FACIS. In addition, required steps toward legally freeing a child for adoption, placement into an adoptive home, and finalization of the adoption are tracked through ARMS. ARMS data is input only by Central (CAF) Adoptions staff, but it is available to Field (CHS) staff through a read-only screen in the Adoption module of FACIS.
ACF Comments	To be SACWIS compliant, FACIS must support the Adoption Assistance Program.

Adoption Incentive Program

11. Please describe how the system supports the data collection efforts for the Adoption Incentive Program.

State Response	Adoption finalization (date adoption decree is signed by the judge) is entered into ARMS and locked down. Data for the Adoption Incentive Program is taken from ARMS and IIS. The later contains additional information regarding the adopted child’s IV-E eligibility.
ACF Comments	To be SACWIS compliant, FACIS must support the Adoption Assistance Program.

Annual Report on State Performance

12. Please describe how the system supports the data collection needs for the outcome measures used to assess State performance in operating child protection and child welfare programs under Title IV-B and Title IV-E.

State Response	Reporting of AFCARS data has been described in other sections of this document. This data and NCAANDS data, which is partially extracted from the State’s SACWIS system, are the primary means for the State to report its
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	performance in operating child protection and child welfare programs under Title IV-E.
ACF Comments	

Child Welfare Demonstration Projects

13. Please briefly describe any child welfare demonstration project operating in the State and how the SACWIS supports the effort.

State Response	Oregon's child welfare demonstration project, implemented in July 1997, relies on the Department's mainframe (SACWIS) data system to capture basic demographic information about children and parents participating in the guardianship assistance or innovative and enhanced Waiver programs. The monthly Title IV-E expenditures for provider services for Waiver programs is also drawn from the system and used to compare Waiver costs against traditional Title IV-E foster care expenditures for maintenance payments and administrative costs. Unique cost centers and object codes were assigned to waiver program expenditures to capture information for the Waiver demonstration's required cost effectiveness analysis from the Department's computer systems.
ACF Comments	FACIS should be used to collect all applicable information.

Child and Family Services Reviews

14. Please describe how the system will be used to support the CFS Reviews.

State Response	Data for Oregon's self-assessment for its June 2001 CFSR was taken from its SACWIS system. SACWIS, as noted elsewhere, is also the primary source of data for the federal ASFA outcome measures. For the 2001 on site CFSR, the sampling of cases to be reviewed was extracted from the SACWIS system. Specific case detail information on the randomly selected cases was taken from SACWIS. SACWIS was used in the CFSR to insure that all the CPS referrals on a case were included. It was also used to locate other case information that may not have been filed in the hard copy file. During the year of negotiation between Oregon DHS and federal Region X ACF regarding the State's Program Improvement Plan, data used to guide and define achievable measures of required improvement have relied on SACWIS data.
ACF Comments	

Title IV-E Eligibility Reviews

15. Please describe how the system will be used to support the Title IV-E Eligibility Reviews.

State Response	The system tracks IV-E eligibility in its mainframe system. This information is displayed on the eligibility determination screen of FACIS. The system will support Oregon's 2002 IV-E Eligibility review by identifying cases that fit the criteria for review and providing eligibility determination information about them.
ACF Comments	

16. If applicable, how has the system been modified to support and track program improvement plans that result from a State's nonconformance with a CFS review or a Title IV-E review?

State Response	Please refer to # 14, above. In addition, Oregon now produces AFCARS outcome data at the local (county) level to assist local managers to track progress toward achieving required improvement goals. Oregon's IV-E review is scheduled for later in 2002. No system modifications have yet been made regarding a program improvement plan that may be recommended as a result of this review.
ACF Comments	The Regional Office arranged and approved Technical Assistance (TA) from the National Resource Center (NRC) in the Summer of 2002 regarding foster care re-entry definitions and mapping post Child and Family Services Review (CFSR). The results of the effort produces a substantial difference in data profile item and PIP goal targets.

Foster Care Independence Act of 1999 - Chaffee Foster Care Independence Program (CFCIP)

17. Please describe how the system supports the data collection requirements in the CFCIP.

State Response	<p>There are two components to the data collection:</p> <ol style="list-style-type: none"> 1. CFCIP requires that data elements are to be collected and submitted every six months by DHS for all youth in care who are ages 14 and older. This requirement adds approximately 35 new data elements that do not yet exist in Oregon's SACWIS system but that will be required by the National Youth in Transition Database (NYTD) system. 2. Oregon DHS plans to survey at the time of discharge every youth who is age 16 or older. DHS must also take a sample (a certain percentage of youth, to be determined by ACF) of the 17-year-old foster care population to survey at three intervals: upon discharge from care, at age 19, and then again at age 21. The sample will be drawn directly from Oregon's SACWIS system. DHS will draw a new sample every three years and repeat the cycle.
ACF Comments	

18. How does the system track services being provided to youth between the ages of 18-21 under the CFCIP?

State Response	<p>Oregon's current SACWIS system does not track any ILP specific services provided by the ILP contractors or foster parents. Discussion is underway to determine what will be necessary to be able to comply with the proposed NYTD requirements.</p>
ACF Comments	<p>The SACWIS system must support the ILP Program for all Foster Care Children.</p>

Other State Initiatives

19. Please describe how the system supports other State Child Welfare Initiatives.

State Response	<p>Oregon is working with the Annie E. Casey Foundation on a Family-to-Family initiative. Basic demographic information for this project is drawn from SACWIS. In addition the SACWIS system supports work to geo-map both client populations and provider populations to determine where recruitment efforts should be focused as well as to make geographic assignments of cases. Project outcomes data with regards to median length of stay, placement disruption, re-entry and length of stay data to identify baseline data is drawn from SACWIS. A second Casey initiative (Casey Family Neighborhood Foster Care) uses Oregon’s SACWIS system for similar data and outcome reporting needs.</p> <p>On July 27, 1995, the Department signed a settlement agreement (aka “System of Care”) with the Juvenile Rights Project and the Nation Center for Youth Law regarding the quality of child welfare services in Oregon. The agreement has undergone modifications since the original signatory date, and the State has obligated itself to implement recommendations through June 30, 2003. Most of the data used to measure and report System of Care outcomes to the litigants has come from regular and special request statewide and local SACWIS reports. A shortcoming of this data was its inability to link child and family outcomes with flex fund expenditures. In late 2001, DHS Administration agreed with the litigants to align the System of Care outcomes with similar AFCARS outcomes that are generated from SACWIS on a semi-annual basis at both the local and statewide levels.</p>
ACF Comments	

APPENDIX D: AFCARS SECTION

Oregon AFCARS

As part of the September 9–13, 2002 Oregon Statewide Automated Child Welfare Information System (SACWIS) Assessment Review, the review team made a brief assessment of the Adoption and Foster Care Analysis and Reporting System (AFCARS) reporting system. The findings in this section are based on the following activities conducted in support of this assessment: 1) a case record comparison of AFCARS data for two foster care and two adoption cases to the data in Oregon information systems; 2) an analysis of the Frequency Utility report; 3) conversations with State staff about the quality and accuracy of AFCARS reporting including discussion of elements that the Children’s Bureau (CB) has identified as problematic in other State reviews; and 4) additional observations from the SACWIS Assessment Review system demonstration and user interviews.

While the assessment was not an exhaustive analysis of the AFCARS data, the review team in collaboration with State staff identified issues affecting the quality, timeliness, and accuracy of Oregon’s reporting on their child welfare population. This appendix is divided into three sections: general observations, AFCARS Foster Care elements, and AFCARS Adoption elements. Each section summarizes the issues and suggested remedies. The State should keep in mind the following caveat when evaluating the findings based on the case record comparison described above under activity 1): only four records were compared and these records were not randomly selected. These findings, which are always cited as case record comparisons in this appendix, are reported in the interest of completeness. Oregon should be cautious in extrapolating findings based on this small set to the entire foster care and adoption populations. However, the State is encouraged to confirm that these findings are not indicative of systemic problems.

The review team notes that Oregon has established an ongoing dialog with ACF/Children’s Bureau regarding issues with their AFCARS data. For example, the ACF Region X office approved a technical assistance visit by the National Resource Center for Information Technology in Child Welfare (NRC-ITCW) in December 2001 to review data and indicators used in the Child and Family Services Review (CFSR). The review team encourages the State to continue to work with CB to resolve any outstanding issues and should review proposed solutions, including approaches derived from the remedies in this appendix, with CB prior to implementation.

General Observations

AFCARS data sources

The Oregon AFCARS data resides in three systems: 1) the Family and Child Information System (FACIS); 2) the Integrated Information System (IIS); and 3) the Adoption Recruitment Management System (ARMS). Information from all three systems is combined to extract the AFCARS files.

Adoption records are maintained in a separate system from foster care cases.

ARMS, a Microsoft Access database, is the primary system for recording adoption data; additional adoption information submitted for AFCARS is derived from FACIS and IIS. All adoptions listed in ARMS are reported in AFCARS. For every submitted record, the State hard codes State Agency Involvement (AD element #4) as “Yes.” The State defines “involvement” as 1) regulatory oversight of all adoption petitions filed in Oregon courts, and 2) maintaining the permanent adoption records of all adoptions that are finalized in Oregon. The State must confirm with CB whether they are correcting coding this data element.

Although ARMS is a well documented, user-friendly system, Oregon must integrate all child welfare functionality, including adoptions, into a single system to be SACWIS compliant. Furthermore, maintaining child welfare data on the same client in different, independent systems can adversely affect the quality, consistency, and accuracy of AFCARS information as data entered into one system cannot update related fields in the other systems. For example, if a child listed in ARMS is adopted, the Date Adoption Legalized (AD element #21) recorded in ARMS and submitted with the AFCARS adoption record should be included in the foster care AFCARS record for the same child as the Date of Discharge (FC element #56). The State also noted that if a foster care case is transferred to the adoption caseload and the anticipated adoption is not finalized the linkage between the adoption and the original foster care record is lost.

In the interim until adoption and foster care caseloads are integrated into SACWIS, Oregon should develop procedures to maintain the linkage between the foster care and adoption cases so that complete and correct information is included in AFCARS submissions. This issue should be moot once FACIS is SACWIS compliant and foster care and adoption data is integrated in a single system.

Including in-home service children in the foster care population

Field staff note that Oregon has custody of some children receiving services in their homes; these children have not been removed and placed in foster care. It appears that these children are reported in AFCARS and assigned a Current Placement Setting (FC element #41) of “Trial Home Visit.” This practice may account for the large percentage of children (nearly 20%) reported in this setting. Children in State custody who have not been removed from their home should not be reported in AFCARS. However, if such children are later removed from the home, they should be included in the AFCARS submission. Oregon should ensure that the Dates of Latest Removal from Home (FC element #21) for these children are the actual date of removal and not the date the State received custody.

Race data (Foster Care and Adoption)

Caseworkers are instructed to enter “Unable to Determine” if they do not know a person’s race. This most frequently occurs when information is taken over the phone during intake. This is incorrect. If a caller does not know the race of persons in the child abuse and neglect report, no racial demographic information should be recorded and, if this child is placed in foster care, this missing data should be mapped to blank in the AFCARS submission. “Unable to Determine” may be used if an adult, or a child if age appropriate, declines to provide at least one race.

It is appropriate that there is not an edit check that requires the capture of race data during intake because it is often unknown at that point. Having an edit check at intake could result in invented data being entered to circumvent the edit check. It is more appropriate that is required either after the investigation phase is completed and the report is entered, or when the State takes custody of the child, removes the child, or begins to provide services. The State should choose the appropriate point at which the edit check should be implemented.

It is also acceptable that FACIS screens not require the user to enter in a “Yes” or “No” for each racial category. It is reasonable to assume that if the worker has indicated at least one race for a case participant that the remaining categories do not apply; in the interest of efficient data capture, FACIS does not have to force a response to each racial category. It is acceptable for the extraction routine, if a single “Yes” has been selected, to default the unmarked race categories to “No.” This is one of the few instances where it is acceptable for the extraction routine to default

missing data to “No” values. However, if no race category is selected, this implies that the question was not asked and the extraction routine should map all categories to blank.

State staff felt, after reviewing the AFCARS Frequency Utility report, that the AFCARS submission did not accurately reflect the racial makeup of children in care. Program managers believed that the frequency distribution understated the percentage of minority children in care. Oregon is encouraged to investigate this apparent anomaly and correct erroneous data. The State could create a report broken out for each caseworker listing all children in foster care and the reported race(s). Caseworkers should be instructed to correct any errors. The State could then rerun the AFCARS Frequency Utility report to confirm that corrections were made.

Hispanic Origin (Foster Care and Adoption)

The case record comparison revealed that missing Child Hispanic Origin (FC element #9 and AD element #8) in FACIS and ARMS is reported as “No” in the AFCARS submission. This suggests that the extraction routine is incorrectly defaulting missing data to “No.” The State should correct this mapping error. Missing data should be reported as blank in the AFCARS submission; it should not default to “No” or “Unable to Determine.” The case record comparison also showed that one of the two records examined had an out-of-range value. This suggests the extraction routine is mapping data improperly and the routine should be modified.

The Frequency Utility report revealed high percentages of “Unable to Determine” for 1st and 2nd Foster Caretaker Hispanic Origin (FC elements #53 and #55), respectively 38% and 28%. Oregon should ensure that workers are querying caretakers to determine their ethnicity and only using “Unable to Determine” if the respondent declines to answer

Record Number Encryption

Prior to the review, Oregon submitted sequential numbers for the Record Number (FC element #4 and AD element #3). The review team encouraged the State to instead use the unique identifier assigned to each child and encrypt this number prior to submitting the AFCARS report. This will facilitate longitudinal data analysis by CB. Oregon indicated its intention to submit encrypted record numbers with the next submission.

Software utilities to encrypt/decrypt these data elements are available from CB. Instructions for using these utilities are contained in Technical Bulletin #5: Record Identifier Encryption/

Decryption Utility, found at <http://www.acf.hhs.gov/programs/cb/dis/afcars/techbulletin/index.htm>.

AFCARS Foster Care Elements

The following matrix summarizes the review team’s comments on specific foster care elements for which issues were noted during the session with Oregon. The matrix lists findings and suggested solutions for each element. It is not meant to be an exhaustive review of the full set of AFCARS elements; rather it is a selection of elements that the reviewers were able to discuss during the time allotted for the review.

Findings	Suggestions
Year of Birth–Child, Principal Caretakers and Foster Caretakers (FC elements #6; 45-46; 50-51)	
<p>The AFCARS Frequency Utility report highlighted age discrepancies in the AFCARS submission. Some children’s birth dates place them well into adulthood. There are foster caretakers younger than 12 and older than 100.</p>	<ul style="list-style-type: none"> • Implement date edit checks to ensure ages for children and adults are within expected ranges. • Develop a report to identify case participants with unlikely ages. Have field staff correct the data • Rerun the AFCARS Frequency Utility report to confirm that edit checks are preventing the entry of dates outside of reasonable ranges and that field staff have corrected data.
Has Child Been Diagnosed with Disability? and Type of Disability (FC element #10,11-15)	
<p>According to State policy, caseworkers must indicate if a child has disabilities or not prior to authorizing substitute care. Although certain disabilities require professional diagnosis, interviewees were unsure if this was system-enforced. It appears that some workers are recording suspected disabilities, not diagnosed conditions, and these suspected conditions are reported in AFCARS.</p> <p>The AFCARS Frequency Utility report indicates 36% of children have disabilities. Staff estimates the correct figure is approximately 60%. State staff surmised that caseworkers are recording apparent disabilities when children come into care but not updating electronic records as children are evaluated and more disabilities uncovered. This contention is supported by the</p>	<ul style="list-style-type: none"> • Encourage staff to use the green bar report that shows the cases need updates to disability information. • Investigate the cause of the high percentage (44%) of “Not Yet Determined” responses. Some possible causes are: 1) medical evaluation data not being entered; or 2) erroneous mapping of pending or suspected disabilities to “Not Yet Determined.” Pending or suspected disabilities should not be reported in AFCARS. • Train workers to enter only diagnosed conditions. • If Oregon wants to capture suspected conditions, add an indicator to the disability field so that diagnosed conditions can be flagged, segregated, and reported in AFCARS. • Ensure workers are correctly using the AFCARS responses of

Findings	Suggestions
<p>finding that 4926 records (44%) list “Not Yet Determined” for Has Child Been Clinically Diagnosed with Disability? (FC element #10). As State policy is to evaluate children within 30 days of entry into care, this high percentage of “Not Yet Determined” suggests that medical evaluations are not recorded in FACIS.</p>	<p>“Yes,” “No,” and “Unable to Determine.” The response should be “Yes” if the client has been diagnosed by a qualified professional, “No” if the client has been evaluated by a qualified professional and found not to have a qualifying disability and “Not Yet Determined if there has not yet been an evaluation by a qualified professional. The screen design should not default to any one of these three values. If the caseworker has not made a selection for this question, the system should record it as a blank and report that value in the AFCARS report. Two possible designs are 1) three checkboxes, one for each response with no box containing a default checkmark or 2) a pick list with all three values plus a blank default.</p>
Date of First Removal from Home (FC element #18)	
<p>The case record comparison showed that this AFCARS element matched the court custody date rather than the placement date. As Oregon will sometimes be awarded custody, then provide services in the home, and at a later date remove the child, inaccurate removal data could be reported in AFCARS if the custody date is mapped to this element.</p>	<p>This data element should reflect the actual date the child was removed from the home.</p>

Conditions Associated with Removal (FC elements #26-40)	
<p>One case reviewed for the case record comparison had more than one removal. The Conditions Associated with Removal (FC Elements #26-40) submitted to AFCARS were associated with a prior removal, rather than the current foster care episode.</p> <p>This information should report the reasons for the removal <u>known at that time of the removal</u>. However, FACIS does not prevent the updating of these data elements. State staff were unsure if the submitted data reflected the original conditions associated with removal or if caseworkers have updated the information after removal to reflect a deeper understanding of family problems and dynamics.</p> <p>Oregon has additional reasons for removal that are not AFCARS options such as Threat of Harm (abuse, domestic violence, etc.).</p>	<ul style="list-style-type: none"> • Modify the extraction routine to ensure that these data elements are associated with the current removal episode submitted in AFCARS. • Ensure, by means of edit checks and training, that this data reports the removal conditions at the time of removal and not a later date. • Continue to work with CB to map all of Oregon’s reasons for removal to the AFCARS values.
Date of Placement in Current Foster Care Setting (FC element #23)	
<p>The case record comparison revealed discrepancies between AFCARS and FACIS for this date.</p>	<p>Review the extraction routine to ensure that the correct date is submitted to AFCARS.</p>
Manner of Removal from Home for this Episode (FC element #25)	
<p>The case record comparison revealed a discrepancy. The AFCARS record indicated a “Court Ordered” removal but the corresponding FACIS record did not contain this information. This suggests that the extraction routine is mapping missing data to “Court Ordered” instead of blank.</p>	<p>Oregon should check the extraction routine for the suspected error and if it is found, correct it.</p>

Current Placement Setting and Foster Family Structure (FC element #41, 49)	
<p>A comparative analysis of the frequency distributions for these two elements reveals inconsistencies. The Current Placement Setting frequency distribution reports that 67.3% of children are placed with families (i.e., either in a pre-adoptive home, or relative or non-relative foster family homes). However, the data for Foster Family Structure (FC element #49) indicates that only 58.5% of children are placed with families (i.e., either placed with couples or single persons). Likewise the 32.6% of children in group homes, institutions, supervised independent living, runaway, and on trial home visits is less than the 41.5% of children with a Foster Family Structure (FC element #49) of “Not Applicable.” These figures imply that approximately 9% of children are inconsistently coded.</p>	<p>Correct the records with inconsistent data. A suggested three step approach is to: 1) generate a list of those children in foster family or pre-adoptive homes with a “Not Applicable” Foster Family Structure; 2) investigate those cases to determine the source of the inconsistency; and 3) correct the data.</p>
Amount of Monthly Foster Care Payment (FC element #66)	
<p>The case record comparison revealed discrepancies for the Amount of Monthly Foster Care Payment (FC element #66). Amounts reported through FACIS were lower than the dollar figures reported in AFCARS.</p>	<p>Review extraction routine code and run tests to determine the reason the FACIS payment amount is not the amount reported to AFCARS.</p>

AFCARS Adoption Elements

The following matrix summarizes the review team’s comments on specific adoption elements for which issues were noted during the session with Oregon. The matrix lists findings and suggested solutions for each element. It is not meant to be an exhaustive review of the full set of AFCARS elements; rather it is a selection of elements that the reviewers were able to discuss during the time allotted for the review.

Findings	Suggestions
Father’s Year of Birth (AD element #17)	
The AFCARS Frequency Utility report indicates a large number of fathers born in 1911. The State reported that this is the default date assigned by the system when the father is unknown.	Oregon should remove the default date. If the information is unknown, a blank should be submitted in AFCARS.
Adoptive Family Structure, Adoptive Father’s Year of Birth, Race, and Hispanic Origin (AD elements #22; 24; 27-28)	
Oregon has had cases where only one partner of a married couple, usually the mother, is adopting the child. The State is concerned that reporting “Married Couple” for Adoptive Family Structure (AD element #22) will trigger an error if the Adoptive Father data (AD elements 24, 27, and 28) are left blank.	For these cases, Oregon should report “Married Couple” and leave the other elements blank. The State should footnote any AFCARS submissions containing such records with an explanation of the anomaly.
Child Was Placed From/By (AD elements #33-34)	
ARMS does not collect this information. The extraction routine is hard-coded to populate AD element #33 as “Within State” and AD element #34 as “Public Agency.”	Modify the system to collect all AFCARS values that are consistent with State policy.