

# SACWIS Assessment Review Guide (SARGe)

## Requirements Overview



Division of State Systems  
Children's Bureau, ACYF

Administration for Children and Families

# SACWIS Overview



# SACWIS Overview

- ◆ SACWIS requirements are at a high level
  - States have latitude in system design based on State law, policy, and practice
  - Focus on system functional and technical design that best supports states' child welfare business needs
  - State business plans should be thoroughly described in Implementation Advance Planning Documents



# SACWIS Overview

- ◆ A SACWIS assessment review helps a State:
  - Recognize its system's conformity to Federal requirements
  - Identify system deficiencies
  - Determine improvement/corrective action plans
  - Obtain technical assistance (TA)



# SACWIS Overview

- ◆ Reviews should be viewed as a cooperative partnership
- ◆ ACF will work with and consult State staff regarding:
  - Review findings
  - Corrective action plans that lead to system conformance with all Federal requirements
- ◆ Progress on approved action plans will be tracked through the required Annual APDU



# Common Issues

- ◆ Automation of title IV-E eligibility determination
- ◆ Required/optional interfaces (missing or one-way only)
- ◆ Financial components (missing; not working properly)
- ◆ Paper processes
- ◆ Redundant data entry
- ◆ Working off-line
- ◆ Ticklers, alerts, and notifications



# What is a “statewide” system?

- ◆ Defined in Action Transmittal ACF-OISM-001
  - [www.acf.dhhs.gov/programs/cb/dis/sacwis/federal.htm](http://www.acf.dhhs.gov/programs/cb/dis/sacwis/federal.htm)
- ◆ “Must operate uniformly as a single system throughout the State and must encompass all political subdivisions...”



# Statewide: Common Issues

- ◆ SACWIS used incompletely and inconsistently throughout a state due to local preferences and business practices
- ◆ Use of external automated systems to support child welfare-related business processes





# APD's System Design vs. Actual System Functionality

- ◆ Inconsistencies between the two are handled on a case-by-case basis
- ◆ ACF's considerations:
  - Impacts on the program
  - Costs of making the changes
  - Cost benefit analysis
- ◆ States must describe and justify the differences (should actually address issues in IAPDUs before the assessment review)



# Policy vs. Practice

- ◆ Does the automated system support all child welfare business practices, policies, and processes?
- ◆ Is the SACWIS database the location of the “official case record” or at least most of its components?
- ◆ Are there unofficial but necessary manual or automated processes completed outside of the system?



# Security

- ◆ Review access policies and practices
- ◆ State documentation important
- ◆ Levels of security: system access, user security, physical security, infrastructure, databases, code modules
- ◆ Issues are observed and noted during demonstration and interviews



# Security

- ◆ Examples of security problems:
  - Sharing user-ids/passwords
  - Level of system access consistent with job responsibilities
  - Existence of a complete and tested disaster recovery/business continuity plan
- ◆ Sealing/purge/archive – based on State law/policy



# Freezing of Data

- ◆ Critical data must be made unalterable (frozen) at various points in a case life-cycle
- ◆ Areas include (but are not limited to):
  - Intake information
  - Screening decisions
  - Contacts
  - Court documentation



# Freezing of Data

- ◆ What needs to be frozen?
  - Some narrative fields
  - Some discrete data fields
- ◆ Internal system history tables vs. freezing data
  - “Delete” command button



# Word Processing Templates

- ◆ Definition of word processing templates
- ◆ Can be a letter or form
- ◆ Should be pre-filled with data from SACWIS
- ◆ Workers may be able to add data to template
  - SACWIS may be automatically updated (good)
  - SACWIS may not automatically be updated, but the worker thinks it is (not good)
  - Issues



# Does SACWIS Support New Initiatives?

- ◆ Chafee Foster Care Independence Program (CFCIP)
- ◆ Health Insurance Portability and Accountability Act (HIPAA)
- ◆ State initiatives





# Private Providers

- ◆ Many States use private providers
  - Should use the SACWIS
  - If performing child welfare duties, security settings and data access rights should be the same as State staff with similar duties.



# Intake Management

Goal: Provide for the administration of the processes necessary to ensure that the child welfare services agency can respond to those who need assistance through the proper identification of the individuals and provision of appropriate assessment procedures.



# Requirements 1 & 2: Collect and record intake, contact and referral information

- ◆ Should support “easy” direct data entry
- ◆ Should require only simple navigation for data entry
- ◆ Good system performance (response time) is critical to support data capture and to respond to requests submitted during the intake process



Limit edit checks to only essential information



# Requirement 3: Search for prior history (persons/incidents)

- ◆ The search engine should:
  - Be robust
  - Be convenient and easy to use
  - Provide access to unsubstantiated allegations
  - Support a variety of query constructions
  - Search through all people, regardless of role



An unreliable search engine can result in duplicates cases.



Search responses should be accurate, concise, and quick.



## Requirement 4 (optional): Record information only request

- ◆ No intake is needed
- ◆ System may need only to capture basic data and the fact that a referral or information was provided.



# Requirement 5: Evaluate intake information

- ◆ Can workers view all client prior history and intake information?
- ◆ Does the system organize and present the information in a way to support an informed decision to screen any client in or out?
- ◆ Systems may be designed to automate decision support processes



Prior history should always be non-editable.



## Requirement 6: Record the results of the screening evaluation

- ◆ System must capture the “screen in” or “screen out” decision
- ◆ The use of any override/appeal process must be documented/justified in the system
- ◆ Possible point to freeze data



# Requirement 7: Establish a case record

- ◆ The State should define the SACWIS as a major component of the official case record.
- ◆ What is the basis of a case?
  - Family group; client, etc.
  - Does this follow State policy?
- ◆ Case record data should include: demographic, medical, educational, placement, and other critical information
- ◆ Case creation may occur at different points in the life cycle of services provided





## Requirement 8: Assign case to worker

- ◆ Intakes must be assigned to the appropriate worker, either directly to the worker or through a supervisor following system-enforced State business processes
- ◆ There must be system-enforced case/client assignment to staff and/or their supervisors at all times
- ◆ How is case transfer accomplished?



## Requirement 9: Refer for investigation and/or services, as appropriate

- ◆ Does the system present all appropriate issues and services in a clear and organized manner?
- ◆ Does the system allow for the case to be sent forward to the next “stage” in the business process?



## Requirement 10 (optional): Collect and record investigation information

- ◆ Does the system capture and clearly present investigation data that the worker needs to make informed decisions?
- ◆ Does the system allow for data to be entered without regard to sequence or order?
  - Are there edit checks which impede the business process flow because information is missing?



# Requirement 11: Record investigation decision

- ◆ Does the system capture the complete investigation decision?
- ◆ Are children, allegations, and findings linked together? All aspects should be linked.
- ◆ Discrete dispositional data values are preferred to and more useful than text narrative. (e.g., substantiated, unsubstantiated, etc.)



Dispositional categories can enhance reports better than narrative text fields.



# Alerts/ticklers, notifications, and reports

- ◆ Tickler: An automated reminder to a worker and/or supervisor that an action is required
- ◆ Alert: Client- or case-based note to warn or inform anyone who has contact with the client/case
- ◆ The terms alert and tickler are sometimes used interchangeably
- ◆ Notification: Can refer to system-generated correspondence, task lists, reports or word processing templates that are integrated into the SACWIS



# Requirement 12: Generate alerts, ticklers, notifications, and reports

- ◆ Does the system automatically generate alerts, ticklers, notifications and reports?
- ◆ All reports, forms, and notices needed by workers, their supervisors, or management should be SACWIS generated.
- ◆ This slide covers requirements #20, #28, #34, #40, #43, #46, #53, #56, #57.
- ◆ In the specific requirement the State should describe unique system characteristics of reports, alerts, ticklers and notifications which are appropriate to these requirements.



# Requirement 13: Determine and record risk assessment

- ◆ System must support all professional risk assessments.
- ◆ Does the system present a view of the investigation findings and client situation such that the caseworker has all necessary information to perform a risk assessment?
- ◆ Does the system provide a history of previous assessments and allow the addition of new assessments?



## Requirement 14 (optional): Perform risk assessment

- ◆ Does the system provide an automated risk assessment which evaluates the assessment data and scores the child/family on a scale of risk?
- ◆ If so, does the system allow the worker to acknowledge the system-generated risk assessment but override it by documenting and recording the worker's own risk assessment?





# Requirement 15: Collect and record special needs/problems

- ◆ Does the system capture the special needs/problems of a child?
- ◆ Is there a way to differentiate between conditions observed by caseworkers and those diagnosed by qualified professionals?
- ◆ Is the system capable of capturing the strengths and weaknesses of the family?



## Requirement 16: Determine and record needed services

- ◆ System must support the selection of services based on needs/problems.
- ◆ Does it display enough case data to help caseworkers choose appropriate services for the client/case?
- ◆ System must keep an historical record of services provided.



# Requirement 17 (optional): Record client contacts

- ◆ Are all client contacts contained within the case/client record?
- ◆ Does the system allow adding additional contacts or corrections to existing contacts?



Data entry may be simplified by reusing contact information; i.e., record contacts once for multiple purposes



## Requirement 18 (optional): Prepare and record referrals to other agencies

- ◆ How does SACWIS refer a client to other agencies for benefits and services?
- ◆ Is there an electronic interface between the SACWIS and other agencies' systems?



ACF will fund interfaces from the SACWIS to other agencies' systems



## Requirement 19 (optional): Collect and record further case information

- ◆ Does the system capture other types of on-going case information and allow updates of this data?



## Requirement 20: Generate alerts, ticklers, notifications, and reports

- ◆ In the specific requirement the State should describe unique system characteristics of reports, alerts, ticklers and notifications which are appropriate to the requirement.
- ◆ General system functionality should be described in Requirement #12



# Eligibility

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



# Requirement 21: Support the determination of eligibility for title IV-E?

- ◆ Three factors should be automatically assessed:
  1. Financial component
  2. Court hearings and document language
  3. Placement conditions - licensing

◆ See Action Transmittal **ACF-OSS-05**  
(<http://www.acf.dhhs.gov/programs/cb/dis/sacwis/sacwis/at98.htm>)





# Requirement 22: Record/track legal requirements related to title IV-E eligibility?

- ◆ Does the system track:
  - Proper language in the court documents?
  - Timing of the review



Tracking all aspects of judicial hearings is optional.



## Requirement 23: Determine/track a child's title IV-E eligibility in an out-of-home placement

### ◆ Does the system track:

- The facility type and license status in which the child is placed?
- All placements?
- Whether the placement costs are title IV-E eligible?
- Status of placement?



## Requirement 24: Verify eligibility for other programs

- ◆ Does the system provide any available information to other automated systems to help determine program eligibility (e.g., child support [title IV-D], Medicaid [title XIX])



# Requirement 25: Record authorization decisions

- ◆ How does the system provide for recording eligibility authorization?
- ◆ Is the recording of the decision automated based on the system's automated assessment?
- ◆ Is this information readily available for audit purposes? All information used to determine eligibility needs to be visible and auditable



Discrete data fields are preferred



## Requirement 26: Generate documents related to eligibility determinations

- ◆ In the specific requirement, the State should describe unique system characteristics of reports, alerts, ticklers and notifications which are appropriate to the requirement.
- ◆ General system functionality should be described in Requirement #12



## Requirement 27: Redeterminations

- ◆ Does the system perform an automated redetermination of title IV-E eligibility?
- ◆ Does the system provide for recording of redetermination of eligibility?
- ◆ Is this information readily available for audit purposes? All information used to determine eligibility needs to be visible and auditable



## Requirement 28: Generate documents related to eligibility redeterminations

- ◆ In the specific requirement the State should describe unique system characteristics of reports, alerts, ticklers and notifications which are appropriate to the requirement.
- ◆ General system functionality should be described in Requirement #12



# Case Management

Goal: To provide system support for the efficient and effective administration and tracking of the processes necessary to ensure that the child welfare agency identifies, communicates, evaluates, and monitors the services which will improve the conditions that necessitated agency involvement and ensure the **safety, permanency and well-being of children.**





## Requirement 29: Prepare and document service/case plans

- ◆ Does the system support the development and capture the complete service/case plan?
- ◆ Does the system maintain a non-editable history of service/case plans?
- ◆ Is supervisory approval required to complete service/case plans?
- ◆ Are the service/case plans frozen at some point?



## Requirement 30 (optional): Identify and match services to meet the client's case plan needs

- ◆ Does the system offer choices for appropriate services and associated providers based on an evaluation of the client's problems/needs and other criteria?



## Requirement 31 (optional): Record contact with and acquisition of needed resources/services

- ◆ Does the system maintain a history of acquired resources/services? Is it viewable to other users?
- ◆ Does the system generate a referral to the provider?



## Requirement 32: Track and update service/case plan

- ◆ Does the system capture all information related to a service/case plan:
  - As a case matures
  - As a result of changing needs, progress, and provision of services?
- ◆ At what point is the service/case plan frozen?
- ◆ Is the system's service/case plan used exclusively throughout the State?



## Requirement 33 (optional): Match client to placement alternatives, if needed

- ◆ Can the system search for and match providers with clients/cases based on key characteristics (e.g., demographics and other appropriate criteria)?



## Requirement 34: Generate documents as needed

- ◆ In the specific requirement the State should describe unique system characteristics of reports, alerts, ticklers and notifications which are appropriate to the requirement.
- ◆ General system functionality should be described in Requirement #12



## Requirement 35 (optional): Request and record supervisory approval of plan, if needed

- ◆ What is the State-required business process for a case plan approval?
- ◆ Is this process captured and enforced in the SACWIS?



## Requirement 36 (optional): Estimate and track actual costs of resources/services

- ◆ Can the system estimate and track actual resource/services costs?
- ◆ If an external automated accounting system is used, is there an interface between it and SACWIS to track assignment of services and related costs.





## Requirement 37 (optional): Identify program outcome measures

- ◆ Does the system track State-defined outcome measures for clients and/or cases?



## Requirement 38: Generate alerts/ticklers to conduct case review/evaluation as needed

- ◆ Does the system automatically generate a notice or tickler to the reviewer when a case review/evaluation is due?
- ◆ Does the system track completion of the case review/evaluation?



## Requirement 39: Conduct and record results of case review

- ◆ Does the system capture results, decisions, and action items from a case review?
- ◆ Does it keep a history of the problems identified?



## Requirement 40: Generate documents, notices and reports based on review

- ◆ In the specific requirement, the State should describe unique system characteristics of reports, alerts, ticklers and notifications which are appropriate to the requirement.
- ◆ General system functionality should be described in Requirement #12



## Requirement 41 (optional): Record collateral contacts

- ◆ Does the system capture collaterals and their roles, e.g., neighbors, relatives, etc.?
- ◆ Can the collateral contacts be associated with multiple clients/cases without the need for duplicate data entry?
- ◆ Can the collateral contact's role change among different clients or cases?



## Requirement 42 (optional): Track and record services identified in the service/case plan

- ◆ Does the system track and record information regarding each service that was identified and offered for each client/family in the service/case plan?



## Requirement 43: Generate documents, notices, and reports

- ◆ In the specific requirement, the State should describe unique system characteristics of reports, alerts, ticklers and notifications which are appropriate to the requirement.
- ◆ General system functionality should be described in Requirement #12



# Resource Management

Goal: To provide system support for the efficient, economical, 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.





# Requirement 44: Record and update provider information

- ◆ Does the system capture and maintain provider data to match the available services with clients' needs?
- ◆ Are the results of criminal background checks captured and maintained in the SACWIS?
- ◆ Are allegations associated with providers captured and maintained in the SACWIS?
- ◆ Is historical information saved?



## Requirement 45: Generate alerts/action items on licensing status changes

- ◆ Does the system generate ticklers about upcoming license renewals?
- ◆ Does the system generate alerts resulting from changes in licensing status?
- ◆ Does the system maintain a history of licensing status?



## Requirement 46: Generate reconciliation and evaluation reports as needed

- ◆ In the specific requirement, the State should describe unique system characteristics of reports, alerts, ticklers and notifications which are appropriate to the requirement.
- ◆ General system functionality should be described in Requirement #12



## Requirement 47 (optional): Record and track provider training

- ◆ Does the system track all training received by providers?
- ◆ Does the system provide information which enables a staff member to determine if there are gaps or holes in the training?



Note: The level of provider training does not have to be at the individual level.



## Requirement 48: Maintain and update foster care and adoptive home information

- ◆ Does the system capture and maintain information on foster care and adoptive home providers to match their services with clients' needs?



## Requirement 49: Record FC home abuse/neglect allegations and investigation results

- ◆ Are all foster care providers among those in the search universe when searching the system to find alleged perpetrators?
- ◆ Can other substantiated or unsubstantiated allegations against a provider be identified?
- ◆ Does the system support the capture and maintenance of all allegation information and investigation results?



## Requirement 50 (optional): Process foster care/adoptive home applications

- ◆ Does the system support foster care/adoptive home application processes, including capturing and maintaining all data from the applications?



Requirement 51 (optional): Generate alerts/action items as needed if a foster care license is revoked

- ◆ Does the system automatically alert a worker for each child in a placement:
  - When an allegation is lodged against a provider; or
  - If a provider's license is revoked?
- ◆ Does the system automatically exclude a provider whose license is revoked when searching for a placement?





## Requirement 52 (optional): Maintain directory

- ◆ Does the system maintain a directory of placement and/or service providers?
- ◆ Can the directory be searched based on a variety of user-supplied search criteria?



## Requirement 53 (optional): Generate reports

- ◆ In the specific requirement, the State should describe unique system characteristics of reports, alerts, ticklers and notifications which are appropriate to these requirements.
- ◆ General system functionality should be described in Requirement #12



## Requirement 54 (optional): Process contract and contract changes

- ◆ Does the system support the State's business needs for processing and maintaining provider contracts?
- ◆ Does the system support processing changes to provider contracts?



## Requirement 55 (optional): Record contract-monitoring results

- ◆ Does the system capture results of contracted services?
- ◆ Does the system serve as a useful tool to the State for monitoring results of contracts?



## Requirement 56 (optional): Generate alerts/action items as needed

- ◆ In the specific requirement, the State should describe unique system characteristics of reports, alerts, ticklers and notifications which are appropriate to the requirement.
- ◆ General system functionality should be described in Requirement #12



## Requirement 57 (optional): Generate documents as needed

- ◆ Does the system generate all appropriate documents for reconciliation and evaluation of contract support?



# Court Processing

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



## Requirement 58 (optional): Provides for the preparation of State agency documents for courts

- ◆ Does the system facilitate preparation of all State agency documents for courts, such as petitions, letters, attorney approvals, and supervisory approvals?
- ◆ Does the system interface with one or more court systems?
- ◆ Is duplicate data entry required to generate court documents?





## Requirement 59 (optional): Notifies relevant parties of impending court actions

- ◆ Does the system generate notifications, either manually or automatically of upcoming court actions for all relevant parties?



## Requirement 60 (optional): Monitors and tracks court-related events requiring State agency action

- ◆ Does the system capture and maintain essential information that it can use to monitor and track court-related events requiring State agency action?
- ◆ Is redundant court data captured?



## Requirement 61 (optional): Support the requirements of the Indian Child Welfare Act

- ◆ Does the system track the tribal affiliation and generate a notice to the correct tribe when a tribal child enters the State's child welfare system?
- ◆ Does the system record that a notification has been sent?
- ◆ In what other ways does the system support the Act?



# Financial Management

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



## Requirement 62: Supports the accounts payable process

- ◆ Is this financial function internal or external to the SACWIS?
- ◆ If external, is there an interface between the SACWIS and the external financial system?
- ◆ Does the SACWIS (or external system) track billing, vouchers, payments, lost checks, or changes in provider eligibility for title IV-E funds?



Refer to Action Transmittal **ACF-OISM-001**

[http://www.acf.hhs.gov/programs/cb/dis/sacwis/sacwis/at\\_oism\\_001.htm](http://www.acf.hhs.gov/programs/cb/dis/sacwis/sacwis/at_oism_001.htm)



## Requirement 63: Supports the accounts receivable process

- ◆ Does the system track overpayments?
- ◆ Does the system track client trust funds and other client income and resources?



## Requirement 64: Provider claims processing

- ◆ Does the system provide for reconciling between authorized placements and/or services and actual placements and/or delivered services?
- ◆ Does the system create a check and/or remittance advice for the provider?



# Administration

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





# Requirement 65: Record and update employee information

- ◆ Does the system capture basic employee information such as name, employee ID, and department and/or office assignment?
- ◆ Does the system support the basic organizational structure of the State's or counties' child welfare agency(ies)?



Note: SACWIS is not meant to be a personnel system



## Requirement 66 (optional): Record and update employee information

- ◆ Does the system capture and maintain additional employee information, such as:
  - Demographic information;
  - The results of Background Criminal Investigation checks; and
  - Other employee-related data?



# Requirement 67: Record and track case assignment

- ◆ Does the system support:
  - Assignment of cases to workers;
  - Track workload assignments; and
  - Identify on-call staff?



# Requirement 68 (optional): Assist in workload management

- ◆ Does the system support:
  - Decisions regarding case assignments; and
  - Workers' management of their caseloads?



## Requirement 69 (optional): Track employee training

- ◆ Does the system record all training received by each staff member?
- ◆ Does the system contain sufficient information so supervisors can facilitate the development of workers' training plans?



# Requirement 70 (optional): Document employee performance

- ◆ Does the system help supervisors review and evaluate workers' performance through the production of various workload and production reports, such as:
  - Caseload size/type
  - Number of home visits conducted,
  - Number of escalated alerts



Note: SACWIS is not meant to be a personnel system



# Requirement 71: Produce AFCARS report

- ◆ Does the extraction routine generate default values rather than setting missing data to blanks?
- ◆ Does the system support the entry of multiple race codes for clients?
- ◆ Do the AFCARS frequency reports reveal obvious missing or out-of-range values?
- ◆ Does the State program staff feel the frequency reports accurately reflect foster care and adoption caseloads?



## Requirement 72: Produce other Federal Reports

- ◆ Does the system support the production of the title IV-E 1 report, which is submitted to ACF Regional Offices?
- ◆ Are supplemental systems (automated and manual) used to produce the Federal report(s)?





## Requirement 73: Produce State reports

- ◆ Does the system produce all regular reports needed at different levels within an organization?
- ◆ Can the system support ad hoc reporting either internally or through an external data warehouse and reporting tool?
- ◆ Are the reports found useful by state and local staff?



# Requirement 74: Produce statistical reports

- ◆ Does the system support the production of statistical reports for program analysis, either internally or through an external data warehouse and reporting tools?



# Requirement 75: Provide hardware and software security

- ◆ How are system and telecommunication hardware at the State and local level secured?
- ◆ How are software applications secured?
- ◆ How are data secured and data back-ups at the host and local sites accomplished?
- ◆ How are users' access, audit trails, and access to sensitive data addressed?



## Requirement 76: Provide hardware and software security

- ◆ How are confidentiality requirements of section 471(a)(8) of the Social Security Act and section 106(b)(2)(A)(v) of the Child Abuse Prevention and Treatment Act implemented in the system?
  - Signed confidentiality agreements
  - Access to system data
  - System interface security implementation



# Requirement 77: Provide hardware and software security (contingency plans)

- ◆ What is the State's disaster recovery and business continuity plan?
  - Is it formal, written and accessible?
  - Is it periodically tested?
- ◆ Does it apply to both State and county-level offices?



## Requirement 78: Archive and purge

- ◆ Does the State have laws and/or policies on purging data?
- ◆ Does the system reflect the State's policies?
- ◆ Is the archive/purge process automated within the SACWIS?
- ◆ Has the process been tested?
- ◆ Can information be sealed and unsealed?



## Requirement 79 (optional): Provide office automation

- ◆ As part of the SACWIS implementation, were other office automation products (word processing, email, spreadsheets, databases, etc.) implemented, and are they being used?



## Requirement 80 (optional): Provide on-line system documentation

- ◆ Is on-line user documentation internal or external to the system?
- ◆ Does it include documentation, such as:
  - On-line policy/procedures manual;
  - User guides; and/or;
  - Field and/or screen-level help screens?





## Requirement 81 (optional): Provide on-line training

- ◆ Has a web-based training (WBT) and/or computer based training (CBT) been implemented?
- ◆ Is the on-line training internal or external to the system?



# Interfaces

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



# Interfaces

## ◆ Levels of automation:

- Online
- Batch
- Common data base
- Other solutions proposed by the State



## Requirement 82: Provide for an electronic data interface with other systems?

- ◆ Are there bi-directional interfaces between the system and systems supporting titles IV-A (TANF), IV-D (Child Support), XIX (Medicaid), and Child Abuse and Neglect (CAN)?
- ◆ What information is sent?
- ◆ What information is returned?
- ◆ Is the information sufficient for establishing and managing cases?



# Requirement 83: Title IV-A (TANF) interface

- ◆ How does the system:
  - Capture and exchange relevant information?
  - Identify potential resources for the title IV-E child?
  - Avoid duplicate payments under the title IV-E and title IV-A programs?
  - Update or create new case data



Note: AFCARS element #61 indicates if the child is living with relatives whose source of support is a TANF payment for the child.



# Requirement 84: Title IV-D (Child Support) interface

- ◆ How does the system's interface with the title IV-D system:
  - Establish a child support case?
  - Identify potential resources for the title IV-E child?
  - Allow for exchange of data to avoid duplicate data entry?




Note: AFCARS element #62 indicates whether child support is being paid.



# Requirement 85: Title XIX (Medicaid) interface

- ◆ How is the Medicaid interface used to establish title XIX eligibility?

 Note: AFCARS element #63 indicates whether the child is eligible or receiving assistance under Title XIX.



## Requirement 86: Child Abuse and Neglect (CAN) interface

- ◆ Is the CAN integrated in the SACWIS?
- ◆ If so, does the system produce the NCANDS report? SDC and DCDC?
- ◆ If not, how does the interface support the foster care and adoption process?





# Requirement 87 (optional): Additional interfaces

- ◆ Central Registry or CAN
- ◆ SSA
- ◆ State financial system
- ◆ State licensing system
- ◆ Vital statistics
- ◆ Court system
- ◆ Juvenile Justice
- ◆ Mental health and retardation
- ◆ Department of Education
- ◆ Others



# Quality Assurance

Goal: To provide for the review of case files for accuracy, completeness, and compliance with Federal requirements and State standards.



## Requirement 88: Which quality assurance features does the system incorporate?

- ◆ Does the system contain appropriate edits, range checks, and prompts for critical or incomplete data to ensure quality data?
- ◆ A general gauge of quality assurance will be cited in this section.



## Requirement 89: Other quality assurance functions or related features

- ◆ What additional functions has the State added to the system?
- ◆ If it is listed in the APD, it must be implemented in the SACWIS.



# Other Functionality

Additional functionality not described in the previous sections of the review guide



## Requirement 90: Additional functions

- ◆ Does the system provide additional functionality not already described, such as:
  - Digital imaging;
  - Remote computing; and
  - Document management?
- ◆ If functionality is described in the State's IAPD, RFP or contractor proposal, it is expected to be in the automated system.



# The SACWIS Review Process



# Preparing for a SACWIS Review

- ◆ Scheduled after automated system is fully implemented and operational statewide
- ◆ Preliminary conference calls/communication to discuss:
  - Date of visit
  - Agenda
  - Participants
  - Documentation requests
  - Answers to State's questions
- ◆ State's responses to SARGe questions and requests for information





# SARGe Responses

- ◆ States usually break SARGe into functional-based sections and distribute to appropriate staff
- ◆ SARGe may reference other documentation
- ◆ Responses should be grounded in PAPD, IAPD, and APDUs
- ◆ Inconsistencies between SARGe and actual system will be noted during the review process



# SACWIS Review Includes

- ◆ System demonstration
  - Demo of version of system in production (not a static presentation) – use of training or testing database is acceptable
  - Walk through of all functional areas as defined by the SACWIS Assessment Review Guide (SARGe)
  - States can tailor walkthrough flow based on their process flow or SARGe
- ◆ Central and local office interviews
  - To assess how well system meets workers' needs
  - How has the new SACWIS affected roles and responsibilities?



# SACWIS Review Includes

- ◆ Project (Technical) Site
  - Project processes, such as:
    - ◆ Software design, development, and maintenance
    - ◆ Software testing
    - ◆ Quality assurance/control
  - Disaster Recovery Plan
  - Business Continuity Plan
  - Security
  - Technical documentation
  - Tour of hosting facility

