

DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

Statewide Automated Child Welfare Information Systems
SACWIS ASSESSMENT REVIEW GUIDE

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Administration for Children and Families

TABLE OF CONTENTS

1	INTRODUCTION.....	1-1
1.1	PURPOSE	1-1
1.2	BACKGROUND.....	1-1
1.3	REVIEWS.....	1-2
1.4	AUTHORITY AND REFERENCES	1-3
1.5	ASSESSMENT REVIEW PROCESS SUMMARY.....	1-4
2	SAR PROCESS.....	2-1
2.1	OVERVIEW OF THE SAR PROCESS	2-1
2.2	REVIEW INITIATION PHASE	2-1
2.2.1	<i>Request Review and Submit Documentation</i>	<i>2-1</i>
2.2.2	<i>Federal Response</i>	<i>2-3</i>
2.3	ASSESSMENT REVIEW PLANNING PHASE	2-3
2.3.1	<i>Review Documents.....</i>	<i>2-3</i>
2.3.2	<i>Plan Review and Draft Agenda</i>	<i>2-4</i>
2.3.3	<i>Finalize Arrangements with State.....</i>	<i>2-4</i>
2.4	ON-SITE REVIEW PHASE	2-5
2.4.1	<i>Entrance Conference and Detailed System Demonstration.....</i>	<i>2-5</i>
2.4.2	<i>Local and State Office Visits and Interviews.....</i>	<i>2-5</i>
2.4.3	<i>Document Review Findings.....</i>	<i>2-6</i>
2.4.4	<i>Conduct Exit Conference.....</i>	<i>2-8</i>
2.5	POST-REVIEW PHASE.....	2-8
2.5.1	<i>Finalize Findings and Conclusions</i>	<i>2-8</i>
2.5.2	<i>Prepare Final Report.....</i>	<i>2-8</i>
2.5.3	<i>Post-Report Activities</i>	<i>2-9</i>
3	INSTRUCTIONS	3-1
3.1	OVERVIEW	3-1
3.2	STATE COMPLETION OF THE GUIDE	3-1
3.3	EXAMPLE FOR COMPLETING THE PROCESS SECTION OF THE GUIDE	3-6
3.4	ACF COMMENTS.....	3-9
3.5	STATE RESPONSE TO ACF COMMENTS.....	3-10
3.6	LESSONS LEARNED FROM PREVIOUS REVIEWS	3-10
4	APPENDIX A: GUIDE - OVERVIEW SECTION.....	A-1
5	APPENDIX B: GUIDE - PROCESS SECTION	B-1
6	APPENDIX C: GUIDE – NEW INITIATIVES SECTION	C-1
7	APPENDIX D: SAMPLE INTERVIEW QUESTIONS	D-1
8	APPENDIX E: SAMPLE SAR AGENDA	E-1

LIST OF EXHIBITS

Exhibit 2-1	SACWIS Assessment Review Methodology.....	2-1
Exhibit 2-2	Finding Summary Worksheet.....	2-9

NOTICES

THE PAPERWORK REDUCTION ACT OF 1995

Public reporting burden for this collection of information is estimated to average 160 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

ALTERNATIVE SUBMISSIONS

States MAY provide the information requested in the *SACWIS Assessment Review Guide* in an alternative form to the extent that the State already has it available.

PLEASE NOTE – Before committing resources to write or develop supporting documents requested as part of this effort, contact ACF to discuss. It is not the intent of ACF to have States develop the supporting documents submitted along with the *SACWIS Assessment Review Guide*. ACF believes that most of the requested supporting documents will have been developed as part of the overall system development project. ACF has attempted to reduce the overall burden on the States by relying on existing documentation.

1 INTRODUCTION

1.1 PURPOSE

The purpose of this document is to provide guidance to Federal and State personnel on conducting Statewide Automated Child Welfare Information System (SACWIS) Assessment Reviews.

1.2 BACKGROUND

The Department of Health and Human Services' (DHHS) Administration for Children and Families (ACF) provides national leadership and direction in planning, managing, and coordinating the administration and financing of a broad range of comprehensive and supportive programs for vulnerable children and families. These programs are, in large part, administered by public and private State and local agencies and are designed to promote stability, economic security, responsibility, and self-sufficiency.

For many years, concerns have been raised about the lack of information available on children in foster care and their families. To address some of these concerns, Congress amended title IV-E of the Social Security Act in 1986 by adding section 479 which requires the Federal government to institute a foster care and adoption data collection system. Federal regulations at 45 CFR 1355.40 (Code of Federal Regulations) set forth the requirements for the Adoption and Foster Care Analysis and Reporting System (AFCARS).

The Omnibus Budget Reconciliation Act of 1993 (OBRA 93) provided enhanced Federal financial participation (FFP) at the 75 percent rate (beginning October 1, 1993) for development of SACWIS systems to carry out the States' programs under title IV-E of the Social Security Act. In response, requirements for SACWIS were implemented under regulations at 45 CFR 1355.50. The Personal Responsibility and Work Opportunity Reconciliation Act of 1996 extended the period of eligibility for the enhanced rate to September 30, 1997. Under these laws, enhanced funding was made available for the planning, design, development, and installation of statewide systems that meet the following standards.

1. The systems must meet the requirements imposed by regulations promulgated pursuant to section 479(b)(2) (AFCARS) of the Social Security Act.
2. The systems must, to the extent practicable, interface with the State data collection system that collects information relating to child abuse and neglect.
3. The systems must, to the extent practicable, interface with, and retrieve information from, the State data collection system that collects information relating to the eligibility of individuals under the title IV-A program.
4. The systems must be determined by the Secretary to improve program management and be likely to provide more efficient, economical, and effective administration of the programs carried out under a State's plans approved under title IV-B or IV-E of the Act.

1.3 REVIEWS

States are encouraged to develop SACWIS systems. States electing to develop such systems with Federal financial participation (FFP) come under the existing Federal review and approval processes, initiated and updated by Advance Planning Documents (APDs) submitted to ACF. ACF has established the following types of reviews.

MONITORING REVIEWS: 45 CFR 95.621 requires that ACF continually review, assess, and inspect the planning, design, and operation of SACWIS systems to determine how such systems meet and continue to meet the requirements imposed in the law, regulations, and guidelines.

These reviews, conducted on an as-needed basis, assess the State's progress in developing the comprehensive statewide system described in the approved APD. During planning, development, and installation, these reviews are generally concerned with the overall progress, work performance, expenditure reports, system deliverables, security, and supporting documentation. ACF assesses the State's overall conformance with the approved APD and provides technical assistance and information sharing from other State projects.

ASSESSMENT REVIEWS: There are no specific certification requirements for SACWIS. Once a system is operational, ACF will conduct and report the results of a SACWIS Assessment Review (SAR). The purpose of these reviews is to ensure that all aspects of the project, as described in the approved APD, have been adequately completed, and conform to applicable regulations and policies. Either the State or ACF may initiate these reviews. However, ACF reserves the right to initiate a SACWIS Assessment Review at anytime in the life cycle of a system.

A SACWIS Assessment Review (SAR) is based on the requirements of law, implementing regulations, the SACWIS Action Transmittals (AT) and Program Instructions (PI), the State's approved APD, State contract documents, and any additional policy guidance or conditions provided to the State. Every effort will be made to reach mutually acceptable solutions to any identified issue. However, if this is not possible, the State may be subject to the remedies described at CFR 45 1355.56.

The timing and manner in which SACWIS reviews are conducted is based on available staff and resources; not all SARs will be conducted on-site nor will they necessarily be conducted at the time the system becomes operational. Therefore, States that use contractor assistance in the development of their system should not link final acceptance or payment to an ACF review. Instead, States are encouraged to base contractor payments on task-specific deliverables and system acceptance on demonstrations and system acceptance tests.

In preparation for a SAR, every effort will be made by ACF (considering resource availability) to conduct a technical assistance consultation with the State. This discussion should occur during or immediately after pilot implementation. The State and ACF will use this technical assistance consultation as an opportunity to estimate system conformance with SACWIS

requirements, specify a time frame for resolution of obvious (i.e., highly visible) issues (if needed) and discuss when the SAR should be conducted.

Generally, ACF will not conduct the Assessment Review until, at a minimum, the following conditions are met:

30 percent of the total foster care and adoption caseloads (State and Federal) have been converted to, and are maintained under the fully functional SACWIS system; and

One (1) or more county/district offices are fully operational.

States should note that they MAY provide the information requested in the SACWIS Assessment Review Guide in an alternative form to the extent that the State already has it available.

AFCARS REVIEWS: The purpose of the AFCARS review is to assess States' information system's capability to accurately collect, extract and transmit the AFCARS data to ACF. The AFCARS review also assesses the State child welfare staff's ability to accurately collect and document the AFCARS information related to the foster care and/or adoption case of a child. The review process goes beyond the edit checks that must be met in order to pass the AFCARS compliance error standards. The review focuses on ascertaining a State's degree of compliance with all of the AFCARS requirements and the quality of its data. Therefore, AFCARS reviews have a separate and distinct purpose from SACWIS reviews and may be conducted before, during, or after a SAR.

1.4 AUTHORITY AND REFERENCES

Title IV-E SARs are conducted under the authority of 45 CFR 1355.55, which requires that DHHS evaluate SACWIS system projects.

The following regulations and guidelines apply to the SAR process or are of related interest:

- Conditions for approval of funding in 45 CFR 1355.53;
- Action Transmittal (AT), ACF-OISM-001, Issued February –24, 1995 (referred to as the "SACWIS AT 001");
- Action Transmittal (AT), ACF-OSS-05, Issued August 21, 1998;
- AFCARS Regulations (45 CFR 1355.40), Policy Information Questions, Technical Bulletins and other policy guidance;
- Office of Management and Budget (OMB) Circular A-87, Cost Principles for State and Local Governments;

- Automated data processing services and acquisition procedures and requirements of 45 CFR Part 95, Subpart F;
- ACF's Information Systems Review Guide, Cost/Benefit Guide, and Companion Guide 2: Cost/Benefit Analysis Illustrated for Child Welfare Systems;
- SACWIS Conceptional Design, SACWIS Data Element Dictionary, SACWIS Integrated Data Set, and SACWIS Functional Requirements;
- NCANDS Detailed Case Data Component Guidelines and Procedures;
- ACF's review guides for programs that interface with SACWIS systems (e.g., the *Automated Systems for Child Support Enforcement: A Guide for States*); and
- Federal statutes and regulations applicable to the programs administered through the State's SACWIS.

To obtain relevant policy documents, interested parties may access the information at the Children's Bureau's web page at

<http://www.acf.dhhs.gov/programs/cb>

Information about SACWIS, AFCARS, and NCANDS is available at

<http://www.acf.dhhs.gov/programs/cb/dis>

To obtain other relevant SACWIS related Action Transmittals, interested parties may contact the Division of State Systems in ACF's Children's Bureau or visit the Division of State Systems' Homepage at

<http://www.acf.dhhs.gov/programs/oss/>

1.5 ASSESSMENT REVIEW PROCESS SUMMARY

This Guide describes the SAR process and provides guidance and examples on completing the questions in appendices A, B, and C. A major component of the SACWIS review process is the self-assessment conducted by the State. As a result of its self-assessment, the State will be in a position to describe fully and accurately its system through its responses in the Guide. The Guide can be broken out by section or even by question, so that the responsibility for completing the Guide may be separated into smaller components and sent to the appropriate staff for completion.

The Guide sets forth the specific areas of the review and is divided into three parts, which can be found in Appendices A, B, & C. The three parts of the Guide are the ***Overview***, ***Process***, and ***New Initiatives*** Sections.

The ***Overview*** Section describes the general characteristics of the SACWIS system, including the 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.

The ***Process*** Section describes the SACWIS system's conformance with mandatory program requirements derived from statute and regulation. The questions in this section are derived from the SACWIS Action Transmittal (AT) No. ACF-OISM-001, dated February 24, 1995. The Section numbering conforms to the AT. Sequential numbering has been added to the Guide for ease of use. ACF relies on the sequential numbering to reference areas of the document in discussions with the State.

The ***New Initiatives*** Section describes how the system supports new Federal and State initiatives. SACWIS systems are expected to be comprehensive child welfare case management tools and need to be enhanced as program requirements change.

The review is normally initiated when a State submits an electronic copy of the Guide and supporting documentation to the ACF Central and Regional Offices. An electronic version of the Guide serves as the means of documenting the review, providing the State with the Federal review team's findings and producing a final report. ACF is able to provide an electronic copy of the original document in the following formats: Microsoft (MS) Word, or as an electronic rich text file (*.rtf). ACF prefers to receive the completed document as an MS Word file. If this format is not available, the document may be returned to ACF as an electronic rich text file.

After the documentation is evaluated, ACF will conduct the review either on-site (at the State offices) or off-site (by telephone conference calls). The State completed Guide is used by ACF to record comments, issues, resolution dates and negotiated action plans. Based on these comments, the State may update the Guide before finalization of the report.

The SAR Process is described in Chapter 2, while Chapter 3 provides instructions for completing the different parts of the Guide. Additional guidance may be requested from ACF's Central and Regional Offices, ACF systems staff will be available to work with the State through the entire review process.

2 SACWIS ASSESSMENT REVIEW PROCESS

2.1 OVERVIEW OF THE SACWIS ASSESSMENT REVIEW PROCESS

The process of conducting an on-site SACWIS Assessment Review (SAR) involves four phases, illustrated in Exhibit 2-1 below. These reviews will consist of:

- a Review Initiation Phase;
- an Assessment Review Planning Phase;
- an On-Site Review Phase; and
- a Post-Review Phase.

EXHIBIT 2-1

SAR METHODOLOGY

REVIEW INITIATION	ASSESSMENT REVIEW PLANNING PHASE	ON-SITE REVIEW PHASE	POST-REVIEW PHASE
<ul style="list-style-type: none"> ▪ ..Request Review ▪ ..State Submits Documentation ▪ Federal Response 	<ul style="list-style-type: none"> ▪ ..ACF Reviews Documents ▪ ..Plan Review & Draft Agenda ▪ ..Finalize Arrangements with State 	<ul style="list-style-type: none"> ▪ Entrance Conference & System Demo ▪ Local Office Visit & Interviews ▪ Document Review Findings ▪ Conduct Exit Conference 	<ul style="list-style-type: none"> ▪ Finalize Findings & Conclusions ▪ Prepare Final Report ▪ Post-Report Activities

Depending on resource availability, reviews may be conducted off-site instead of on-site. With the obvious exception of the site visit, the process is essentially the same. For an off-site review, the depth of the Document Review Phase will be expanded and supplemented with telephone interviews with appropriate State staff.

2.2 REVIEW INITIATION PHASE

The Review Initiation Phase involves two steps:

2.2.1 Request Review and Submit Documentation

SARs should take place after the SACWIS system becomes operational (see section 1.3 for guidance on requesting a SAR before completing statewide implementation). These reviews are to be initiated

approximately six months after the approved project completion date. If the State is initiating the review process, it should submit a written request to the:

Associate Commissioner Children's Bureau
Attention - Director, Division of State Systems
Administration for Children and Families
Department of Health and Human Services
330 "C" Street, S.W.
Washington, D.C. 20201

The written request must provide assurances that all operational components of the SACWIS system are used (i.e., that staff are not using another information system or paper processes to perform the work of a SACWIS component), operates uniformly statewide (or in the converted jurisdictions if the Assessment is being conducted prior to statewide implementation) and meets all mandatory requirements.

The request should be accompanied by the following documentation in hard and, if available, soft copy (please contact ACF if these documents are not already available – States should not create these documents for the sole purpose of this review):

- System diagrams (both the technical architecture and elementary processes performed by the system include functional decomposition, data flow, and hardware configuration diagrams if available);
- An Organizational Chart (inclusive of all SACWIS personnel);
- Current user manual (for both technical and end users);
- Training manual and materials;
- Data element dictionary (with table definitions, data element data types, mandatory vs. optional elements, and table and key constraints)
- Numbered list of system screen prints;
- Numbered list of system alerts/ticklers (with a brief description of the alert/tickler including how the tickler is invoked, resolved and a general description of the tickler process);
- Numbered list of system notices (with a brief description of the notice including how the notice is invoked, resolved, and a general description of the notification process);
- Numbered list of reports (including management and financial reports and reference to whether reports are on-line, available in hardcopy, and generated in real-time or by batch);
- Planned schedule for submitting NCANDS Detailed Case Data Component (DCDC) data (If 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); and
- Other cross-reference material the State may wish to provide.

The Guide must be submitted to ACF in an electronic format. If possible, ACF prefers to receive the files in MS Word. If that format is not available, the files should be submitted as an electronic rich text format file (*.rtf).

In addition, if the State has received approval to link a "SACWIS type system"¹ existing in a large urban area" to the new SACWIS system, the "existing SACWIS type" system must be identified, the linkages described, and the following assurances made.

- The staff using either SACWIS type systems (existing or new) must be able to easily check all SACWIS related systems for prior incidents and other available information.
- Either system is able to generate management alerts if an individual is active in more than one of the SACWIS type systems.

A copy of all documents should be sent to the ACF Regional Administrator.

SARs may or may not be scheduled for the same time as AFCARS Reviews. Beyond the condition that the system must be operational statewide, scheduling depends on ACF and State staff time and resources. For additional information on AFCARS reviews, see the "State Guide to an AFCARS Review. This can be accessed from the Children's Bureau's web page.

If ACF decides to initiate a formal SAR, the State will be notified in writing of the need to conduct the review and the reasons for this decision. The failure to cooperate with an ACF-initiated SAR could result in suspension of the project's approval and the disallowance of applicable title IV-E funds.

2.2.2 Federal Response

The Federal review team and leader will be selected. The SAR team is composed of Federal (Regional and Central Office) staff who have technical and program expertise, as well as a general knowledge of the State under review.

The Federal and State teams will work together to schedule the review.

2.3 ASSESSMENT REVIEW PLANNING PHASE

The Assessment Review Planning Phase involves the following three steps:

2.3.1 Review Documents

The Federal team members will analyze the documents submitted by the State. Given schedule and resource availability, States should plan to submit the review documents well in advance of the review to ensure that all parties have sufficient time to either prepare or review the SAR documentation.

¹ See ACF Action Transmittal number ACF-OISM-001 for discussion of alternative approaches to a single statewide system.

The preliminary evaluation of the State documentation is intended to prepare the Federal team, expedite the review and evaluation process, determine if there are any impediments to the review, identify those areas of the system that require additional evaluation, and document early findings. This will maximize the effectiveness of the on-site review.

The Federal staff will examine the State's APD and contract documents to establish the scope of the project.

2.3.2 Plan Review and Draft Agenda

The Federal team, in consultation with the State, will plan review activities. The State team will be responsible for developing an agenda based upon the agreed upon activities. Activities will include all proposed county and local office visits, computer center visits, and interviews/demonstrations to review all functional areas. These Federal/State discussions will focus on: who the team must interview; where the review will take place (e.g., on- or off-site); and reach agreement on the tasks, responsibilities, milestones, deliverables, and schedules. The purpose of this phase is to clarify review expectations, answer State questions, and advise the State of preliminary findings resulting from the document review.

Appendix E contains a sample on-site SAR agenda. The schedule lists days, time estimates, activities, and recommended State participants. The State will identify the participants for each activity and schedule interviews with key State, county, and local officials before the visit. Interviews with local office staff (e.g., social worker and supervisors) should not be scheduled in advance. These interviews will be conducted at workers' desks, as they are available.

2.3.3 Finalize Arrangements with State

After the agenda is defined, the Federal/State teams will conduct at least one conference call prior to the on-site review to finalize schedules, clarify expectations, organize the interviews, confirm sites for the local office visits, and the availability of key State staff. At the discretion of the Federal team leader, the State may be asked to provide meeting space, if available, for team members during the on-site review.

Once the details are finalized, the Federal team leader will conduct a conference call that will:

- provide information on how the review will be conducted, addressing entrance and exit conferences, names of Federal team members, scheduling, etc.;
- discuss the on-site agenda, including the local sites to be visited; and
- identify the review techniques that will be employed, such as interviews, examination of outputs, case sampling, review of general production outputs, viewing screens and operations, collateral verifications, etc.

Appendix A of ACF's *Information Systems Review Guide* (see resource list in Chapter 1 of this document) contains a generic "Sample Entrance Letter to State" on page A-5.

The State should disseminate information on the nature and scope of the review to prepare program and data-processing staff who will either participate in, or be interviewed during the on-site review.

2.4 ON-SITE REVIEW PHASE

The on-site review phase is usually conducted over a four to five-day period and includes the following:

2.4.1 Entrance Conference and Detailed System Demonstration

The first day of the on-site visit begins with the entrance conference which serves to:

- introduce the Federal team to the State management and project staff;
- establish contacts for consultation later in the on-site review;
- advise the State of the nature and scope of the on-site review; and
- respond to any questions the State staff might have related to the review process.

Immediately following the entrance conference, the State presents a detailed functional walk-through of the system and an overview of actual and projected program improvements resulting from the system implementation. The demonstration focuses on how the system meets all of the SACWIS functional requirements and references the State's responses in the completed Guide. The State should ensure that appropriate State technical and programmatic staff participate in the demonstration. We would expect that State staff would lead the actual walk-through of the system, although contractor staff can be available during the walk through.

2.4.2 Local and State Office Visits and Interviews

The purpose of the local and State office visits and interviews is to confirm that the system functions in the field as it was described in the State's APD, Guide responses, and functional walk-through. In that light, it is the Federal review team's intent to interview at least one local or State office staff member in each of the different functional positions represented in those offices. Site reviews should include visits to at least two counties or local offices of varying size and complexity as well as State offices. In order to complete all the tasks identified on the agenda, the Federal team will divide into smaller groups.

The Federal team will use a variety of techniques to assess the functional conformance of the operational system. The team will:

- interview office managers and staff (including staff involved in referral/intake, investigation, assessment, resource development, out-of-home placement, family preservation, adoption, claims, contracts, etc.) about how they use the system, what works well and what needs to be improved;

- ask the office staff to share their “lessons learned”;
- observe actual case information being entered into the system; and
- ask follow-up questions based on the information gathered during the review of the State documentation and on-site functional walk-through.

While State project staff should accompany the Federal team to the office site visits, they should not participate in the actual interviews. The State project staff person that accompanies the Federal team to the local and State offices should be available to answer questions that may arise during the interviews. The importance of allowing field office personnel to share their experiences will be re-confirmed at the entrance conference.

The Federal team will work with the State to identify the specific offices to be visited (no fewer than two and no more than ten). Each local office visit should include at least one hour of observing workers entering case data into the system. The Federal team will identify the types of system users that they would like to interview.

The local office visit will allow the Federal team to talk to the SACWIS system users about how the system supports the flow of work. These discussions cover the SACWIS functions supported by the system, but less formally than was done in the Guide and the supporting documentation.

2.4.3 Document Review Findings

a. Daily Meetings.

As necessary, the full Federal team will reconvene at the end of each day to review the day's findings, summarize results, complete documentation, and plan the next day's schedule. The purpose of these daily meetings is to:

- Prepare a one to two page overview of the **initial** findings to present to the State;
- Discuss issues; and
- Refine or refocus the on-site process because of the day's findings.

If part of the Federal team cannot return to the central site for the daily team conference, the meeting should take place by teleconference. The full team should be present the night before an exit conference to finalize findings.

b. Use of the Guide.

The State's completed Guide is used during the on-site inspection to direct the review process. ACF will not change a State response, which the State can update later. Federal team members may record notes on their own copy of the Guide.

The Federal team leader ensures that appropriate documentation is collected and recorded in the Guide. The Guide provides the primary documentation of the review and its findings. All supporting documentation collected and prepared during the preliminary evaluation, on-site inspection, and final evaluation is included in the permanent State SACWIS review file, which is retained by ACF.

The Federal team records the results of the functional review on the ACF portion of the Guide. For each mandatory functional requirement and each funded optional requirement, the team notes whether the system ***conforms, conditionally conforms, or does not conform***. If the system has the required functionality, no further supporting documentation is required. However, if the system does not have full functionality (conditionally conforms) or lacks functionality (does not conform), the team will note the basis for the finding and record in the "comment" section of the report any actions the State must take or information the State must provide. A draft report will be provided to the State after the appropriate ACF managers have reviewed it.

The completed Guide will be initially issued to the State as a draft report. While it is anticipated that the State's responses and ACF's comments in the Guide will evolve after the draft report is issued, the final version will reflect the identified issues, planned or completed actions, and the corresponding resolution dates.

c. Finding Summary Worksheet

The Finding Summary Worksheet (see Exhibit 2-2 on page 2-11) may be completed if there are significant deficiencies that must be corrected in order for the system to meet the requirements established in the SACWIS AT or the State's approved APD. Use of the Finding Summary Worksheet will only be necessary when State and Federal staff cannot reach agreement on a specific finding. The Finding Summary Worksheet will be prepared after the on-site review is completed and the draft report has been given to the State.

The Finding Summary Worksheet is founded on the performance-based review methodology commonly used by evaluators for the examination of facts. The methodology requires that the following information be obtained and evaluated to determine whether the finding is valid and corrective action is needed:

- ***Criteria:*** What should be;
- ***Condition:*** What is;
- ***Gap:*** Difference between "what should be" and "what is;"
- ***Effect:*** Significance;

- **Cause:** Why; and
- **Recommendations:** How to make the condition equal the criteria.

2.4.4 Conduct Exit Conference

Before the Exit Conference, the Federal team will summarize its findings, consolidate the documentation, notify Central and Regional Office management of the preliminary review results, and prepare for the last day of meetings. The purpose of the exit conference is to:

- present specific initial, but not all, findings resulting from the review process;
- report the preliminary recommendations and/or proposed resolutions to outstanding issues; and
- answer any questions that the State might have as a result of the review.

2.5 POST-REVIEW PHASE

The Post-Review Phase involves three steps:

2.5.1 Finalize Findings and Conclusions

Although the major portion of the evaluation of the SACWIS system will be conducted on-site, a number of steps in the assessment and documentation process may be completed off site. These steps include:

- consolidation of findings from all team members;
- final consultation among Federal team members;
- organization of the review record;
- recording ACF's findings, requirements, recommendations, and/or observations in its portion of the Guide; and
- completing any collateral verifications from other sources such as State plans, NCANDS and AFCARS reports/reviews, State Cost Allocation plans, etc.

All documentation or verifications from collateral sources are retained by ACF as a part of the archive file on the State's SACWIS project.

2.5.2 Prepare Final Report

A SAR report will include:

- an overview of the SACWIS system;

- a summary of the functional components of this system that work particularly well;
- a summary of the deficiencies and recommendations for improvements; and
- the completed Guide.

Once the Guide (and any Finding Summary Worksheets) is complete, the Federal team will draft a brief overview of the SACWIS system. The overview will describe the findings and identify any actions the State needs to complete. The overview will be included in the cover letter sent to the State with the completed Guide.

The completion of the draft SAR report is based on available resources, however, ACF will attempt to have the report drafted and approved within 120 days after the on-site review ends. The reports are unlike the "typical" audit or management review report which includes separate sections on background, purpose and scope of the review, review methodology and so forth. Instead, this Guide establishes background, purpose, scope, and methodology for *all* SACWIS reviews.

The purpose of the report is to support a decision by ACF that the SACWIS system has met the tests of efficient, effective, and economical operation and qualifies for the SACWIS enhanced funding and cost allocation methodology.

All Federal team members will contribute to the final draft report. The draft report requires review and approval prior to issuance by the:

Associate Commissioner, Children's Bureau

Director, Division of State Systems.

Once approved, the draft report will be sent to the State. The State has an additional 160 days to respond to the draft report. The process will continue until all issues have been resolved and/or corrective action plans approved. The final report will be issued within 120 days of receiving the State comments and ACF approval of the response.

Although the final report is prepared primarily for ACF, the State under review, and other States for transfer evaluation, it is public information and will be prepared in such a manner that it may be shared freely.

2.5.3 Post-Report Activities

As noted at 45 CFR Part 95.605, cost-benefit and other program-performance improvements must be reported through the Annual APD Update until the Department determines that the projected benefits have been achieved. More rigorous follow-up is required for systems that do not meet SACWIS functional requirements. States will be required to report the results of their approved action plan(s) as part of their Annual APD.

ACF may also take the following steps:

- For functionally deficient systems, ACF may request an APD Update that presents a workplan for any additional development necessary to meet the required functionality. In addition, periodic monitoring reports may be required if development is extended.
- To assist the State in eliminating reported deficiencies, ACF staff may regularly contact the State about its progress towards achieving compliance in each of the deficient functional components. If corrective actions are not undertaken in a timely way, ACF may limit funding or recoup previously approved funds.
- ACF may require revisions to the State's past claims for FFP or the SACWIS cost allocation methodology to reflect benefits other programs derived from the system's use, or to adjust funding for functionality that exceeds the SACWIS requirements, but was never approved by ACF in an APD.

Before initiating a negative financial action against a State, ACF will work diligently with the State to come to a mutual agreement on the findings. If necessary, ACF will work with the State on action plan(s) to resolve any outstanding issues. It is ACF's desire to support innovative State solutions and program successes that ensure that program needs are met.

EXHIBIT 2-2

FINDING SUMMARY WORKSHEET

<u>FINDING:</u>	[<i>Condition:</i> What is.]
<u>BASIS FOR FINDING:</u>	[<i>Criteria:</i> What should be.]
	[<i>Gap:</i> Difference between what should be and what is.]
<u>CORRECTIVE ACTION:</u>	[Description of any corrective action underway or planned.]
<u>CRITICALITY:</u>	[<i>Effect:</i> Significance.]
<u>CONCLUSION:</u>	[<i>Cause:</i> Why?] [Assessment as to whether further action is required. Reflects conclusion based on "why," "so what?" and current or planned corrective action. Note that conclusion may be that a recommendation need not be developed.]
<u>RECOMMENDATION:</u>	[Recommendation: How to make the condition equal the criteria.]

3 INSTRUCTIONS

3.1 OVERVIEW

This chapter provides instructions to complete the SACWIS Overview, Process, and New Initiatives Sections of the Guide (Appendices A, B, and C). As previously indicated in chapter 2.2.1, the State must send the completed SACWIS Assessment Review Guide to ACF. By organizing the review material as a set of questions supported by citations and narrative explanation, the processes of documenting and creating a "report" are combined in a single electronic document. This should greatly reduce the time required of State and Federal reviewers.

The Guide is divided into three segments:

- **Appendix A** - an *Overview* Section that describes characteristics of the SACWIS system, including the objectives, applications, and architecture;
- **Appendix B** - a *Process* Section that describes the system's conformance with mandatory program requirements derived from statute and regulation; and
- **Appendix C** - a *New Initiatives* Section that describes how the system supports new State and Federal initiatives and demonstration waivers.

States MAY provide the information requested in the SACWIS Assessment Review Guide in an alternative form to the extent that the State already has it available.

3.2 STATE COMPLETION OF THE GUIDE

Appendix A: Overview Section

This part of the SACWIS Assessment Review Guide provides an overview of the SACWIS system, including the objectives, applications, and architecture. The following section provides guidance and describes the purpose of requesting the information.

All State responses should be typed in the text boxes provided in the instrument.

A. I: covers general identifying information as well as information that will help other States understand the overall size, cost, and programmatic functionality of the system.

Questions 3 and 4 are included for the following reasons:

Question 3. This question on system support staff is primarily intended to help other States assess the suitability of the system for transfer. By understanding the numbers and types of people who operate and maintain the system, other States may be able to make a preliminary assessment about transfer potential. This question is geared to normal support staff, not staff available for major system modifications. If this information is not available because a contractor maintains the system and the information is considered proprietary, please provide the available information and note the exception.

Question 4. The question on the number of system users is also intended to help other States assess suitability for transfer. The State should specify the number of current on-line users.

A. II is for summary technical information. A paragraph or two for each question should be sufficient.

A. III is for identification of each of the contractors that participated in the planning, development, implementation, and operation of the SACWIS system. Please identify contractor by project phase and role within that phase.

A. IV is for financial information. This information should identify all developmental costs (Planning, Design, Development, and Implementation) and should correspond to the information in the approved APD.

A. V is for "lessons learned." Because of the value of this section to other States, ACF strongly encourages States to spend some time completing this section. The section is for information only, and States will not be penalized for the content.

A. VI lists required enclosures to be submitted with the completed Guide. Note that the information provided will be cross-referenced to responses in Appendix B.

Appendix B - SUMMARY TABLE

The *Summary Table* located in Appendix B 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 the 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 on the table. The State does not need to refresh the page numbers.

The Table will appear as follows when the State initially completes the questionnaire.

ACF Only			
Requirement Number	Conforms?	Action Plan?	Page Reference #
1			B-#
2			B-#
3			B-#

After ACF completes its part of the draft report, the table will be refreshed and will appear as follows.

ACF Only			
Requirement Number	Conforms?	Action Plan?	Page Reference #
1	Y		B-#
2	N		B-#
3	C		B-#

Once the report is finalized, the table will appear as follows.

ACF Only			
Requirement Number	Conforms?	Action Plan?	Page Reference #
1	Y		B-#
2	Y	N	B-#
3	Y	Y	B-#

This table indicates that SACWIS requirements have been satisfied for the identified requirements. Component number two has been totally resolved, while component number three has an approved Action Plan that will be followed through the State's Advance Planning Document.

Summary table definitions:

- *Requirement Number* refers to the sequential numbering of each of the SACWIS requirements.
- *Conforms* indicates if the component conforms with the specified SACWIS requirement.

- *Action Plan* indicates if ACF has approved the State's plans for bringing the specific SACWIS component into compliance at some point in the future. An "N" or a "blank" in this column would indicate that an Action Plan was not necessary.
- *Page Reference #* identifies the page number of the report where the finding is discussed. The "#" symbol represents an integer. Page reference numbers, as do all "bookmarked" items, must be periodically refreshed. ACF is responsible for this task.

Appendix B: Process Section

The Process Section is intended to establish the conformance of the State's SACWIS system to the functional requirements established in the SACWIS Action Transmittals, Program Instructions, program regulations and State contract documentation. The section numbering corresponds to the sections in the February 24, 1995 SACWIS Action Transmittal (number ACF-OISM-001). The sequential numbering is used for ease of discussion. Note that the functional requirements are stated as open-ended questions. In response to each, the State will describe (in the *State Response* section) how the functionality is met.

In the *State Response* section, the State will provide a brief, but complete narrative description of how the SACWIS supports the required and optional functional components approved in the APD. Each response should include a self-assessment describing the extent to which the State's SACWIS system fulfills the functionality. If the State determines that a requirement is incomplete, the State should describe:

- the differences or "gaps" between what is required and what has been implemented;
- the reasons for the gaps;
- actual or potential effect on the State's child welfare program; and
- planned actions for closing the gaps to meet all requirements.

Required functional components are identified with an asterisk (*) after the title. Optional functional components are followed by a question that asks if the State elected to include the functionality in the SACWIS system ("Was this Function selected as an Option in the State's Approved APD? Yes or No"). The State indicates whether the optional functionality was a "State Selected Option" by checking the appropriate box. Optional functional components, for which the State was approved funding, become mandatory with APD approval.

The Guide uses a table to cross-reference the system functionality to the documentation provided by the State in response to Appendix A - VI: Enclosures. The cross-reference tables are completed for each of the functional sub-components (e.g., Intake & Screening).

The following Cross-Reference table is used for all functional sub-components:

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

Cross-reference table definitions:

- The *Reference Sources* is used to list the titles and page numbers of the enclosed documents (such as a User Manual) that provide supporting evidence or additional detail on how the system meets the functional requirements.
- The *Screen Identifier* is used to identify the screen(s) utilized to meet the functional requirement. This can either be cross-referenced by number to a "screen print" included as an attachment or to another resource (such as a User Manual) provided by the State that identifies the use of the screen(s).
- The *Alert Identifier*, *Notice Identifier*, and *Report Identifier* are for identifying (as applicable) the alerts/ticklers, notices, or reports that support a functional sub-component. The response should be cross-referenced by number (such as Alert No. 1) to the lists of alerts, notices, and reports provided by the State (Appendix A. VII: Enclosures).

The term "**Alert**" is used in the Review Guide. It refers to an automated or worker generated tickler (reminder) of the need to complete an important task.

A **Notice** can refer to system-generated correspondence, task lists, reports or word processing templates that are integrated into the SACWIS application.

Appendix C: New Initiatives Section

The New Initiatives Section examines how the State's SACWIS system supports new Federal and State initiatives in the Child Welfare program. The State should describe how its SACWIS supports the program areas identified in Appendix C. If the system does not currently support one or more of the identified program initiatives, the State should describe its plans for modifying the system to support the applicable initiatives. Whether or not the system supports a new initiative, the response should describe the processes used by the State to satisfy the requirement.

3.3 EXAMPLE FOR COMPLETING THE PROCESS SECTION OF THE GUIDE

The following is provided as an example of how a State should complete the *Process* Section of the Guide. The information presented in this example is for illustration only. The State's narrative (*State Response*) should be brief, but complete, and rely on the *Documentation References* for the supporting details. The *Documentation References* should correspond to the numbering sequence of the Reference Lists provided by the State at the time the Guide was submitted to ACF (see section 2.2.1).

Appendixes A, B, and C are WORD templates that will enable you to complete them on your computer screen. The answer fields will expand to accommodate the State response.

The “answer fields” appear as rectangles . Please contact ACF staff if you have questions about using the form.

As previously described, the State would use the selected word processing program to add text to the appropriate sections. The word wrapping capabilities of the word processing program will expand the document to fit the need.

Example –

A: Intake

Goal: To provide an automated entry point into the child welfare services 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): User Manual - Chapter 4 & Training Manual - Chapter 11			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier
Screens 24 through 28 Note to the reader: The numbers used in this example correspond to the list of screen prints that would have been provided with the Guide.	Alerts 2, 45, & 67 Note to the reader: The numbers used in this example correspond to the list of alerts that would have been provided with the Guide.	None. Note to the reader: If one or more notices had been generated by this functional sub-component, they would have been listed here. The numbers would have corresponded to the list of notices that would have been provided with the Guide.	Reports 15, 16, 34 & 37 Note to the reader: The numbers used in this example correspond to the list of reports (on-line and paper) that would have been provided with the Guide.

1 - Intake Management - Section A: Intake

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:

Our SACWIS includes functionality that supports the State's child/abuse and neglect component. The State has a 24-hour Intake Unit located at the CMI Building. That unit is responsible for receiving and processing all public and private referrals and telephone calls regarding allegations of abuse or neglect.

1.a. Initial contacts regarding allegations of abuse or neglect are captured on the system's 5 intake screens. These screens capture basic information about the caller, victim, family, initial contact and allegation. After the initial information is assessed through the system and the finding approved by the supervisor, the system generates a referral in the form of a “task” for the appropriate unit (e.g., Investigations, Voluntary Services, or the Community Service Office).

1.b. Inquires and requests for voluntary services are captured on the 'contact' screen and are handled by the Community Service Office nearest the family. The Community Services Office uses the same service referral functionality as the Continuing Services Unit. The system prompts the social worker to refer the case to the applicable services. All referrals are generated by the system. The system records all referrals in the database. The system supports the referral process to the Investigation Worker after the case has completed the screening process. If the “incident” is screened-in, the system refers the case to the investigation unit and sends an alert to the supervisor and the unit clerk.

1.c. The intake referral is frozen (or locked) at the point the supervisor approves the initial finding. The system allows additional information to be attached to the initial referral as Post-Referral Additions. The summary screen will display the initial referral and any subsequent Post-Referral Additions. Based on State defined parameters, Post-Referral Additions are frozen two days after entry or when the Investigation is completed (which ever comes first).

All SACWIS requirements have been met.

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**.

State Response:

2.a. The Intake Unit located at the CMI Building records situational and demographic information on the 5 intake screens. Additional information is collected during assessment and investigation of the allegation or request for services. Information can be recorded in the applicable data fields as a caller provides it, or the system allows the worker to use structured text fields on each of the Intake screens to capture free flowing information. If the text fields are used, the data fields are completed once the call is finished. Where applicable, the system uses pick-lists, checklist, and radio buttons to simplify data entry.

2.c. The Reason for Referral is captured on the initial contact screen.

2.b. To the extent that it is known, individuals are linked to other members of the family during the initial Intake. According to State policy, the system records the relationship of all (extended) family members to the alleged victim. The system allows inquires based on the family or the individual. Furthermore, individuals can be linked to more than one family and family members to more than one victim. Where it is possible, the system calculates reciprocal relationships when the cross-referenced relationship is established (e.g., if Marayna is Caroline's sister, therefore, Caroline is Marayna's sister).

While we believe that the system meets all SACWIS Requirements, the current process for linking family members to the family unit is cumbersome. We will be examining alternatives to the current process. A budget and schedule will be submitted in the next APD Update.

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:

Note to the reader: This is an example of how a State would respond to a question about an optional component that was not included in the State's approved APD.

1 - Intake Management - Section B: Screening

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:

Once the supervisor approves the screening recommendation, the system automatically records the determination on the case status screen. The system's business rules and the Social

Worker's assessment support the recommendation.
All SACWIS requirements have been met.

Note to the reader: This example is intended to show that some of the responses can be very brief. The purpose of the narrative is to briefly answer the questions and to provide a framework for evaluating the cross-referenced material.

3.4 ACF COMMENTS

Specific ACF comments will be documented in the space provided after the "*State Response*" section.

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

Table definitions:

- Conforms? Y/C/N* - The Federal team records the results of the functional review on the ACF portion of the Guide. For each mandatory functional requirement and each funded optional requirement, the team notes whether the system *conforms (Y)*, *conditionally conforms (C)*, or *does not conform (N)*. See section 2.4.3 for additional information. This field is “bookmarked” to the Summary table found on page two of Appendix B.
- Action Plan? Y/N/Blank* – The Federal team will use this area of the report to indicate if it has approved the State's plans to bring the system into conformance at some point in future (Y). An “N” in this field indicates that the initial issue has already been resolved and that the system is SACWIS compliant in this area (an Action Plan is not necessary). A “blank” field indicates that the component was found SACWIS compliant in the initial assessment. Approved Action Plans are tracked in the Advance Planning Document through their completion. This field is “bookmarked” to the Summary table found on page two of Appendix B.
- Finding Summary Worksheet Completed? Yes or Blank* - The Finding Summary Worksheet (see Exhibit 2-2 on page 2-11) should be completed if there are significant deficiencies that must be corrected in order for the system to meet the requirements established in the SACWIS AT or the State's approved APD. Use of the Finding Summary Worksheet ordinarily will only be necessary when State and Federal staff cannot reach agreement on a finding. The Finding Summary Worksheet will be prepared after the on-site review is completed and the draft report has been given to the State. This section is used to indicate that a Finding Summary Worksheet was completed.

- *Resolution Date* - Used to record the date that an issue was resolved or an action plan proposed by the State was accepted by ACF.
- *ACF Comments* - ACF draft and final comments regarding the system.

3.5 STATE RESPONSE TO ACF COMMENTS

The State should use the version of the draft SACWIS Assessment Review (SAR) report provided by ACF to respond to the identified concerns. If the State believes that it is necessary to update one of its original responses, it should do so by adding additional text separated by a header-line that indicates the date when the new text was added. The project staff should call the ACF Team Leader if there are any questions about responding to the draft report.

As an example:

State Response:

Original response remains.

MM/DD/YYYY

(This date represents the State's subsequent response. If additional responses were needed, they would also be preceded by a date header.)

Additional information is provided to address any concerns and/or to propose an action plan to address the concern.

3.6 LESSONS LEARNED FROM PREVIOUS REVIEWS

Following is a list of "lessons learned" from previous SARs. This information is intended to help States prepare for their review. The guidance is organized into three categories: preparing for the review, completing the Guide, and suggestions for the on-site review.

Preparing for the Review:

Careful preparation for the assessment review will save time, help all parties understand the critical issues for the review, and ensure that all have a common understanding of the purpose and goals of the review.

- *Ensure that the approved Implementation APD is complete and accurate.* ACF uses the approved APD, contract documents, and requirements listed in program regulations, Action Transmittals, and Program Instructions to measure the system's scope and determine compliance. It is therefore critical that the approved Implementation APD accurately reflects system functionality, including optional functions the State has chosen to implement. ACF recommends that States regularly review the approved APD to ensure it accurately reflects the intended system design and functionality. If the scope of the system's functionality is not reflected in the approved APD, including optional functions originally planned for the system design, submit an APD Update to explain the variations and changes in system functionality. Submit the APD Update before the review.
- *Communicate frequently with the Federal team leader.* Use conference calls, telephone calls, and e-mail to answer documentation questions, understand and define on-site review expectations, finalize the agenda, and complete site visit logistics. Use the opportunity to ask ACF questions posed by staff who will be participating in the review. This preparation will help the State further understand the review scope and help identify critical issues well in advance of the on-site visit.
- *Keep State staff informed.* The project manager should regularly share what is learned from communications with ACF with the management and line staff who will be involved in the review. Clearly define the roles staff will play during the review so they know what to expect and are prepared.
- *Learn from other States.* The project manager should contact other States that have had an assessment review to benefit from their insights. ACF can provide a list of States that have had an assessment review. ACF User Group Meetings also provide opportunities to network with States and hear their perspective on the assessment process.
- *Understand ACF goals for the assessment review.* In general, ACF's goals for the review are: to determine State compliance with the State APD, contract documents, and federal requirements; assist the State in correcting any deficient areas; identify "best practices" which can be shared with other States' SACWIS efforts; and identify areas for future technical assistance to States.

Completing the Guide:

Appendices A, B, and C of the Guide and the supporting documentation (please see Section B.1. in Chapter Two of these instructions) supplied by the State are essential to the final assessment review report. These materials are critical to understanding the SACWIS and assessing compliance. If any of the supporting documentation cannot be provided, include a brief explanation why it was not available; do not create new documentation solely for this review. States are encouraged to consult with ACF about supplying the requested information in existing or alternative formats.

When responding to questions in the Guide, the State should consider the following:

- *Completely answer the entire question that is posed in each section of the Guide.* Several of the original requirements were defined by a ten-State workgroup, and have multiple parts; please answer each part of the question.
- *Ensure responses are complete, clear, and concise.* Each answer should stand on its own, without reference to responses in other parts of the Guide.
- *Fully explain potential or existing system related problems and incomplete functionality.* ACF will work with the State to develop action plans to bring the system into compliance. This action plan will be incorporated into the report so it is clear how each problem is addressed.
- *Cross-reference responses to documentation provided in support of the review.* The cross-referenced documentation will enrich ACF's understanding of the system by supplementing the written response.
- *Use State and county staff with a detailed knowledge of the system.* Such staff will be able to write concrete, precise, and knowledgeable responses and show how the system meets the needs of end users.
- *Work on the document in Sections, but edit it for overall consistency.* As many staff will contribute to the document, the project manager should review it for unnecessary repetition and statements that may appear contradictory and require clarification.
- *Remember that these documents could eventually become public.* Responses should provide sufficient detail to address the questions and be clear to readers lacking detailed knowledge of the SACWIS system.

By following the above guidance, States will obviate the need to revise and re-submit responses.

The State is reminded to submit copies of the documentation to both the Regional and Central ACF Offices.

Suggestions for the On-Site Review:

- *Focus the on-site system demonstration on functional areas that reflect the processing of a typical child welfare case.* It is very helpful for the Federal team to understand how the system is used to support local and State offices business processes, and see it used as it is in day-to-day operations. Clearly outline the steps and processes that will be demonstrated and how they interrelate. As the demonstration proceeds, specify the functional area being demonstrated to the Federal team.
- *Use State and county staff with a detailed knowledge and experience with the system to demonstrate the system.* Experienced staff will convey to the Federal team a sense of how the system is used in the field and can quickly navigate between different interfaces, reports, and ticklers.

- *The Federal team will ask questions during the demonstration.* Although the demonstration is a presentation of the system's functionality, it is an interactive presentation. The Federal team will ask questions of the presenters throughout the demonstration and refer to the Guide responses and supporting documentation. The questions are to help clarify understanding and do not mean something is "wrong" with the system.
- *Child welfare programmatic staff and information systems staff should be present during the demonstration.* As the demonstration covers the system broadly, questions will arise on a wide variety of child welfare and technical issues such as: State policy, eligibility determination, work flow processes, case management supervision, system security, edit checks, and database design. The presentation should be attended by State staff knowledgeable of the systems technical details as well as representatives familiar with how work is done in the field and how reports and ticklers are used.
- *The local and State office interviews should not be pre-scheduled; interviews will be conducted at the caseworker's desk.* In order not to impede normal daily operations and to provide maximum flexibility for interviews, the review team will interview local office staff as they are available over the course of the day. Caseworkers will be interviewed at their desks so that the Federal team can observe how they use the system. The State project team member accompanying the Federal review team should help coordinate the interviews by determining when individuals are available for interviews (i.e., who will be in the office at what time).
- *The local office interviews require logistical coordination by the State.* The local office interviews typically take an entire business day and require visits to between two and ten of the various types of offices that use the system. The time and distance involved requires careful advance planning by the State. The selection of offices to visit will be made during pre-visit conference calls.
- *The Federal team may need to interview private provider's staff.* If the State requires private providers to use the SACWIS, the Federal review team will interview the private providers' staff at one or more of their offices. The State will coordinate the logistics of these interviews.

In summary, SARs are a cooperative process between the State and Federal teams. ACF encourages the State to ask questions and seek clarification on any issues before, during, or after the review.

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:

2. Name & Acronym of System:

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

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

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

4. Number of on-line users:

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

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

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

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

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

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?

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

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

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?

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

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

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

Application	
Network	
Desktop	

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

A. III: Contractor Information

1. Planning Phase Contractor(s):	
2. Implementation Phase Contractor(s):	
3. Operational Phase Contractor(s):	
4. Other Contractors (QA, Acceptance Testing, etc.):	

A. IV: Financial Information

For Planning, Design, Development and Implementation

1. Total Contractor Costs	
2. Total Hardware Costs	
3. Total State Personnel Costs	
4. Other (If Applicable)	
5. Total Development Costs (ALL COSTS) The total should match the approved APD.	

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?

--

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

--

4. What is the process for expunging information on unsubstantiated allegations?

--

5. Can the alleged victim and/or perpetrator request that the State "seal" or purge unsubstantiated information?

--

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.

--

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/ticklers (with a brief description of the alerts/ticklers)
- 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: *	
Name of State Official that Submitted the Guide: *	
Date Last Update by State: *	
Date of Review by ACF:	
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			B-6
2			B-7
3			B-7
4			B-8
5			B-8
6			B-8
7			B-9
8			B-9
9			B-9
10			B-10
11			B-11
12			B-11
13			B-12
14			B-12
15			B-13
16			B-13
17			B-13
18			B-14

ACF Only			
Requirement Number	Conforms?	Action Plan?	Page Reference #
19			B-14
20			B-14
21			B-16
22			B-17
23			B-17
24			B-17
25			B-18
26			B-18
27			B-19
28			B-19
29			B-21
30			B-21
31			B-22
32			B-22
33			B-23
34			B-23
35			B-24
36			B-24
37			B-24
38			B-25
39			B-26
40			B-26
41			B-27
42			B-28
43			B-28
44			B-29
45			B-30
46			B-30
47			B-30
48			B-31
49			B-32
50			B-32
51			B-33

ACF Only			
Requirement Number	Conforms?	Action Plan?	Page Reference #
52			B-34
53			B-34
54			B-35
55			B-35
56			B-36
57			B-36
58			B-37
59			B-38
60			B-39
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63			B-40
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73			B-45
74			B-46
75			B-46
76			B-47
77			B-47
78			B-48
79			B-48
80			B-48
81			B-49
82			B-50
83			B-50
84			B-51

ACF Only			
Requirement Number	Conforms?	Action Plan?	Page Reference #
85			B-51
86			B-51
87			B-52
88			B-54

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):			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier

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:

ACF Comments for Requirement: 1						
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;">Conforms? Y/C/N</td> <td style="width: 25%;">Action Plan? Y/N/Blank</td> <td style="width: 50%;">Resolution Date</td> </tr> <tr> <td colspan="2">Finding Summary Worksheet Completed? Yes or Blank</td> <td></td> </tr> </table>	Conforms? Y/C/N	Action Plan? Y/N/Blank	Resolution Date	Finding Summary Worksheet Completed? Yes or Blank		
Conforms? Y/C/N	Action Plan? Y/N/Blank	Resolution Date				
Finding Summary Worksheet Completed? Yes or Blank						

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**.

State Response:

ACF Comments: 2					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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:

ACF Comments for Requirement: 3					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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:

--

ACF Comments for Requirement: 4					
Conforms? Y/C/N		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):			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier

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:

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

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:

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

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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:

--

ACF Comments for Requirement: 7					
Conforms? Y/C/N		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:

--

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

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:

--

ACF Comments for Requirement: 9					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	

Finding Summary Worksheet Completed? Yes or Blank	

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):			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier

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:

--

ACF Comments for Requirement: 10					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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:

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

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:

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

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):			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier

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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:

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

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:

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

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:

ACF Comments for Requirement: 15					

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

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:

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

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:

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

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:

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

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:

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

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:

ACF Comments for Requirement: 20					
Conforms? Y/C/N		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):			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier

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:

ACF Comments for Requirement: 21					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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:

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

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:

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

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:

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

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

State Response:

ACF Comments for Requirement: 25					
Conforms? Y/C/N		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:

ACF Comments for Requirement: 26					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

B: Changes in Eligibility

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

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

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

State Response:

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

2. (28) Generate documents related to eligibility redeterminations * — 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:

ACF Comments for Requirement: 28					
Conforms? Y/C/N		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):			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier

1. (29) 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:

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

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:

ACF Comments for Requirement: 30					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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:

ACF Comments for Requirement: 31					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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:

ACF Comments for Requirement: 32					
Conforms? Y/C/N		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:

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

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:

ACF Comments for Requirement: 34					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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 -

State Response:

ACF Comments for Requirement: 35					

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

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

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

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:

ACF Comments for Requirement: 37					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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):			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier

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:

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ACF Comments for Requirement: 38					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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:

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

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:

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

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

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.

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

If Yes -

State Response:

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

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):			
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 ☐.

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

If Yes -

State Response:

ACF Comments for Requirement: 42					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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:

ACF Comments for Requirement: 43					
Conforms? Y/C/N		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):			
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:

--

ACF Comments for Requirement: 44					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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:

--

ACF Comments for Requirement: 45					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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:

ACF Comments for Requirement: 46					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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:

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

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

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:

ACF Comments for Requirement: 48					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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:

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

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:

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

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:

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

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):			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier

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:

ACF Comments for Requirement: 52					

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

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:

ACF Comments for Requirement: 53					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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:

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

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:

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

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:

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

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:

ACF Comments for Requirement: 57					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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

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:

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

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:

ACF Comments for Requirement: 59					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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 -

State Response:

ACF Comments for Requirement: 60					

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

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:

ACF Comments for Requirement: 61					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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):

Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier

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:

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

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:

ACF Comments for Requirement: 63					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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:

ACF Comments for Requirement: 64					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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):			
Screen Identifier	Alert Identifier	Notice Identifier	Report Identifier

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:

ACF Comments for Requirement: 65					
Conforms? Y/C/N		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:

ACF Comments for Requirement: 66					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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:

ACF Comments for Requirement: 67					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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:

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

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

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:

ACF Comments for Requirement: 70					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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:

ACF Comments for Requirement: 71					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

- 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:

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

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:

ACF Comments for Requirement: 73					
Conforms? Y/C/N		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:

ACF Comments for Requirement: 74					
Conforms? Y/C/N		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 fraud and abuse.

State Response:

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

- 1.b. (76) Provide hardware and software security. * — Describe how the system satisfies
- the confidentiality requirements granted under section 471(a)(8) of the Social Security Act and
 - 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:

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

- 1.c. (77) Provide hardware and software security * —
- Are contingency plans and disaster recovery plans available in case of an emergency?
 - In addition, are they tested?

State Response:

ACF Comments for Requirement: 77					
Conforms? Y/C/N		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
- inactive records and
 - closed cases.
 - Additionally, the State should respond to the following questions:
 - How long is information maintained in the system?
 - How is information archived?
 - Can the information be "sealed" and "unsealed?"
 - Does the system track who enters and changes information?
 - Has the State used and/or tested the process?

State Response:

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

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:

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

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:

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

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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:

--

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

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? *:

If Yes - State Response:

--

ACF Comments for Requirement: 82					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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

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.

State Response:

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

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

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:

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

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

State Response:

ACF Comments for Requirement: 85					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
Finding Summary Worksheet Completed? Yes or Blank					

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:

ACF Comments for Requirement: 86					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	

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.

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

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		
Social Security Administration		
State financial system		
State licensing systems		
Vital Statistics		
Court system		
Juvenile Justice		
Mental health / retardation		
State Department of Education		
Other		
Other		

Please describe how each optional interface works - *State Response:*

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

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?		
Does the automated system incorporate procedures for appropriate supervisory oversight and authorization related to case-file review?		
Does the automated system allow for random sampling based on variable characteristics for audit purposes?		
Is the system capable of recording and tracking the results of an audit as well as any necessary corrective actions identified?		
Does the automated system facilitate the establishment and tracking of outcome measures by program managers, and support trend analysis of results?		
Does the automated system generate summary management reports on client demographics and needs?		
Does the automated system produce reports on the length of time in foster care categorized by identified service needs and services provided?		
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?		
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?		
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?		
Does the automated system maintain and link variable and static data used to determine eligibility for title IV-E payments?		
Does the automated system also establish data entity relationships between providers, clients, and payments?		
Does the automated system (or separate financial system) account for appropriate financial reconciliation of payments, including overpayments and recovery, by occurrence?		

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 automated system contain all data necessary to effectively manage a case?		
Is the automated system able to track a child across multiple occurrences and/or cases?		
Does the quality assurance function support the review of case files for accuracy, completeness, and compliance with Federal requirements and State standards?		
Does the system capture and transmit all known cases in the AFCARS report, including cases with incomplete information or untimely actions?		

State Response:

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

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

State Response:

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B. X: Other Functionality

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

State Response:

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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:

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ACF General Comments & Other Issues
Items Requiring a Response on the part of the State:
Technical Assistance for the State's Consideration:

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 19. 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	
ACF Comments	

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	
ACF Comments	

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	
ACF Comments	

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

State Response	
ACF Comments	

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	
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	
ACF Comments	

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

State Response	
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	
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	
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	
ACF Comments	

Adoption Incentive Program

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

State Response	
ACF Comments	

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	
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	
ACF Comments	

Child and Family Services Reviews

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

State Response	
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	
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	
ACF Comments	

Foster Care Independence Act of 1999 - Chaffee Foster Care Independence Program (CFCIP)
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17. Please describe how the system supports the data collection requirements in the CFCIP.

State Response	
ACF Comments	

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

State Response	
ACF Comments	

Other State Initiatives

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

State Response	
ACF Comments	

APPENDIX D: Sample Interview Questions

This appendix includes examples of questions likely to be asked by Federal team members; they represent some of the issues to be addressed during the SACWIS assessment review. The questions are organized by the agenda session in which the issues are likely to arise. See the sample agenda (Appendix E) for information on other topics covered in each session.

Local/county office interviews

General questions

How did you get your SACWIS/network passwords? How often do you have to change it?

What parts of the system do you use most often? What helps most to manage workload?

How often do you use the following help features? Do you have suggestions for improving them?

- on-line help
- local support
- internet support
- help desk
- training

Are error messages clear? What do you do when you get an error message?

Can you show me ticklers/alerts that you use?

Can you demonstrate searches for the following?

- a case
- persons in a case
- investigations
- foster parents
- other resources

Can you demonstrate some of the edit checks (e.g. do you have to enter data in a certain order, are there required fields, things that the system will not accept, or does the system compare data in different fields to prevent entry of erroneous data)? Are there reports that help you to identify missing or questionable data?

Can you show me how you record case notes?

Can you show me some of the forms and notifications SACWIS generates for you?

Are there reports you would like that the system does not produce? Do you generally view reports on the screen or do you need to print out copies?

Intake questions

What is the practice during intake? Can you show me the steps as you enter a new report into the system?

Investigation questions

How is risk assessment conducted? Can you show me how this is entered into the system?

Does the automated system provide for the input of information collected during the investigation process, including the recording of dates for each event and the recording of contacts made during the investigation?

Case assessment questions

What is the practice at your office for recording family problems/issues/strengths? How are service objectives recorded?

Can you show me an example where you record strengths and weaknesses of a family? How do you determine needed services?

Can you show me an example of establishing a case plan goal for a family/case? How do you determine the case plan goal?

Can I get copies of the case reports you most commonly use?

How does the system make service referrals? What are the steps followed? How are referrals tracked?

Eligibility determination questions

Can you demonstrate how eligibility is determined? How is it re-determined?

Can you show me how foster families are licensed?

Can you show me what happens if a foster family or other facility loses its license?

Case management questions

Could you demonstrate the case management activities that SACWIS saves information on and tracks?

Could you demonstrate how the SACWIS supports the following programs?

- Adoption Assistance Program
- Independent Living
- Family Preservation & Support Services
- Foster Care

- Child Abuse and Neglect
- ICPC

Resource management questions

How would you know if an abuse/neglect report were lodged against a foster care family?

How do you go about selecting a foster family for a specific child? How do you find other types of service providers?

Court processing questions

What court documents do you commonly see and work with? Are any of them generated by the system?

Are any of the court documents only available in paper? Does information from court records get into SACWIS?

How does the system support the requirements of the Indian Child Welfare Act (ICWA)? Does the system flag tribal children? Is the tribe notified that a child is in custody? If the tribe is notified, how is the tribe notified?

Staff management questions

Do supervisors use the system in case assignment?

How do managers use the system to ensure worker compliance with State and Federal regulations?

AFCARS Interview

If the State has not submitted AFCARS data, what is the time schedule for submitting data from the new SACWIS?

Has the State tested the AFCARS extraction routine and created an AFCARS test file?

Is the State using the Data Quality Utility and Data Compliance Utility to identify errors in the data?

Optional and mandatory interfaces interview

How does the SACWIS capture information needed by the IV-D program (absent parent) to open a IV-D case?

Central office program and policy staff interview

What is the procedure to allow clients to review information in their record?

How does the SACWIS support court ordered mandates?

Technical Staff Interview

What is the State's policy, including repercussions, for unauthorized access to client information?

What is the State's policy regarding archiving and purging of case information from the information system?

At what point and to whom are unique identifiers assigned? Are IDs given to individual children, related individuals, families, perpetrators, incidents, or cases?

Does the system produce data quality reports (i.e. reports pinpointing possibly erroneous or inconsistent data)?

Financial review/administration review

How does the SACWIS support provider payments functions? How does it track payments? Does it include alerts/reports for possible problems? Is it easy to understand and use these functions?

Are there range checks to ensure appropriate payments?

How does the system handle overpayments?

What sort of resource tracking does the system do? Does it include a mechanism for licensing renewal? Does it indicate when a license has expired? Are complaints logged in the system?

APPENDIX E: Sample SACWIS Assessment Review Agenda

Day/Estimated Time	Activity/Description	Recommended State Participants ⁵
Day 1: Introductions and system demonstration		
45 minutes	Initial Federal and State team meeting <ul style="list-style-type: none"> • Introductions and team member roles • Confirm agenda and interviews • Review of entrance conference topics: <ul style="list-style-type: none"> • Assessment review process • Federal and State expectations • Outline preliminary findings • Local office expectations 	<ul style="list-style-type: none"> • SACWIS project manager • State central office team members participating in system demonstration and daily interviews
45 minutes	Entrance conference with executive staff <ul style="list-style-type: none"> • Review agenda and interviews • Assessment review process • Federal and State expectations • Outline preliminary findings • Local office expectations • Answer questions 	<ul style="list-style-type: none"> • Department administrators • SACWIS project manager • Staff selected by SACWIS project manager
Remainder of day	System demonstration <ul style="list-style-type: none"> • System overview • Intake management functions • Eligibility functions • Foster Care • Adoption • ICPC 	<ul style="list-style-type: none"> • SACWIS project manager • Case Management Supervisor • Workers familiar with functions • Technical manager • Database designer • Interface programmer

⁵ The SACWIS project manager should consult with the Federal team lead to determine which interviews on Day 3 and 4 to attend.

Day/Estimated Time	Activity/Description	Recommended State Participants ⁵
	<ul style="list-style-type: none"> • Independent living • Case management functions • Resource management functions • Court processing functions • Financial management functions • Administration • Interfaces • Optional functionality listed in APD 	
Day 2: Complete system demonstration		
Full day	System demonstration (continued from Day 1)	<ul style="list-style-type: none"> • Same staff as listed above
Day 3: Site visits to field offices (Interviews conducted simultaneously by Federal team members)		
<p>Full day per office visited, including travel time.</p> <p>A minimum of two offices will be visited.</p>	<p>Local/county offices</p> <ul style="list-style-type: none"> • Introductions • Answer questions • Interview office manager • Tour office • Interview supervisory staff • Interview line staff 	<ul style="list-style-type: none"> • Central office representative • Office manager • Case management supervisor • Case workers (as available) from all functional areas • Data entry clerks (if applicable)
Day 4: Central office interviews (Interviews conducted simultaneously by Federal team members)		
2 hours	Central intake (if applicable)	<ul style="list-style-type: none"> • Intake staff
2 – 3 hours	<p>AFCARS interview</p> <ul style="list-style-type: none"> • Report status • Overview of elements • Review frequencies • Significant problems • Record State questions 	<ul style="list-style-type: none"> • Adoption supervisor • Foster care supervisor • AFCARS extraction programmer(s)
2 hours	Optional and mandatory interfaces interview	<ul style="list-style-type: none"> • State program staff familiar with each

Day/Estimated Time	Activity/Description	Recommended State Participants ⁵
	<ul style="list-style-type: none"> • IV – A interface • IV – D interface • XIX interface • Optional interfaces 	<p>interface.</p> <ul style="list-style-type: none"> • Interface developer(s)
2 hours	<p>Central office program and policy staff interview</p> <ul style="list-style-type: none"> • System impact on program practice/policy • Program management • Quality assurance • Eligibility determination 	<ul style="list-style-type: none"> • State program managers responsible for listed topics.
2 – 3 hours	<p>Technical staff interview</p> <ul style="list-style-type: none"> • Hardware, software and network architecture • Office automation • Database management • Maintenance/versions/documentation updates • Security/archiving • Help desk/user training • Disaster recovery 	<ul style="list-style-type: none"> • State technical staff responsible for listed topics.
2 – 3 hours	<p>Financial review/administration interview</p> <ul style="list-style-type: none"> • Track Federal funding • Authorize/reconcile payments • Produce Federal reports • Meet administrative requirements • Resource management 	<ul style="list-style-type: none"> • Financial/budgetary staff • Licensing staff
2 – 3 hours	<p>Interviews with categories of users not listed above</p> <ul style="list-style-type: none"> • Central office • Other State users • Private providers 	<ul style="list-style-type: none"> • Staff from applicable categories

Day/Estimated Time	Activity/Description	Recommended State Participants ⁵
Day 5: Review and confirm findings. Discuss draft report.		
1 hour	Discuss findings/next steps	<ul style="list-style-type: none"> • SACWIS project manager • State central office team
1 hour	Follow-up meetings (if warranted by review)	<ul style="list-style-type: none"> • SACWIS project manager • Additional staff determined by topics
1 hour	Follow-up system demonstration (if warranted by review)	<ul style="list-style-type: none"> • SACWIS project manager • Additional staff determined by topics
1 hour	Formal exit conference	<ul style="list-style-type: none"> • Department Administrators • SACWIS project manager • Staff selected by SACWIS project manager