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- ACF's Information Systems Review Guide, Cost/Benefit Guide, and Companion Guide 2: Cost/Benefit Analysis Illustrated for Child Welfare Systems;
- SACWIS Conceptual 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





















































































































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

## **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.

<b>Cross Reference Box for the FACILITIES SUPPORT Section</b>			
<b>Reference Sources (Document/Chapter):</b>			
<b>Screen Identifier</b>	<b>Alert Identifier</b>	<b>Notice Identifier</b>	<b>Report Identifier</b>

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:*

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

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:*

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

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:*

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

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:**

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

### **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.

<b>Cross Reference Box for the FOSTER / ADOPTIVE HOMES SUPPORT Section</b>			
<b>Reference Sources (Document/Chapter):</b>			
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:*

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

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:*

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

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:*

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

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:*

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

### 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:*

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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

- management reports,
- other alerts,
- bulletins, and
- notices

related to resource availability.

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

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

**If Yes -**

*State Response:*

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

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### D. Contract Support

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

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

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

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

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

**If Yes -**

*State Response:*

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ACF Comments for Requirement: 54			
Conforms? Y/C/N	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:*

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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:*

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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:*

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

**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.

<b>Cross Reference Box for the COURT PROCESSING Sections</b>			
<b>Reference Sources (Document/Chapter):</b>			
<b>Screen Identifier</b>	<b>Alert Identifier</b>	<b>Notice Identifier</b>	<b>Report Identifier</b>

**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:*

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

### 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:*

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

### 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:*

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

**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:*

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

**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.

<b>Cross Reference Box for the FINANCIAL MANAGEMENT Sections</b>			
<b>Reference Sources (Document/Chapter):</b>			
<b>Screen Identifier</b>	<b>Alert Identifier</b>	<b>Notice Identifier</b>	<b>Report Identifier</b>

**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:*

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

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### 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:*

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

### 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:*

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

**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.

<b>Cross Reference Box for the STAFF MANAGEMENT Section</b>			
<b>Reference Sources (Document/Chapter):</b>			
<b>Screen Identifier</b>	<b>Alert Identifier</b>	<b>Notice Identifier</b>	<b>Report Identifier</b>

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:*

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

- 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:**

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

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:*

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

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:**

<b>ACF Comments for Requirement: 68</b>				
<b>Conforms? Y/C/N</b>		<b>Action Plan? Y/N/Blank</b>		<b>Resolution Date</b>

<b>Finding Summary Worksheet Completed? Yes or Blank</b>	

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:**

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<b>ACF Comments for Requirement: 69</b>					
<b>Conforms? Y/C/N</b>		<b>Action Plan? Y/N/Blank</b>		<b>Resolution Date</b>	
<b>Finding Summary Worksheet Completed? Yes or Blank</b>					

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

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

**If Yes - State Response:**

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

### B: Reporting

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

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

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- 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:*

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

- 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:*

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

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:*

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

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:*

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

**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:*

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

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

*State Response:*

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

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

*State Response:*

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

2. (78) Archive and purge \* — Describe how the system provides for purging and archiving of
- a) inactive records and
  - b) closed cases.
  - c) Additionally, the State should respond to the following questions:
    - 1) How long is information maintained in the system?
    - 2) How is information archived?
    - 3) Can the information be "sealed" and "unsealed?"
    - 4) Does the system track who enters and changes information?
    - 5) Has the State used and/or tested the process?

*State Response:*

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

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:**

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

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:**

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

5. (81) Provide on-line training —

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

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

**If Yes -**

*State Response:*

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

## B. VIII: Interfaces

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

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

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

**A: Required Interfaces**

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

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

SYSTEM	Is the Interface Operational? Yes/No	Effective Date that the Interface Became (or Will Become) Operational.
Title IV-A (TANF)		
Title IV-D (Child Support Enforcement)		
Title XIX (Medicaid)		
Child abuse and neglect data system <sup>4</sup>		

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	

<sup>4</sup> Complete if child abuse and neglect system is interfaced (rather than incorporated).

<b>Finding Summary Worksheet Completed? Yes or Blank</b>	

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:*

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

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

*State Response:*

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

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:*

<b>ACF Comments for Requirement: 86</b>			
Conforms? Y/C/N		Action Plan? Y/N/Blank	Resolution Date
<b>Finding Summary Worksheet Completed? Yes or Blank</b>			

**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		
<b>Other</b>		
<b>Other</b>		

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

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

**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 <sup>5</sup> 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?		

<sup>5</sup> 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).

<b>Indicators</b>	<b>Yes</b>	<b>No</b>
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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<b>ACF Comments for Requirement: 88</b>			
<b>Conforms? Y/C/N</b>		<b>Action Plan? Y/N/Blank</b>	
<b>Finding Summary Worksheet Completed? Yes or Blank</b>			

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, the Foster Care Independence Act of 1999 – Chaffee Foster Care Independence Program (CFCIP), the Safe and Timely Interstate Placement of Foster Children Act of 2006, the Adam Walsh Child Protection and Safety Act of 2006, the Child and Family Service Improvement Act of 2006, Private Providers and the Deficit Reduction Act (DRA) of 2005.. Describe how the SACWIS system supports any State Child Welfare initiatives in Question 22. 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. How does the system record and track whether any court determined aggravated circumstances (as defined by State law) exists?

State Response	
ACF Comments	

4. 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	

5. 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	

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

State Response	
ACF Comments	

7. 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	

8. 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	

9. 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

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

State Response	
ACF Comments	

### Annual Report State Performance

11. 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

12. 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

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

State Response	
ACF Comments	

**Title IV-E Eligibility Reviews**

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

State Response	
ACF Comments	

15. 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)**

16. Please describe how the system supports the data collection requirements in the CFCIP. How does the system track independent living services being provided to all youth in care? How does the system support the collection of outcomes for youth at ages 17, 19, and 21 per the NYTD requirements?

State Response	
ACF Comments	

**Safe and Timely Interstate Placement of Foster Children Act of 2006**

17. Please describe how the system supports the timely home study procedures and requirements of section 471(a)(25) and (26) of the Social Security Act.

State Response	
ACF Comments	

**Adam Walsh Child Protection and Safety Act of 2006**

18. Please describe how the system supports the Adam Walsh Child Protection and Safety Act of 2006. Include the following areas in your response:

- a) Tracking/documenting criminal backgrounds and CAN registry information;

- b) Authorizing title IV-E eligibility payments in accordance with the restrictions related to parent felony convictions;
- c) Protecting information obtained from CAN registries.

State Response	
ACF Comments	

**Child and Family Service Improvement Act of 2006**

19. Please describe how the State's system supports compilation of child and family services expenditures and tracking of caseworker visits.

State Response	
ACF Comments	

**Private Providers**

20. Please describe how the system supports Private Providers.

State Response	
ACF Comments	

**Deficit Reduction Act (DRA) of 2005**

21. Please describe how the State's system supports the requirements of the DRA. For example, the Adoption Assistance Agreement.

State Response	
ACF Comments	

**Other State Initiatives**

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

State Response	
ACF Comments	





















