

CCWIS Final Rule Initial Submission Requirements



October, 2016

What requirements are covered in this webinar?

- 1355.50 – Purpose
- 1355.51 – Definitions
- 1355.52 – CCWIS project requirements
 - 1355.52(a) – Efficient, economical, and effective
 - 1355.52(b) – CCWIS data
 - 1355.52(c) – Reporting
 - 1355.52(d) – Data quality
 - 1355.52(e) – Bi-directional data exchanges
 - 1355.52(f) – Data exchange standard
 - 1355.52(g) – Automated eligibility determination
 - 1355.52(h) – Software provision
 - **1355.52(i) – Submission ✓**
 - 1355.52(j) – Other applicable requirements
- 1355.53 – CCWIS design requirements
- 1355.54 – CCWIS options
- 1355.55 – CCWIS reviews and assessment
- 1355.56 – Transition period ✓
- 1355.57 – Cost allocation ✓
- 1355.58 – Failure to meet APD conditions
- 1355.56.60 & 45 CFR 95, Subpart F – Conforming regulations

Agenda

- CCWIS Definitions
- Submission Requirements Overview
- CCWIS Notification
 - APD Submission
 - NOI Submission
- Automated Function Checklist Examples
- Next Steps
- Take-Aways
- Questions

CCWIS Definitions

The following terms are defined at the end of this slide deck:

- Automated function
- Child Welfare Contributing Agency – CWCA
- New CCWIS
- Non-S/TACWIS project
- Notice of Intent (NOI)
- S/TACWIS project
- Transition Period

Submission Requirements Overview

- **CCWIS Notification**
 - 1355.52(i)(1)
- **APD Requirements**
 - 45 CFR 95.610
- **CCWIS Annual Updates**
 - 1355.52(i)(2)

Submission Requirements Overview (Illustration)

- CCWIS Notification

 - 1355.52(i)(1)

- APD Requirements

 - 45 CFR 95.610

- ~~CCWIS Updates~~

 - ~~– 1355.52(i)(2)~~

Submission Requirements Overview (continued...)

- CCWIS submission requirements and APD requirements (45 CFR 95, Subpart F) must both be met to qualify for federal funding
- Submission information provides a high level overview of CCWIS
- Submission information identifies parts of a CCWIS that may qualify for CCWIS cost allocation
- APDs provide details about automated functions ACF requires to approve funding

Submission Requirements Overview

Checklist Templates

- ACF developed a CCWIS Notice of Intent (NOI) Checklist Template:
 - ACYF-CB-IM-16-04 (issued August 8, 2016)
 - <http://www.acf.hhs.gov/cb/resource/im1604>
- Templates are *optional*. Title IV-E agencies may develop their own submission forms.
- Includes templates for:
 - CCWIS Project Description for use by agencies submitting a NOI
 - Automated Function Checklist for use by agencies submitting an APD or NOI

Other Required CCWIS Notification

Notification that S/TACWIS will not transition to CCWIS (1355.56(d))

See CCWIS Transition Requirements webinar, Slide #11 for details:

<http://www.acf.hhs.gov/cb/resource/ccwis-transition-period-presentation>

CCWIS Notification: APD or NOI?

APD or Notice of Intent (NOI)?

- Expected total project costs meet or exceed APD thresholds*?
 - Submit an APD before beginning CCWIS activities
- Expected total project costs under APD thresholds*?
 - Submit a NOI before claiming CCWIS funding

*APD thresholds

Total project costs of \$5 Million or more

Above Threshold – Submit APD: What type of APD?

- A new CCWIS project – Submit a planning or implementation APD
- A transitioning project (S/TACWIS or non-S/TACWIS) with an open implementation APD – Submit an implementation APD update
- A transitioning project (S/TACWIS or non-S/TACWIS) with a closed implementation APD – Submit an operational APD
- A transitioning project (S/TACWIS or non-S/TACWIS) in operations – Submit an operational APD

Above Threshold – Submit APD: What does the APD include?

The APD must:

- Meet APD requirements (45 CFR 95.610)
- Demonstrate that the system will meet CCWIS project requirements (1355.52 (a) – (h))(and any CCWIS options (1355.54)
- Include CCWIS automated functions list (1355.52(i)(1)(ii) & (iii))
- Provide the tasks, resources, schedule & activities for each planned or existing CCWIS automated function

Above Threshold – Submit APD: Automated Function List

- List of all CCWIS automated functions
- The list includes:
 - Planned automated functions; and
 - Automated functions of a transitioning system that will be part of the CCWIS
- The list does not include any automated functions of systems that require a data exchange to CCWIS, such as:
 - External systems developed by the title IV-E agency
 - Child welfare contributing agency systems

Above Threshold – Submit APD: Automated Function List Template

State or Tribal IV E Agency:

Please list all automated functions included in the CCWIS as required at §1355.52 (i)(1)(ii) and note whether each automated function meets, or when implemented will meet the requirements at §1355.52 (i) (1) (iii) (A) (B) and (C). For additional entries, go to page 5

Function Name <i>List all automated functions that will be part of your CCWIS</i>	Supports at least one requirement section 1355.52 and/or 1355.54	The function is duplicated	Function is consistently used	The function complies with the CCWIS design requirements defined at 1355.53 (a), unless exempt by 1355.53 (b)
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> Exempt
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E

Signature: Printed Name:

Title: Date:

(The checklist should be signed by an agency representative with the authority to sign documents submitted to the federal government.)



Below Threshold – Submit NOI

The Notice of Intent (NOI) must:

- Include CCWIS project description (1355.52(i)(1)(i)) that asserts that the system will meet project requirements at 1355.52(a) – (h) and any CCWIS options at 1355.54
- Include CCWIS automated functions list (1355.52(i)(1)(ii) & (iii))

Below Threshold – Submit NOI: CCWIS Project Description Checklist Template

Please provide a brief narrative describing the CCWIS project.

Enter a brief description of the project, including a summary statement of the needs and problems this project addresses, the objectives for the project, the agency's approach to managing the project, the staff resources to be dedicated, and the technology to be used.

Section I: 1355.52 and 1355.53 CCWIS Requirements: Please indicate if the CCWIS project will meet the following requirements.

Description	Checkbox
<i>Check the box which reflects your system's compliance with relevant CCWS regulations</i>	
1. Will the CCWIS meet the efficient, economical, and effective requirement as outlined at 1355.52 (a)	<input type="checkbox"/> Y <input type="checkbox"/> N
2. Will the CCWIS meet the data requirements as defined at 1355.52 (b)	<input type="checkbox"/> Y <input type="checkbox"/> N
3. Will the CCWIS meet the reporting requirements as defined at 1355.52 (c)	<input type="checkbox"/> Y <input type="checkbox"/> N
4. Will the CCWIS incorporate CCWIS data quality requirements as identified at 1355.52 (d)	<input type="checkbox"/> Y <input type="checkbox"/> N
5. Will the CCWIS meet the requirements for bi-directional data exchanges as identified at 1355.52 (e)	Y=yes; N=no; I=included in the core functionality of the CCWIS
Required	
Financial	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> I
IV-E Eligibility	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> I
Required if Applicable	
Child Welfare Contributing Agencies ...	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Other IV-E Agency Systems	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

Below Threshold – Submit NOI: CCWIS Project Description Checklist Template

State or Tribal IV E Agency:

Description	Checkbox
Required to the Extent Practicable	
Child Abuse & Neglect	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> I
Title IV-A.....	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> I
Title XIX Eligibility	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> I
Title XIX Claims (MMIS).....	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> I
Title IV-D	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> I
Courts	<input type="checkbox"/> Y <input type="checkbox"/> N
Education	<input type="checkbox"/> Y <input type="checkbox"/> N
Please list other exchanges	
6. Will the CCWIS meet data exchange standard requirements at 1355.52 (f)	<input type="checkbox"/> Y <input type="checkbox"/> N
7. Will the CCWIS meet the automated IV-E eligibility determination requirements as defined at 13555.52 (g)	<input type="checkbox"/> Y <input type="checkbox"/> N
8. Does the IV-E agency agree to the software provision requirement as defined at 1355.52 (h)	<input type="checkbox"/> Y <input type="checkbox"/> N
9. Will the CCWIS project meet the APD provisions defined at 1355.52 (j)	<input type="checkbox"/> Y <input type="checkbox"/> N
10. Will the CCWIS meet the design requirement as defined at 1355.53 (a),	<input type="checkbox"/> Y <input type="checkbox"/> N
• If not, is the CCWIS exempt from the design requirement as defined at 1355.53 (b)	<input type="checkbox"/> Y <input type="checkbox"/> N



Below Threshold – Submit NOI: Automated Function List Template

State or Tribal IV E Agency:

Please list all automated functions included in the CCWIS as required at §1355.52 (i)(1)(ii) and note whether each automated function meets, or when implemented will meet the requirements at §1355.52 (i) (1) (iii) (A) (B) and (C). For additional entries, go to page 5

Function Name <i>List all automated functions that will be part of your CCWIS</i>	Supports at least one requirement section 1355.52 and/or 1355.54	The function is duplicated	Function is consistently used	The function complies with the CCWIS design requirements defined at 1355.53 (a), unless exempt by 1355.53 (b)
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> Exempt
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E
	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> E

Signature: Printed Name:

Title: Date:

(The checklist should be signed by an agency representative with the authority to sign documents submitted to the federal government.)



Automated Function Check List: Example 1

A CCWIS case management module of a transitioning system is used by all case management workers in the state/tribe. Does not meet CCWIS design requirements. Module developed before end of transition period (July 31, 2018).

- | | | |
|--|---|---|
| Supports 1355.52 or 1355.54? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| Function duplicated? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| Function consistently used? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| Function meets design requirements
(unless exempt?) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No <input checked="" type="checkbox"/> Exempt |

Automated Function Check List: Example 2

A CCWIS case management module used by all workers in the IV-E agency. CWCA workers use their own CWCA systems for case management. CWCA systems exchange data with CCWIS. Meets CCWIS design requirements.

- | | |
|--|---|
| Supports 1355.52 or 1355.54? | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| Function duplicated? | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| Function consistently used? | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| Function meets design requirements
(unless exempt?) | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Exempt |

Automated Function Check List: Example 3

A CCWIS electronic data exchange with the National Electronic Interstate Compact Enterprise (NEICE) system used by all ICPC workers. ICPC data is pulled from the CCWIS database and the exchange module meets the CCWIS design requirements.

- | | | |
|--|---|---|
| Supports 1355.52 or 1355.54? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| Function duplicated? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| Function consistently used? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| Function meets design requirements
(unless exempt?) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No <input type="checkbox"/> Exempt |

Next Steps

- If building a CCWIS determine if you will use the function list template
- Discuss with your state or tribal system analyst how to complete the notification for your plans and project
- Participate in upcoming webinars
- Submit questions to CCWIS.Questions@acf.hhs.gov
- Sign up for announcements (<https://www.acf.hhs.gov/programs/cb/resource/ccwis-announcements-listserv>) to learn about:
 - Upcoming webinars
 - Updates to the Child Welfare Policy Manual
 - Other technical assistance

Take-Aways

- The notification provides a high-level view of CCWIS
- The notification demonstrates what parts of CCWIS may qualify for CCWIS cost allocation
- We encourage title IV-E agencies to use the checklists, but the checklists are not required
- The notification is in addition to information provided to meet APD requirements
- The notification is linked to the APD
- We will discuss Annual Updates in a later webinar

Questions?

CCWIS Definition: Automated Function

Automated function is defined in the CCWIS regulations at 45 CFR 1355.51 and means a computerized process or collection of related processes to achieve a purpose or goal.

CCWIS Definition: Child Welfare Contributing Agency

Child welfare contributing agency (CWCA) is defined in the CCWIS regulations at 45 CFR 1355.51 and means an entity that, by contract or agreement with the title IV-E agency, provides child abuse and neglect investigations, placement, or child welfare case management (or any combination of these) to children and families.

CCWIS Definition: New CCWIS project

New CCWIS project is defined in the CCWIS regulations at 45 CFR 1355.51 and means a project to build an automated data processing system meeting all requirements in § 1355.52 and all automated functions meet the requirements in § 1355.53(a).

CCWIS Definition: Non-S/TACWIS Project

Non-S/TACWIS project is defined in the CCWIS regulations at 45 CFR 1355.51 and means an active automated data processing system or project that, prior to the effective date of these regulations [August 1, 2016], ACF had not classified as a S/TACWIS and for which:

- (i) ACF approved a development procurement; or
- (ii) The applicable state or tribal agency approved a development procurement below the thresholds of 45 CFR 95.611(a); or
- (iii) The operational automated data processing system provided the data for at least one AFCARS or NYTD file for submission to the federal system or systems designated by ACF to receive the report.

CCWIS Definition: Notice of Intent

Notice of intent is defined in the CCWIS regulations at 45 CFR 1355.51 and means a record from the title IV-E agency and signed by the governor, tribal leader, or designated state or tribal official and provided to ACF declaring that the title IV-E agency plans to build a CCWIS project that is below the cost threshold requiring the submission and approval of an APD (45 CFR 95.611(a)).

- The NOI is a brief document
- We offer a NOI template that addresses all submission requirements.
- The NOI is used for projects below the cost threshold requiring an APD (45 CFR 95.611(a)).

CCWIS Definition: S/TACWIS Project

S/TACWIS project is defined in the CCWIS regulations at 45 CFR 1355.51 and means an active automated data processing system or project that, prior to the effective date of these regulations [August 1, 2016], ACF classified as a S/TACWIS and for which:

- (i) ACF approved a procurement to develop a S/TACWIS; or
- (ii) The applicable state or tribal agency approved a development procurement for a S/TACWIS below the thresholds of 45 CFR 95.611(a).

CCWIS Definition: Transition Period

Transition period is defined in the CCWIS regulations at 45 CFR 1355.51 and means the 24 months after the effective date of these regulations.