

## 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, or caseworker)?

- 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 the programs and 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 and programs does the system share a common database?

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

11. Expected date of SACWIS implementation, i.e., date system will go into live production:

Start Date:	End Date:
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**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.

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**A. III: Contractor Information**

1. Planning Phase Contractor(s):	
2. Implementation Phase Contractor(s):	
3. Operational Phase Contractor(s):	
4. Other Contractors (e.g., QA, IV&V):	

**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	
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?

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

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

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

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### **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, contractor support, and advantages or disadvantages of the State's selected approach.

### **A. VII: Enclosures**

The following information should be provided, and cross-referenced to the State's responses in the Process Section of this Guide. (See Appendix B). 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 of 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 Form CB-496, the *Title IV-E Programs Quarterly Financial Report* (formerly IV-E 1);
- 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 User's 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

<b>Date State Submitted the Guide to ACF: *</b>	
<b>Name of State Official that Submitted the Guide: *</b>	
<b>Date Last Update by State: *</b>	
<b>Date of Review by ACF:</b>	
<b>Date of Final Report (ACF):</b>	

(\*) 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, nor delete this table. As the State completes the questionnaire, the page reference numbers in the table may not match the actual pages in the questionnaire. It is not necessary for the State to update the table to refresh the page numbers. If the State wishes to update the page numbers on the Summary Table, the writer may highlight the entire document by clicking Ctrl A and then click the F9 key. This will update the page reference numbers on the table.

<b>ACF Only</b>			
Requirement Number	Conforms?	Action Plan?	Page Reference #
<b>1</b>			B-6
<b>2</b>			B-7
<b>3</b>			B-7
<b>4</b>			B-8
<b>5</b>			B-8
<b>6</b>			B-8
<b>7</b>			B-9
<b>8</b>			B-9
<b>9</b>			B-10
<b>10</b>			B-10
<b>11</b>			B-11
<b>12</b>			B-11
<b>13</b>			B-12
<b>14</b>			B-12
<b>15</b>			B-13
<b>16</b>			B-13
<b>17</b>			B-14

<b>ACF Only</b>			
<b>Requirement Number</b>	<b>Conforms?</b>	<b>Action Plan?</b>	<b>Page Reference #</b>
<b>18</b>			B-14
<b>19</b>			B-14
<b>20</b>			B-15
<b>21</b>			B-16
<b>22</b>			B-17
<b>23</b>			B-17
<b>24</b>			B-17
<b>25</b>			B-18
<b>26</b>			B-18
<b>27</b>			B-19
<b>28</b>			B-19
<b>29</b>			B-21
<b>30</b>			B-21
<b>31</b>			B-22
<b>32</b>			B-22
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<b>34</b>			B-23
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<b>39</b>			B-26
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<b>41</b>			B-27
<b>42</b>			B-27
<b>43</b>			B-28
<b>44</b>			B-29
<b>45</b>			B-29
<b>46</b>			B-30
<b>47</b>			B-30
<b>48</b>			B-31
<b>49</b>			B-31

<b>ACF Only</b>			
<b>Requirement Number</b>	<b>Conforms?</b>	<b>Action Plan?</b>	<b>Page Reference #</b>
<b>50</b>			B-32
<b>51</b>			B-32
<b>52</b>			B-33
<b>53</b>			B-34
<b>54</b>			B-34
<b>55</b>			B-35
<b>56</b>			B-35
<b>57</b>			B-36
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<b>74</b>			B-45
<b>75</b>			B-46
<b>76</b>			B-46
<b>77</b>			B-47
<b>78</b>			B-47
<b>79</b>			B-48
<b>80</b>			B-48
<b>81</b>			B-49

<b>ACF Only</b>			
<b>Requirement Number</b>	<b>Conforms?</b>	<b>Action Plan?</b>	<b>Page Reference #</b>
<b>82</b>			B- 49
<b>83</b>			B-50
<b>84</b>			B-50
<b>85</b>			B-51
<b>86</b>			B-51
<b>87</b>			B-52
<b>88</b>			B-53

**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:*

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ACF Comments for Requirement: 1					
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:*

<b>ACF Comments: 2</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. (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:*

<b>ACF Comments for Requirement: 3</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. (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:*

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<b>ACF Comments for Requirement: 4</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: 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.

<b>Cross Reference Box for the SCREENING 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. (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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<b>ACF Comments for Requirement: 5</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. (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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<b>ACF Comments for Requirement: 6</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. (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:*

<b>ACF Comments for Requirement: 7</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. (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:*

<b>ACF Comments for Requirement: 8</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. (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:*

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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:**

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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:*

<b>ACF Comments for Requirement: 11</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. (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** -- Generation of documents is a common functional requirement and appears in relation to other system functionality. The State’s response to this question should address the system’s overall capabilities related to the generation of alerts/ticklers, notices, and reports as well as the specifics related to the Investigation functional area. The State’s responses to similar questions appearing subsequently in other functional areas can refer to this response for system-level performance, and then may address the specific outputs related to the functional area in question.

*State Response:*

<b>ACF Comments for Requirement: 12</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: 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.

<b>Cross Reference Box for the ASSESSMENT 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. (13) Determine and record risk assessment \* — Describe how the automated system supports the evaluation and determination of risk factors affecting the case.

*State Response:*

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<b>ACF Comments for Requirement: 13</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. (14) Perform risk assessment — Describe how the automated system performs an automated risk assessment to determine the relative level of risk.

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

**If Yes -**

*State Response:*

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<b>ACF Comments for Requirement: 14</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. (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, or medical assessments).
- 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:*

<b>ACF Comments for Requirement: 15</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. (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 (e.g., placement locations, or in-home care,).

*State Response:*

<b>ACF Comments for Requirement: 16</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. (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:*

<b>ACF Comments for Requirement: 17</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>					

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:*

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<b>ACF Comments for Requirement: 18</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>					

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:*

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<b>ACF Comments for Requirement: 19</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>					

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 question 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: 20</b>					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
<b>Finding Summary Worksheet Completed? Yes or Blank</b>					

**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:*

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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 or license status)? \*

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:*

<b>ACF Comments for Requirement: 25</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. (26) Generate documents related to eligibility determinations \* — Describe how the automated system produces

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

The State may refer to question 12 for a description of the general system capabilities related to this component of the system.

*State Response:*

<b>ACF Comments for Requirement: 26</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: Changes in Eligibility**

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

<b>Cross Reference Box for the CHANGES IN ELIGIBILITY 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. (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:*

<b>ACF Comments for Requirement: 27</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. (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 question 12 for a description of the general system capabilities related to this component of the system.

*State Response:*

<b>ACF Comments for Requirement: 28</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. 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.

<b>Cross Reference Box for the SERVICE / CASE PLAN 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. (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:

<b>ACF Comments for Requirement: 29</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. (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:

<b>ACF Comments for Requirement: 30</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. (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:*

<b>ACF Comments for Requirement: 33</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>					

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 question 12 for a description of the general system capabilities related to this component of the system.

*State Response:*

<b>ACF Comments for Requirement: 34</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>					

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:*

<b>ACF Comments for Requirement: 35</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>					

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:*

<b>ACF Comments for Requirement: 36</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>					

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:*

<b>ACF Comments for Requirement: 37</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: 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.

<b>Cross Reference Box for the CASE REVIEW / EVALUATION 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. (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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<b>ACF Comments for Requirement: 38</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. (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:*

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

3.(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 question 12 for a description of the general system capabilities related to this component of the system.

*State Response:*

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

4. (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:

<b>ACF Comments for Requirement: 41</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: 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.

<b>Cross Reference Box for the MONITORING SERVICE / CASE PLAN SERVICES 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. (42) Track and record services identified in the service/case plan — Describe how the automated system provides for the recording in the electronic case folder of the
- a) types,
  - b) duration, and
  - c) frequency of services.

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

**If Yes -**

State Response:

<b>ACF Comments for Requirement: 42</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. (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:*

<b>ACF Comments for Requirement: 43</b>					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
<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>					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
<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>					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
<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:*

<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:**

<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

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

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

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

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

**If Yes -**

*State Response:*

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<b>ACF Comments for Requirement: 50</b>					
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date	
<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:*

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

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:*

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

**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.

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

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

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

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

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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:*

<b>ACF Comments for Requirement: 57</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. V: Court Processing**

Goal: To provide 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 provide automated support for 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 provide accurate and timely notifications of upcoming court activities to relevant individuals.

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 for 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 for 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:*

<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 the effective and efficient management of the processes necessary for 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 provide support for 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 e.g., billing or vouchers). \*

*State Response:*

<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>	

**B. Accounts Receivable**

Goal: The goal is to support 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). \*

*State Response:*

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<b>ACF Comments for Requirement: 63</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. Provider Claims**

Goal: To provide the efficient and effective administration of a payment or financial system notification of status changes 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 or
    - 2) information received from other Federal/State programs.

*State Response:*

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

**B. VII: Administration**

This function supports efficient management of and 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>			
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:*

<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:**

<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:**

<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>

- 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 validate that complete, timely and accurate data are entered into the system;
    - 2) The extraction methodology and quality assurance provisions that are used to promote the accuracy of the report;
    - 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, such as the National Youth in Transition (NYTD) reports and the data needed for Form CB-496, the *Title IV-E Programs Quarterly Financial Report* (formerly IV-E 1);

*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, or outcome measures).

*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**

<b>Cross Reference Box for the ADMINISTRATIVE 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>

Goal: To support 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:*

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<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:*

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<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>				
<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 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, or system broadcast) 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					

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:

<b>ACF Comments for Requirement: 81</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. 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>1</sup>		

- a. (83) Title IV-A (TANF): Describe how the interface with the title IV-A system is used to:
- Capture and exchange relevant information;
  - Identify potential resources for the IV-E child; and
  - 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
<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:

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

*State Response:*

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ACF Comments for Requirement: 84				
Conforms? Y/C/N		Action Plan? Y/N/Blank		Resolution Date
<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?

<sup>1</sup> Complete if child abuse and neglect system is interfaced (rather than incorporated).

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 support 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*:

<b>ACF Comments for Requirement: 87</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. 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?

<b>Indicators</b>	<b>Yes</b>	<b>No</b>
Does the automated system provide appropriate edits, range checks, and prompts for critical or incomplete data? (Critical data are defined as those required for State or Federal reporting or audit, such as AFCARS reporting, Child and Family Services Reviews, and IV-E eligibility reviews).		
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?		

<b>Indicators</b>	<b>Yes</b>	<b>No</b>
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 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?		
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>Resolution Date</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:*

### **B. X: Other Functionality**

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

*State Response:*

### **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:*

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.

<b>Adoption and Safe Families Act (ASFA)</b>
--

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 either programmatically or functionally, describe how the system tracks 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 the existence of any court determined aggravated circumstances, as defined by State law?

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 for that the child?

State Response	
ACF Comments	

6. How does the system track if a child has been in foster care for 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. For 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 the 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 as described in 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, including new program initiatives related to the Fostering Connections to Success and Increasing Adoptions

Act of 2008 (P. L. 110-351), or pilot projects that may impact SACWIS compliance and operated under the provisions of Program Instruction ACYF-CB-PI-10-05. Please describe how the SACWIS supports or will support each initiative.

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 or 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 the absent parent information needed by the IV-D program 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 highlighting 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 or 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

This table provides a suggested list of activities and interviews.

Day/Estimated Time	Activity/Description	Recommended State Participants
<b>Day 1: Introductions and system demonstration</b>		
45 minutes	Initial Federal and State team meeting <ul style="list-style-type: none"> <li>• Introductions and team member roles</li> <li>• Confirm agenda and interviews</li> <li>• Review of entrance conference topics:                             <ul style="list-style-type: none"> <li>• Assessment review process</li> <li>• Federal and State expectations</li> <li>• Outline preliminary findings</li> <li>• Local office expectations</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• SACWIS project manager</li> <li>• State central office team members participating in system demonstration and daily interviews</li> </ul>
45 minutes	Entrance conference with executive staff <ul style="list-style-type: none"> <li>• Review agenda and interviews</li> <li>• Assessment review process</li> <li>• Federal and State expectations</li> <li>• Outline preliminary findings</li> <li>• Local office expectations</li> <li>• Answer questions</li> </ul>	<ul style="list-style-type: none"> <li>• Department administrators</li> <li>• SACWIS project manager</li> <li>• Staff selected by SACWIS project manager</li> </ul>
Remainder of day	System demonstration <ul style="list-style-type: none"> <li>• System overview</li> <li>• Intake management functions</li> <li>• Eligibility functions</li> <li>• Foster Care</li> <li>• Adoption</li> <li>• ICPC</li> <li>• Independent living</li> <li>• Case management functions</li> <li>• Resource management functions</li> <li>• Court processing functions</li> <li>• Financial management functions</li> <li>• Administration</li> <li>• Interfaces</li> <li>• Optional functionality listed in APD</li> </ul>	<ul style="list-style-type: none"> <li>• SACWIS project manager</li> <li>• Case Management Supervisor</li> <li>• Workers familiar with functions</li> <li>• Technical manager</li> <li>• Database designer</li> <li>• Interface programmer</li> </ul>
<b>Day 2: Complete system demonstration</b>		
Full day	System demonstration (continued from Day 1)	<ul style="list-style-type: none"> <li>• Same staff as listed above</li> </ul>

Day/Estimated Time	Activity/Description	Recommended State Participants
<b>Day 3: Site visits to field offices (Interviews conducted simultaneously by Federal team members)</b>		
Full day per office visited, including travel time.  A minimum of two offices will be visited.	Local/county offices <ul style="list-style-type: none"> <li>• Introductions</li> <li>• Answer questions</li> <li>• Interview office manager</li> <li>• Tour office</li> <li>• Interview supervisory staff</li> <li>• Interview line staff</li> </ul>	<ul style="list-style-type: none"> <li>• Central office representative</li> <li>• Office manager</li> <li>• Case management supervisor</li> <li>• Case workers (as available) from all functional areas</li> <li>• Data entry clerks (if applicable)</li> </ul>
<b>Day 4: Central office interviews (Interviews conducted simultaneously by Federal team members)</b>		
2 hours	Central intake (if applicable)	<ul style="list-style-type: none"> <li>• Intake staff</li> </ul>
2 – 3 hours	AFCARS interview <ul style="list-style-type: none"> <li>• Report status</li> <li>• Overview of elements</li> <li>• Review frequencies</li> <li>• Significant problems</li> <li>• Record State questions</li> </ul>	<ul style="list-style-type: none"> <li>• Adoption supervisor</li> <li>• Foster care supervisor</li> <li>• AFCARS extraction programmer(s)</li> </ul>
2 hours	Optional and mandatory interfaces interview <ul style="list-style-type: none"> <li>• IV – A interface</li> <li>• IV – D interface</li> <li>• XIX interface</li> <li>• Optional interfaces</li> </ul>	<ul style="list-style-type: none"> <li>• State program staff familiar with each interface.</li> <li>• Interface developer(s)</li> </ul>
2 hours	Central office program and policy staff interview <ul style="list-style-type: none"> <li>• System impact on program practice/policy</li> <li>• Program management</li> <li>• Quality assurance</li> <li>• Eligibility determination</li> </ul>	<ul style="list-style-type: none"> <li>• State program managers responsible for listed topics.</li> </ul>

Day/Estimated Time	Activity/Description	Recommended State Participants
2 – 3 hours	Technical staff interview <ul style="list-style-type: none"> <li>• Hardware, software and network architecture</li> <li>• Office automation</li> <li>• Database management</li> <li>• Maintenance/versions/documentation updates</li> <li>• Security/archiving</li> <li>• Help desk and user training</li> <li>• Disaster recovery</li> </ul>	<ul style="list-style-type: none"> <li>• State technical staff responsible for listed topics.</li> </ul>
2 – 3 hours	Financial review/administration interview <ul style="list-style-type: none"> <li>• Track Federal funding</li> <li>• Authorize/reconcile payments</li> <li>• Produce Federal reports</li> <li>• Meet administrative requirements</li> <li>• Resource management</li> </ul>	<ul style="list-style-type: none"> <li>• Financial/budgetary staff</li> <li>• Licensing staff</li> </ul>
2 – 3 hours	Interviews with categories of users not listed above <ul style="list-style-type: none"> <li>• Central office</li> <li>• Other State users</li> <li>• Private providers</li> </ul>	<ul style="list-style-type: none"> <li>• Staff from applicable categories</li> </ul>
<b>Day 5: Review and confirm findings. Discuss draft report.</b>		
1 hour	Discuss findings and next steps	<ul style="list-style-type: none"> <li>• SACWIS project manager</li> <li>• State central office team</li> </ul>
1 hour	Follow-up meetings, if warranted by review findings	<ul style="list-style-type: none"> <li>• SACWIS project manager</li> <li>• Additional staff determined by topics</li> </ul>
1 hour	Follow-up system demonstration, if warranted by review findings	<ul style="list-style-type: none"> <li>• SACWIS project manager</li> <li>• Additional staff determined by topics</li> </ul>
1 hour	Formal exit conference	<ul style="list-style-type: none"> <li>• Department Administrators</li> <li>• SACWIS project manager</li> <li>• Staff selected by SACWIS project manager</li> </ul>
Alternatively, hold a preliminary exit conference and schedule the formal exit conference at a later date.		



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## **APPENDIX E: Sample State Exit Conference** **Month DD, YYYY**

### **Strengths:**

- Dedicated, conscientious State and county staff
- Preparation for the visit is to be commended; extra effort for the visit team's comfort was appreciated
- Nearly all outstanding SACWIS requirements have been addressed and completed since the last review; reflects effective collaboration and teamwork between program and project teams
- Appropriate system access through security profiles
- Improved usability heuristics since last review including:
  - Tabbed windows
  - Easier referrals
  - Contact copy feature
  - Definitions that are available for each assessment area
  - Inclusion of word processing capabilities such as spell check
- Case assignments/transfers and supervisory approval processes are effective
- Have implemented a sufficiently automated IV-E determination/re-determination process that is typically a complex undertaking
  - Monthly re-determinations are invoked prior to monthly batch executions
  - Trend analyses are conducted on IV-E determination process
- Strong set of online and ad hoc reports to support management decisions
- Effective interface with the courts (e.g., petitions, hearings, TPR, court language), also a complex SACWIS area
- Before and after snapshot of case and referral data resulting in history tables that provide audit trail capabilities (who changed, date, timestamp)
- Freezing at strategic points in business processes, e.g., Investigation, Case Plan, Safety Plan, Case Notes
- The Assessment System is an effective tool for creating referrals to providers who perform a battery of assessments that help determine if a child remains in the home or is placed out of the home; if the latter is recommended, the type of placement is also included
- Training content seems helpful to workers--see worker suggestions below
- Case management activities appear more efficient with the incorporation and effective use of new technology
- When a relationship is created in SACWIS, the system creates an inverse relationship
- When used, Help Desk support is valued by the user community
  - ACD (Add, Change, Delete) module to track application fixes/modifications
- Progressive use of new technology includes:
  - Workload listing, which is the gateway to the application with color coding: existing (black), new assignment (red), pending approvals (blue)
  - Calendar display of ticklers with scrolling reminder bar for priority due items

- Export of report data to Excel for data manipulation and analysis
- Ability to send records to PDA and back again with a single button enabling offline capabilities for investigation, assessments, providers, contacts, child care checklist; also, PDAs have portable keyboards that enable direct data capture, and cameras for digital imaging that enable workers to:
  - Attach photo images to contacts
  - Print images on court reports
  - Identify missing children
- A Web-based application for providers that enables:
  - Tree navigation
  - Invoice select, filter and sort
  - Private agency management of their agencies
  - Online placement changes
  - Multiple home approvals
  - Worker notification after database update.

**Concerns:**

- Outstanding requirements:
  - Requirement #83 addresses the bi-directional capabilities between SACWIS and the IV-A system that supports TANF. During the visit, it was noted that the interface from was one way. However, the state had identified an action plan of completion in the latest SARR (dated MM-DD-YYYY). As of MM-DD-YYYY, the state has:
    - Modified SACWIS to complete data transfer capabilities between SACWIS and the IV-A system;
    - Provided documentation to ACF detailing the process that will be used to transfer data between SACWIS and the IV-A system,, including a data layout indicating what data will be transferred from SACWIS and the IV-A system

This modification was implemented on Month DD, YYYY.

- Technical Assistance:
  - The state may want to consider associating email notes to ticklers to insure ownership of tasks through completion.
- Workers' Suggestions:
  - To make the merge function less time consuming
  - To validate merge information between clients
  - To have a more granular sort feature, e.g., additional filters, greater sort flexibility, sort combinations in addition to ~~and~~"
  - To have fewer screens in SACWIS
  - To consolidate the treatment plan into a single report document

- To combine the outcomes reports to render it more useful for court
- To make SACWIS more accessible prior to formal training class
- To make SACWIS available after workers have completed CBTs, and
- To offer advanced training to workers after they have received field experience.

**Next Steps:**

- ACF will prepare a draft letter that indicates that the State has completed all requirements, or has an action plan in place to complete those requirements.
- The State will have an opportunity to review the draft and provide feedback or make changes.
- ACF will incorporate the changes and feedback and prepare a final letter to be distributed to the State and designated management.
- The State must provide progress updates to ACF on the outstanding requirement in their annual APD Update.